

2016

U.S.C. SECTION 5311 (F)
INTERCITY BUS SERVICE PROGRAM
OPERATING & CAPITAL ASSISTANCE APPLICATION
MANUAL
20.509

FLORIDA DEPARTMENT OF TRANSPORTATION - PUBLIC TRANSIT OFFICE

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1. INTRODUCTION

This manual contains program information, application forms, exhibits, certifications and assurances, and instructions to guide an applicant through the application process for Operating and/or Capital Assistance under U.S.C. Section 5311(f), Intercity Bus Service Program, as administered by the Florida Department of Transportation (FDOT).

The Section 5311(f) Program is a subsection of the U.S.C. Section 5311 Formula Grants for Rural Areas Program, also administered in the State of Florida by FDOT. Section 5311(f) requires each state to spend fifteen percent of its annual Section 5311 apportionment “to carry out a program to develop and support intercity bus transportation,” unless the State’s Governor certifies that “the intercity bus service needs of the state are being met adequately.” Since Florida’s Governor has not made this certification, eligible recipients for Section 5311 funds who submit applications approved by FDOT for Section 5311(f) assistance are eligible for Section 5311(f) Grants to offset operating and capital expenses for intercity bus service.

In Florida, intercity bus service is defined as regularly scheduled bus service for the general public that operates with limited stops over fixed routes connecting two or more urban areas not in close proximity; makes meaningful connections with scheduled intercity bus service to more distant points, if such service is available; maintains scheduled information in the National Official Bus Guide; and provides package express service incidental to passenger transportation. To be considered an eligible bus carrier it must be a private company that has operated defined intercity bus service in the state, with formal authority in accordance with the rules and regulations of the Federal Motor Carrier Safety Administration and the Surface Transportation Board of the Federal Department of Transportation for a minimum of 2 years. Priority will be given to projects that connect rural communities to urban centers. Intercity service is not limited by the size of the vehicle used or by the identity of the carrier.

All applications in support of intercity bus service must be “**stand-alone**” applications, separate from any application for Section 5310 Capital Assistance and/or 5311 Operating and/or Capital Assistance also submitted by the applicant to FDOT. Applicants may apply either for Section 5311(f) Operating Assistance, Capital Assistance or both. The Section 5311(f) application and appropriate attachments and exhibits must fully describe the existing intercity bus service; why these services are inadequate; and how the proposed service will enable meaningful connections with the national system of intercity bus services. Checklists to assist the applicant in determining the completeness of an application are included in this manual.

2. GENERAL PROGRAM INFORMATION / REQUIREMENTS

2.1. PROGRAM ADMINISTRATION

FDOT has been designated by Florida’s Governor to administer the Section 5311(f) Program. As the program administrator, FDOT is responsible for the following services. At its discretion, FDOT may contract with a service provider to perform these services.

- announcement of funding availability;
- selection of projects for funding according to approved selection criteria;
- development and processing of agreements;
- oversight of recipient procurement actions;

- oversight of recipient compliance with state and Federal requirements; and
- provision of technical assistance regarding the Section 5311(f) Program.

Authorizing legislation for the program is shown in the Glossary of this manual under “authorizing Federal and State Legislation.”

In Florida, intercity bus service is a vital link between otherwise isolated rural communities and the rest of the nation. In the 1980’s and more recently, major intercity bus carriers abandoned many less productive routes. Patronage generated in rural areas, however, appears to be important to the continuing viability of the remaining intercity routes. One objective of the funding for intercity bus service under Section 5311, therefore, is to support the connection between rural areas and the larger regional or national system of intercity bus service. Another objective is to support services to meet the intercity travel needs of residents in rural areas. A third objective is to support the infrastructure of the intercity bus network through planning and marketing assistance and capital investment in facilities. FTA encourages Florida use the funding under 49 U.S.C. 5311(f) to support these national objectives, as well as priorities determined by the State.

2.2. ELGIBILITY CRITERIA

Eligibility criteria are the minimum legal eligibility requirements. Applications must be for eligible services, eligible service areas, eligible recipients, eligible expenses, and provide evidence of local matching funds. Applicants must also ensure compliance with a number of other conditions placed on grant recipients including, but not limited to, coordination of transit services, civil rights preservation, compliance with safety and drug free work place regulations, ADA, drug and alcohol testing of safety-sensitive employees, competitive procurement of goods and services bought with grant funds, and references to the [Federal Transit Administration’s Master Agreement](#).

Additionally, the following criteria apply to Section 5311(f) Grants. These criteria will be used by evaluators in ranking Section 5311(f) applications.

Section 5311(f) service must:

1. support the connection between Rural Areas and the larger regional or national system of intercity bus service;
2. support services to meet the intercity travel needs of residents in Rural Areas; and,
3. support the infrastructure of the intercity bus network through planning and marketing assistance and capital investment in facilities.

2.3. MINIMUM CRITERIA FOR INTERMODAL FACILITIES PLANNED FOR USE IN CONJUNCTION WITH INTERCITY BUS SERVICE

For Section 5311(f) applications in support of intermodal facilities, the following mandatory and non-mandatory criteria apply.

Mandatory Criteria - Proposed intermodal facility projects must meet the following minimum criteria to be eligible for a Section 5311(f) grant award:

1. The project will have a direct benefit to a significant number of riders traveling to, from, or within Rural Area(s);

2. The project will include a meaningful amount of intercity bus passenger service on a continuous basis;
3. The project will improve or stabilize Rural Area intercity bus service;
4. The project will improve Rural Area public transportation;
5. The project will improve an existing or planned intermodal passenger facility;
6. The project will be supportive of and coordinated with the Florida Department of Transportation Intermodal Development Program and included in the applicant's adopted Transit Development Plan (TDP), if applicable;
7. The project has a complete feasibility analysis, project justification, and reliable project cost estimate;
8. The project is consistent with official local comprehensive plans and growth policy; and,
9. The project has been certified to have available local matching funds sufficient to accommodate Federal requirements.

Non-Mandatory Criteria. Proposed projects are encouraged but not required to meet the following non-mandatory criteria. Projects which meet both the mandatory criteria (above) and the following non-mandatory criteria may be given higher priority consideration for grant awards by FDOT, especially when requested funds exceed available funds.

1. The project is supportive of intercity bus "feeder service";
2. The project will enhance Florida's economy;
3. The project will aid an area where intercity bus service has been reduced or lost;
4. The project will provide an intermodal transfer connection with an Amtrak facility and/or a proposed high-speed rail facility;
5. The project will improve the coordination of services for existing Section 5311 grantees and/or other local/regional providers;
6. The project will improve the linkage of Rural Area residents with the larger regional or national network of intercity bus service;
7. The addition of a Section 5311(f) component enhances the economic and operational feasibility of the project; and,
8. The project has a completed architectural space program and detailed cost estimates and is ready to proceed with design phase services.

2.4. ELIGIBLE RECIPIENT

An eligible recipient is a private company that has operated defined intercity bus service in the state, with formal authority in accordance with the rules and regulations of the Federal Motor Carrier Safety Administration and the Surface Transportation Board of the Federal Department of Transportation, for a minimum of 2 years. Intercity bus service is defined as regularly scheduled bus service for the general public which operates with limited stops over fixed routes connecting two or more urban areas not in close proximity; has the capacity for transporting baggage carried by passengers; makes meaningful connections with scheduled intercity bus service to more distant points, if such service is available; maintains

scheduled information in the National Official Bus Guide; and provides package express service incidental to passenger transportation.

2.5. LEGAL AUTHORITY AND FISCAL & MANAGERIAL CAPABILITY

Section 5311(f) applicants must have the legal authority and fiscal/managerial capability to apply for Federal assistance. Applicants are required to have sufficient local funds for match requirements and for preventative maintenance and operation of vehicles/equipment. Grant recipients are required to maintain adequate financial, maintenance, and operating records and be able to comply with FTA reporting requirements. Failure to properly manage, maintain, and operate vehicles/equipment could jeopardize existing and future grants and may result in the removal of vehicles/equipment

2.6. ELIGIBLE ACTIVITIES

Proposed projects must support intercity bus service between urbanized and Rural Areas. Eligible activities include:

- planning and marketing for intercity bus transportation
- capital grants for intercity bus shelters, joint-use stops and depots; operating grants
- user-side subsidies and demonstration projects
- and coordination of rural connections between small transit operations and intercity bus carriers

Other capital and operating projects for the support of intercity bus service are not precluded. Capital Assistance may be provided for intercity bus service planning and marketing and to purchase vehicles or vehicle-related equipment such as wheelchair lifts for use in intercity service. Charter and tour services are not eligible for FTA Assistance.

2.7. ELIGIBLE EXPENSES FOR 5311(F) OPERATING ASSISTANCE

Eligible expenses include administrative, management, and operations costs directly related to the provision of intercity bus service LESS operating revenue. Operating revenue (see Glossary) includes fares paid by passengers, whether such fares are paid at the time service is provided or via prepaid arrangements such as passes or tokens. The basic definition of an operating cost is something that does not have a useful life of more than one year.

2.8. INELIGIBLE EXPENSES FOR SECTION 5311(F) OPERATING ASSISTANCE

- Expenses for charter service
- School bus service
- Service not open to the general public
- Service exclusively within an urbanized or Rural Area
- Depreciation expenses
- Expenses incurred prior to Federal and State approval of a grant application
- Expenses incurred prior to the execution of a Joint Participation Agreement
- Expenses incurred prior to the FDOT's approval of plans, specifications, and third party contracts are ineligible.

2.9. ELIGIBLE EXPENSES FOR 5311(F) CAPITAL ASSISTANCE

Costs associated with a capital project undertaken by an intercity bus carrier to provide intercity bus service, and are limited to acquisition, design, construction, reconstruction, or improvement of a privately operated intercity bus service. Project may include that portion of a governmentally owned or operated transit system designed to support privately operated intercity bus service.

2.10. INELIGIBLE EXPENSES FOR 5311(F) CAPITAL ASSISTANCE

Ineligible expenses include:

- expenses associated with the preparation of grant applications
- administration
- extended warranties
- operation of vehicles/facilities/equipment
- expenses for charter service
- expenses school bus service
- expenses for service not open to the general public
- expenses for service provided exclusively within an urbanized and/or Rural Area
- expenses incurred prior to Federal and State approval of a grant application, execution of a grant award, and FDOT's approval of plans, specifications, and third party contracts for vehicles/facilities/equipment to be purchased with Section 5311(f) funds.

2.11. APPLICATION DEADLINES

Application deadlines vary from FDOT District to District but usually fall in the time period between December and February of each year. Thereafter, District Offices evaluate grant applications and submit recommendations for grant awards to the FDOT Central Office where applications are reviewed and considered relative to all other Section 5311(f) applications submitted. By April 1 of each year, the Central Office submits those projects it has chosen for Section 5311(f) Grants to the Federal Transit

Administration (FTA), in combination with the statewide application for Section 5311 Assistance. The statewide application is, usually, approved by FTA by July 1. The Florida Legislature also approves the general appropriation for the State's current year budget by July 1. Once Federal approval is received and the State budget finalized, District Offices may make grant awards for approved projects. (See "Grant Award Process")

3. SECTION 5311(F) COMPLIANCE REQUIREMENTS

3.1. PROCUREMENT

Applicants must have a procurement policy that outlines the procurement process when using federal, state and local funds. The guidebook, [Procurement Guidance for Transit Agencies](#), should be referenced in the procurement policy and utilized when entering into third-party procurements/contracts that utilize federal funds.

3.2. AMERICANS WITH DISABILITIES ACT (ADA)

Applicants must comply with the Americans with Disabilities Act, (ADA) of 1990, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; U. S. DOT regulations at 49 CFR Part 37; and FTA regulations at 49 CFR Part 609.

3.3. CIVIL RIGHTS SUBMISSIONS

Civil rights submissions that are required include, a Title VI Program, Equal Employment Opportunity (EEO) Program, Disadvantaged Business Enterprise (DBE) Program and annual goals, and an ADA Transition Plan. **All applicants must submit a copy of their Title VI Program with the grant application.** At the applicant's request, the FDOT District Office will provide technical assistance to the applicant in the development of their Title VI Program

3.4. AUDIT REQUIREMENTS

Part I Federally Funded: If the Agency is a state, local government, or non-profit organizations as defined in OMB Circular A-133 and a recipient of federal funds, the following annual audit criteria will apply:

1. In the event that the recipient expends \$750,000 or more in Federal awards in its fiscal year, the recipient must have a single or program-specific audit conducted in accordance with the provisions of OMB Circular A-133, as revised. Exhibit "D" to this agreement indicates Federal resources awarded through the Department by this agreement. In determining the Federal awards expended in its fiscal year, the recipient shall consider all sources of Federal awards, including Federal resources received from the Department. The determination of amounts of Federal awards expended should be in accordance with the guidelines established by OMB Circular A-133, as revised. An audit of the recipient conducted by the Auditor General in accordance with the provisions OMB Circular A-133, as revised, will meet the requirements of this part.
2. In connection with the audit requirements addressed in Part I, Paragraph 1, the recipient shall fulfill the requirements relative to auditee responsibilities as provided in Subpart C of OMB Circular A-133.
3. If the recipient expends less than the amount in Part I, Paragraph 1, an audit conducted in accordance with the provisions of OMB Circular A-133, is not required. If the recipient

elects to conduct such an audit, the cost of the audit must be paid from resources obtained from other than Federal entities.

4. Federal awards are to be identified using the Catalog of Federal Domestic Assistance (CFDA) title and number, award number and year, and name of the awarding federal agency.

Part II State Funded: If the Agency is a non-state entity as defined by Section 215.97(2) (m), Florida Statutes, and a recipient of state funds, the following annual audit criteria will apply:

1. In the event that the recipient expends a total amount of state financial assistance equal to or in excess of \$750,000 in any fiscal year, the recipient must have a State single or project-specific audit for such fiscal year in accordance with Section 215.97, Florida Statutes; applicable rules of the Department of Financial Services and the CFO; and Chapters 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General. Exhibit "D" to this agreement indicates state financial assistance awarded through the Department by this agreement. In determining the state financial assistance expended in its fiscal year, the recipient shall consider all sources of state financial assistance, including state financial assistance received from the Department, other state agencies, and other non-state entities. State financial assistance does not include Federal direct or pass-through awards and resources received by a non-state entity for Federal program matching requirements.

2. In connection with the audit requirements addressed in Part II, Paragraph 1, the recipient shall ensure that the audit complies with the requirements of Section 215.97(8), Florida Statutes. This includes submission of a financial reporting package as defined by Section 215.97(2) (e), Florida Statutes, and Chapter 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General.

3. If the recipient expends less than the amount in Part II, Paragraph 1, such audit is not required. If the recipient elects to conduct such an audit, the cost of the audit must be paid from the recipient's resources obtained from non-state entities.

4. State awards are to be identified using the Catalog of State Financial Assistance (CSFA) title and number, award number and year, and name of the state agency awarding it.

Part III Other Audit Requirements

1. The Agency shall follow-up and take corrective action on audit findings. Preparation of a summary schedule of prior year audit findings, including corrective action and current status of the audit findings is required. Current year audit findings require corrective action and status of findings.

2. Records related to unresolved audit findings, appeals, or litigation shall be retained until the action is completed or the dispute is resolved. Access to project records and audit work papers shall be given to the Department, the Department Comptroller, and the Auditor General. This section does not limit the authority of the Department to conduct or arrange for the conduct of additional audits or evaluations of state financial assistance or limit the authority of any other state official.

Part IV Report Submission

1. Copies of reporting packages for audits conducted in accordance with OMB Circular A-133 as revised, and required by Section 7.62 Part I of this agreement shall be submitted, when required by Section .320 (d), OMB Circular A-133 as revised, by or on behalf of the recipient directly to each of the following:

A. The Department at the following address:

Florida Department of Transportation

Office of Comptroller, MS 24

605 Suwannee Street

Tallahassee, Florida 32399-0405

Email: FDOTSingleAudit@dot.state.fl.us

B. The number of copies required by Sections .320 (d)(1) and (2), OMB Circular A-133 as revised, submitted to the following address:

Federal Audit Clearinghouse

Bureau of the Census

1201 East 10th Street

Jeffersonville, IN 47132

C. Other Federal agencies and pass-through entities in accordance with Sections .320 (e) and (f), OMB Circular A-133 as revised.

2. In the event that a copy of the reporting package for an audit required by Section 7.62 Part I of this Agreement and conducted in accordance with OMB Circular A-133 as revised is not required to be submitted to the Department for reasons pursuant to section .320 (e)(2), OMB Circular A-133 as revised, the recipient shall submit the required written notification pursuant to Section .320 (e)(2) and a copy of the recipient's audited schedule of expenditures of Federal awards directly to each of the following:

Florida Department of Transportation

Office of Comptroller, MS 24

605 Suwannee Street

Tallahassee, Florida 32399-0405

Email: FDOTSingleAudit@dot.state.fl.us

In addition, pursuant to Section .320 (f), OMB Circular A-133 as revised, the recipient shall submit a copy of the reporting package described in Section .320 (c), OMB Circular A-133 as revised, and any management letters issued by the auditor, to the Department at the following address:

Florida Department of Transportation

Office of Comptroller, MS 24

605 Suwannee Street

Tallahassee, Florida 32399-0405

Email: FDOTSingleAudit@dot.state.fl.us

3. Copies of financial reporting packages required by Section 7.62 Part II of this Agreement shall be submitted by or on behalf of the recipient directly to each of the following:

A. The Department at the following address:

Florida Department of Transportation

Office of Comptroller, MS 24

605 Suwannee Street

Tallahassee, Florida 32399-0405

Email: FDOTSingleAudit@dot.state.fl.us

B. The Auditor General's Office at the following address:

Auditor General's Office

Room 401, Pepper Building

111 West Madison Street

Tallahassee, Florida 32399-1450

4. Copies of reports or the management letter required by Section 7.62 Part III of this Agreement shall be submitted by or on behalf of the recipient directly to:

A. The Department at the following address:

Florida Department of Transportation

Office of Comptroller, MS 24

605 Suwannee Street

Tallahassee, Florida 32399-0405

Email: FDOTSingleAudit@dot.state.fl.us

5. Any reports, management letter, or other information required to be submitted to the Department pursuant to this Agreement shall be submitted timely in accordance with OMB Circular A-133 as revised, Section 215.97, Florida Statutes, and Chapter 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General, as applicable.

6. Recipients, when submitting financial reporting packages to the Department for audits done in accordance with OMB Circular A-133 as revised or Chapters 10.550 (local governmental entities) or 10.650 (nonprofit and for-profit organizations), Rules of the Auditor General, should indicate the date that the reporting package was delivered to the Agency in correspondence accompanying the reporting package.

3.5. CERTIFICATIONS AND ASSURANCES

Applicants must agree to comply with certain Federal requirements by signing the certification and assurances form covered by **Exhibits E, F, H and K** of this manual, as appropriate. Compliance items in **Exhibit E** include (but are not limited to) regulations pertaining to charter service and school bus service

when using FTA-funded vehicles, equipment, and facilities; and FTA drug and alcohol testing regulations. **Exhibit F** applies to applicants for capital assistance to purchase non-accessible vehicles. **Exhibit H** pertains to Protection of the Environment and applies to applicants seeking grants for facilities. **Exhibit K** assures compliance with Section 5333(b) of the Federal Transit Act regarding compliance with labor protection provisions, and applies to all applicants. Applicants for the Section 5311(f) Capital Assistance must also sign a certification and assurance to FDOT, as provided in **Exhibit G** of this manual.

4. GRANT AWARD PROCESS FOR SECTION 5311(F) ASSISTANCE

In the case of Operating Assistance, the respective FDOT Central Office will make grant awards to agencies submitting applications approved by FDOT by entering into a Joint Participation Agreement (JPA) with the agency (recipient). For Capital Assistance, the Central Office will either issue a JPA to the recipient or the FDOT District Office will issue a JPA to the applicant/recipient.

5. GENERAL INSTRUCTIONS ON FORMS, CERTIFICATIONS, AND EXHIBITS

Each form, exhibit, and certification in an application provides FDOT with information it must have to make required assurances to the Federal government and to make project selections. It is important that each required form, exhibit, and certification be complete and correct. Applicants should be aware that there are criminal sanctions for furnishing false information in order to obtain federal grants (18 U.S.C. 1001).

The **original** application should be prepared on white, 8.5 X 11” paper and securely clipped (no staples, binders or dividers, please) and submitted to the appropriate FDOT District Office, as shown in the Appendix of this manual. Each District Office requires at a minimum one (1) original and additional copies, as determined by the District, to be submitted. **Application forms, resolutions, exhibits, and certifications should be arranged in the order listed in the “Checklist for Application Completeness”, as provided in this manual, to assure the application is complete.** Incomplete, illegible, or unsigned applications may be rejected.

The **original** application must be accompanied by the enclosed **cover letter** (see Appendix) and **two fully-executed Resolution** forms from the applicant’s governing board (see Appendix for samples). The Resolution should authorize 1) submission of the application; 2) signing of the application and certifications/assurances by a designated individual; 3) acceptance of the grant award by the designated individual; and 4) be printed on company letterhead (cover letter).

All signatures should be in [blue](#) ink by the individual designated by the governing board of the applicant agency. Blue ink distinguishes an original signature from a photocopy. Only original signature resolutions, applications, and acceptance of grant awards are acceptable. The additional copies of the original application may be photocopies. Agencies submitting an application via TransCIP should print and sign the documents and upload a scanned color copy into TransCIP.

Questions regarding the Section 5311(f) application process should be directed to the FDOT District Office in the applicant’s service area, as shown in the Appendix of this manual.

6. CHECKLIST FOR APPLICATION COMPLETENESS

6.1. APPLIES TO APPLICANTS FOR OPERATING ASSISTANCE

Name of Applicant: _____

Check One: New Applicant _____ Recurring Applicant _____

The following documents must be included in section 5311(f) Operating Assistance Applications in the order listed:

- ___ Checklist for Application Completeness (this form)
- ___ Applicant's cover letter (see Appendix 11.3 **Error! Reference source not found.** for Sample)
- ___ Two (2) copies of the governing board's Resolution (see Appendix 11.2 for Sample)
- ___ Application for Federal Assistance (**Form 424**, Code 20.509)
- ___ Exhibit A: Current System Description
- ___ Exhibit A-1: Fact Sheet
- ___ Exhibit B – Proposed Project Description
- ___ Forms B-1 and B-2 (Operating and Administrative Expense & Revenues; Grant Request)
- ___ Form B-3 and proof of local match
- ___ Exhibit E: Federal Certifications and Assurances
- ___ Exhibit J: Standard Lobbying Certification Form
- ___ Exhibit K: FTA Section 5333(b) Assurance.
- ___ Copy of the Title VI Plan

FOR DEPARTMENT USE ONLY

Date: _____ Letter received from the Local RPC/Clearinghouse

6.2. APPLIES TO APPLICANTS FOR CAPITAL ASSISTANCE

Name of Applicant: _____

Check one: New Applicant _____ Recurring Applicant _____

The following must be included in the Application for Section 5311(f) Capital Assistance in the order listed.

Checklist for Application Completeness (this form)

- ___ Applicant's cover letter (see appendix 11.3 for Sample)
- ___ Two (2) copies of the governing board's Resolution (see appendix 11.2 for Sample)
- ___ Application for Federal Assistance (**Form 424**, Code 20.509)
- ___ Exhibit A: Current System Description
- ___ Exhibit A-1: Fact Sheet
- ___ Exhibit B: Proposed Project Description
- ___ Exhibit C: Public Hearing and Publisher's Affidavit (public agencies only)
- ___ Forms C-1 and C-2 (Operating and Administrative Expenses & Revenues)
- ___ Form C3 and proof of local match
- ___ Form C-4: Current Vehicle and Transportation Equipment Inventory Form
- ___ Form C-5: Capital Request Form
- ___ Exhibit D –Leasing
- ___ Exhibit E: Federal Certifications and Assurances
- ___ Exhibit F: Certification of Equivalent Service (if grant is for non-accessible vehicles)
- ___ Exhibit G: Applicant Certification and Assurance to FDOT
- ___ Exhibit J: Standard Lobbying Certification Form
- ___ Exhibit K: FTA Section 5333(b) Assurance
- ___ Copy of the Title VI Plan

If grant is for facilities:

- ___ Copy of cover letter sent with application submitted to Local Clearinghouse Agency/RPC Date: ___
- ___ Exhibit H: Protection of the Environment

FOR DEPARTMENT USE ONLY

Date: _____ Letter received from the Local RPC/Clearinghouse

7. GRANT APPLICATION INSTRUCTIONS FOR REQUIRED 424 FORM

The standard Application for Federal Assistance (Form 424) must be filled out in its entirety for Section 5311(f) applications. A sample of the standard form is located on the next page of this manual. Applicants that are not using TransCIP should print a copy of the [424 form](#). This form must be used for **ALL** applications.

No pre-application process is used in this program; therefore, all submissions are applications.

The code assigned to the Section 5311 Program [including 5311(f)] in the Catalog of Federal Domestic Assistance is 20.509. This code should be shown in Section 10 of the form followed by the title: “Rural Areas Formula Program.” A guidance document containing Congressional Districts, DUNS Numbers, UZA numbers and Catalog of Federal Domestic Assistance Numbers can be obtained from

<http://www.dot.state.fl.us/transit/Pages/grantsadministration.shtm>.

7.1. 424 FORM FOR AGENCIES APPLYING ONLY FOR OPERATING ASSISTANCE

Standard Form 424 should cover only the Operating Assistance being applied for.

7.2. AGENCIES APPLYING ONLY FOR CAPITAL ASSISTANCE

Standard Form 424 should cover only the Capital Assistance being applied for.

7.3. AGENCIES APPLYING FOR BOTH OPERATING AND CAPITAL ASSISTANCE

Submit separate Standard Form 424 for Operating and Capital. I.e. one form should cover Operating Assistance and a separate form should cover Capital Assistance being applied for by the applicant.

7.4. FORM 424 SAMPLE AND INSTRUCTIONS

Item:	Entry:
1.	Type of Submission should be "Application"
2.	Type of Application should be "New"
3.	"Not Applicable"
4.	"Not Applicable"
5. a	"Not Applicable"
5 B	Federal Award Identifier (FTA Grant Number) is not needed at this time.
6.	State use only (if applicable)
7.	State Application Identifier is "1001"
8. a, b, c, d, e, and f	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter employer/taxpayer identification number (EIN/TIN) as assigned by Internal Revenue Service, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.
9.	Type of Applicant 1: Select Applicant Type
10	Name of Federal Agency should be "Federal Transit Administration"
11.	Catalog of Federal Domestic Assistance Number is: 20.509 CFDA Title should be: Section 5311(f)
12.	"Not Applicable"
13.	"Not Applicable"
14	List the areas affected by project (cities, counties, States etc.). Can be submitted on a separate piece of paper.
15.	Enter a brief descriptive title of the project. If appropriate (e.g., construction or real property projects), attach a map showing project location. For pre-applications, use a separate sheet to provide a summary description of this project.
16.	List the applicant's Congressional District and any District(s) affected by the program or project
17	Enter the proposed start date and end date of the project.
18.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item
19.	Check the applicable box

20.	Check the applicable box (If “yes”, provide explanation in attachment)
21.	Must be signed by a governing board representative that was authorized to sign this particular application

Application for Federal Assistance SF-424		
* 1. Type of Submission:	* 2. Type of Application:	* If Revision, select appropriate letter(s):
<input type="checkbox"/> Preapplication <input type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	<input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision	<input type="text"/> * Other (Specify): <input type="text"/>
* 3. Date Received:	4. Applicant Identifier:	
<input type="text"/>	<input type="text"/>	
5a. Federal Entity Identifier:	5b. Federal Award Identifier:	
<input type="text"/>	<input type="text"/>	
State Use Only:		
6. Date Received by State:	7. State Application Identifier:	
<input type="text"/>	<input type="text"/>	
8. APPLICANT INFORMATION:		
* a. Legal Name: <input type="text"/>		
* b. Employer/Taxpayer Identification Number (EIN/TIN):	* c. Organizational DUNS:	
<input type="text"/>	<input type="text"/>	
d. Address:		
* Street1:	<input type="text"/>	
Street2:	<input type="text"/>	
* City:	<input type="text"/>	
County/Parish:	<input type="text"/>	
* State:	<input type="text"/>	
Province:	<input type="text"/>	
* Country:	USA: UNITED STATES <input type="text"/>	
* Zip / Postal Code:	<input type="text"/>	
e. Organizational Unit:		
Department Name:	Division Name:	
<input type="text"/>	<input type="text"/>	
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: <input type="text"/>	* First Name: <input type="text"/>	
Middle Name: <input type="text"/>		
* Last Name: <input type="text"/>		
Suffix: <input type="text"/>		
Title: <input type="text"/>		
Organizational Affiliation: <input type="text"/>		
* Telephone Number: <input type="text"/>	Fax Number: <input type="text"/>	
* Email: <input type="text"/>		

Application for Federal Assistance SF-424		
* 9. Type of Applicant 1: Select Applicant Type:		
<input type="text"/>		
Type of Applicant 2: Select Applicant Type:		
<input type="text"/>		
Type of Applicant 3: Select Applicant Type:		
<input type="text"/>		
* Other (specify):		
<input type="text"/>		
* 10. Name of Federal Agency:		
<input type="text"/>		
11. Catalog of Federal Domestic Assistance Number:		
<input type="text"/>		
CFDA Title:		
<input type="text"/>		
* 12. Funding Opportunity Number:		
<input type="text"/>		
* Title:		
<input type="text"/>		
13. Competition Identification Number:		
<input type="text"/>		
Title:		
<input type="text"/>		
14. Areas Affected by Project (Cities, Counties, States, etc.):		
<input type="text"/>	<input type="button" value="Add Attachment"/>	<input type="button" value="Delete Attachment"/>
	<input type="button" value="View Attachment"/>	
* 15. Descriptive Title of Applicant's Project:		
<input type="text"/>		
Attach supporting documents as specified in agency instructions.		
<input type="button" value="Add Attachments"/>	<input type="button" value="Delete Attachments"/>	<input type="button" value="View Attachments"/>

Application for Federal Assistance SF-424

16. Congressional Districts Of:

* a. Applicant * b. Program/Project

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

* a. Start Date: * b. End Date:

18. Estimated Funding (\$):

* a. Federal
 * b. Applicant
 * c. State
 * d. Local
 * e. Other
 * f. Program Income
 * g. TOTAL

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

a. This application was made available to the State under the Executive Order 12372 Process for review on .
 b. Program is subject to E.O. 12372 but has not been selected by the State for review.
 c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**

Yes No

If "Yes", provide explanation and attach

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

**** I AGREE**

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix: * First Name:
 Middle Name:
 * Last Name:
 Suffix:

* Title:

* Telephone Number: Fax Number:

* Email:

* Signature of Authorized Representative: * Date Signed:

8. APPLIES TO ALL APPLICANTS

8.1. EXHIBIT A – CURRENT SYSTEM DESCRIPTION

Applicants must submit Exhibit A as part of their application. Exhibit A should provide a short description of who the applicant is and what services they provide (**not to exceed two pages**). It is required that all applicants provide the Current System Description in a **question/answer format**. The following information shall be included in the narrative in a detailed manner:

- What is a general overview of the organization including its mission, program goals and objectives?
- What is the organizational structure, type of operation, number of employees, and other pertinent organizational information? Include an organizational chart that shows the positions that are involved in the transit department i.e. fleet manager, vehicle maintenance. The organizational chart may be placed after this exhibit.
- Who is responsible for insurance, training and management, and administration of the agencies transportation program?
- Who provides maintenance for the vehicles? Is it outsourced? What type of Preventative Maintenance work does the agency do on-site?
- What is the agency's current number of transportation related employees?
- Who will drive the vehicle, number of drivers, CDL certifications? (if capital assistance is requested)
- What is a detailed description of service routes and ridership numbers?

If the applicant is a Community Transportation Coordinator (CTC), **relevant** pages of a Transportation Disadvantaged Service Plan (TDSP) and Annual Operating Report (AOR) containing the above information should be provided.

Evaluators will rely heavily on an applicant's narrative in selecting projects for Section 5311(f) Grants.

8.2. EXHIBIT A-1: FACT SHEET REGARDING INTERCITY BUS SERVICE

Name of Applicant: _____

	CURRENTLY	IF GRANT IS AWARDED
1. Number of one-way passenger trips.* PER YEAR		
2. Number of individuals served unduplicated (first ride per rider per fiscal year). PER YEAR**		
3. Number of vehicles used for this service. ACTUAL		
4. Number of ambulatory seats. AVERAGE PER VEHICLE (Total ambulatory seats divided by total number of fleet vehicles)		
5. Number of wheelchair positions. AVERAGE PER VEHICLE (Total wheelchair positions divided by total number of fleet vehicles)		
6. Vehicle Miles traveled. PER YEAR		
7. Average vehicle miles PER DAY		
8. Normal vehicle hours in operation. PER DAY		
9. Normal number of days in operation. PER WEEK		
10. Trip length (roundtrip). AVERAGE		

Estimates are acceptable. The information listed should be specific to the Section 5311(f) funds and not agency wide.

* One way passenger trip is the unit of service provided each time a passenger enters the vehicle, is transported, then exits the vehicle. Each different destination would constitute a passenger trip

** The unduplicated riders are for current year and the subsequent year once the grant is awarded

8.3. EXHIBIT B: PROPOSED PROJECT DESCRIPTION

Applicants must submit **Exhibit B** as part of their application (not to exceed three (3) pages). The proposed project description should be thorough as evaluators will rely heavily on the narrative in reviewing and ranking an application. It is required that you submit the Project Description in a question/answer format. The project description should not repeat the current system description shown in Exhibit A. Exhibit B must include, but not be limited to:

1. Is the project to continue the existing level of services, to expand present service, or to provide new service? How will a grant award be used? More hours? Larger geographic area? Shorter headways? More trips? Please explain in detail.
2. If a grant award will be used to maintain services as described in Exhibit A, specifically explain how it will be used in the context of total service.
3. Give a detailed explanation of the need for the vehicle and provide evidence of the need.
4. Will a grant award be used to replace existing equipment or purchase additional vehicles/equipment? Provide details.
5. Identify vehicles/equipment being replaced and list them on the “**Current Vehicle and Transportation Equipment Inventory**” form, provided elsewhere in this manual.
6. Describe how vehicles will be maintained without interruptions in service (who, what, where, and when).
7. If vehicles and/or equipment are proposed to be used by a lessee or private operator under contract to the applicant, identify the proposed lessee/operator.
 - a. Include an equitable plan for distribution of vehicles/equipment to lessees and/or private operators.
8. Each applicant shall indicate whether they are a government authority or a private non-profit agency, provide a brief description of the project which includes the counties services, whether the applicant employees are represented by a union and if so represented the name and local number of the union.

New Agencies:

9. Fully explain Your Transportation Program
 - a. Service hours, planned service, routes and trip types
 - b. Staffing – include plan for training on vehicle equipment such as wheelchair lifts, etc.
 - c. Records maintenance
 - d. Vehicle maintenance – who, what, when and where
 - e. CDL requirements
 - f. System Safety Program Plan (SSPP)
 - g. Drug free work place

8.4. EXHIBIT E: FEDERAL CERTIFICATIONS AND ASSURANCES

The **last** page (Appendix A) of the annual Federal Register Notice that applies to Federal Certifications and Assurances provides applicants with a single signature page on which an applicant and its attorney must certify compliance with the requirements of the various Federal Transit Administration grants or cooperative agreements. The Federal Register Notice is revised annually and is usually available around January 1 of each year. Applicants may obtain a copy of the current year document through the Internet at <http://www.fta.dot.gov/grants/13071.html>. If unable to access the form, applicants may contact their FDOT District Office for assistance. The appropriate signed Federal certification/assurance form must be included in the application when it is submitted to the FDOT District Office.

Submissions in TEAM: An applicant submitting certifications and assurances for their agency in TEAM can attach a screenshot of their PIN as replacement of the signature page.

The signature page for Federal Certifications and Assurances should be signed by an individual authorized by the applicant’s governing board to sign and submit applications, and its attorney. Blue ink is suggested as it distinguishes an original signature from a photocopied signature.

Federal Certifications and Assurances Required of Each Applicant:

- Authority of applicant and its representative
- Standard Assurances
- [Debarment and Suspension, and other Responsibility Matters](#)
- [Drug Free Workplace Certification](#)
- Intergovernmental Review Assurance
- [Federal Transit Administration Master Agreement](#)
- Nondiscrimination Assurance
- Assurance of Nondiscrimination on the Basis of Disability Procurement Compliance.

A. Applicants for Federal Assistance may signify compliance with the above certifications and assurances by placing an “X” at the top of Appendix A next to the statement that reads: “The Applicant agrees to comply with applicable requirements of Categories I-XV”. If an applicant chooses to do this, no additional notation is necessary, except for the signature on the reverse.

OR

B. The applicant may signify compliance with certifications and assurances applicable only to the Section 5311 Program (including the 5311(f) Program), specifically, Category XIV, by placing an “X” in Category I, “Certifications and Assurances required of each applicant” (to cover the above-noted items), as well as an “X” in Category XIV.

A description of the certifications required for the Section 5311/5311(f) Formula Grants for Rural Areas Program is provided in the annual Federal Register Notice.

**8.5. EXHIBIT J: STANDARD LOBBYING CERTIFICATION FORM
FEDERAL FISCAL YEAR 2016**

NOTE: All grant awards issued to a recipient in the amount of \$100,000 or more must include a signed standard lobbying form.

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

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form--LLL, "Disclosure Form to Report Lobbying," (a copy the form can be obtained from <http://www.dot.state.fl.us/transit/Pages/grantsadministration.shtm>) in accordance with its instructions [as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, *et seq.*)]

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

[Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The Contractor, _____, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31 U.S.C. A 3801, *et seq.*, apply to this certification and disclosure, if any.

_____ Signature of Contractor's Authorized Official

_____ Name and Title of Contractor's Authorized Official

_____ Date

8.6. EXHIBIT K: FTA SECTION 5333(B) ASSURANCE

(Note: By signing the following assurance, the recipient of Section 5311 and/or 5311(f) assistance assures it will comply with the labor protection provisions of 49 U.S.C. 5333(b) by one of the following actions: (1) signing the Special Warranty for the Rural Area Program ([see FTA Circular C 9040.1E, Chapter X](#)); (2) agreeing to alternative comparable arrangements approved by the [Department of Labor \(DOL\)](#); or (3) obtaining a waiver from the DOL.)

The _____ (hereinafter referred to as the “Recipient”) HEREBY ASSURES that the “Special Section 5333 (b) Warranty for Application to the Small Urban and Rural Program” has been reviewed and certifies to the Florida Department of Transportation that it will comply with its provisions and all its provisions will be incorporated into any contract between the recipient and any sub-recipient which will expend funds received as a result of an application to the Florida Department of Transportation under the FTA Section 5311(f) Program.

Dated _____

(Name and Title of Authorized Representative)

(Signature of Authorized Representative)

Note: All applicants must complete the following form and submit it with the above Assurance.

**LISTING OF RECIPIENTS, OTHER ELIGIBLE SURFACE TRANSPORTATION PROVIDERS, UNIONS OF SUB-RECIPIENTS, AND LABOR ORGANIZATIONS REPRESENTING EMPLOYEES OF SUCH PROVIDERS, IF ANY
(See Appendix for Example)**

1 Identify Recipients of Transportation Assistance Under this Grant.	2 Site Project by Name, Description, and Provider (e.g. Recipient, other Agency, or Contractor)	3 Identify Other Eligible Surface Transportation Providers (Type of Service)	4 Identify Unions (and Providers) Representing Employees of Providers in Columns 1, 2, and 3.

9. APPLIES TO APPLICANTS FOR OPERATING ASSISTANCE

9.1. TRANSPORTATION-RELATED OPERATING AND ADMINISTRATIVE EXPENSES & REVENUES AND CALCULATION OF GRANT REQUEST

Information regarding the applicant's transportation-related operating and administrative expenses and revenues of the intercity bus service must be provided with the application. Form B-1 and B-2, as provided in this manual, should be used for this purpose. **(Note: the expenses and revenues associated with other sectors of operations should not be included in these forms.)** Form B-1 provides space for the applicant to show operating and administrative expenses of the intercity bus service operated/contracted (or proposed) by the applicant. Form B-1 also provides space to calculate a grant request. However, the grant request cannot be completed until Form B-2 is completed. Form B-2 provides space for the applicant to show the sources of revenue to pay for the expenses shown in Form B-1.

The budget line items shown in both forms were originally defined in the Transportation Accounting Consortium's Model Uniform Accounting System for Rural and Specialized Transportation Providers (TAC manual). The account numbers in parentheses are the object code numbers for these line items in the TAC manual and in FTA National Transit Data Reports (NTD). Definitions for expense and revenue line items are included below.

Applicants should show the operating and administrative expenses and revenues of their agency for the intercity bus service as projected for the year the Section 5311(f) Grant award is to be used. For example, the projected expense and revenue budgets for year FY 2016/2017 should be used if Section 5311(f) Assistance is requested by the applicant for use in FY 2016/2017.

DEFINITIONS:

Source: ([National Transit Data Report - NTD](#))

Operating and Administrative Expenses:

- **(501) labor** - The pay and allowances due employees in exchange for the labor services they render in behalf of the transit system.
- **(502) fringe and benefits** - Payments or accruals to others (insurance companies, governments, etc.) on behalf of an employee and payments or accruals direct to an employee arising from something other than his performance of a piece of work.
- **(503) services** - Labor and other work provided by outside organizations for fees and related expenses.
- **(504) materials and supplies** - Tangible products obtained from outside suppliers or manufactured internally.
- **(504.01) vehicle maintenance** - Cost of fuel and lubricants, tires and tubes, vehicle maintenance parts.
- **(505) utilities** - Payments made to various utilities for utilization of their resources (e.g., electric, gas, water, telephone, etc.)
- **(506) insurance** - Cost elements covering protection of the transit system from loss through insurance programs; compensation of others for their losses due to acts for which the transit system is liable; and recognition of the cost of a miscellaneous category of corporate losses.

- **(507) license and taxes** - Taxes and fees levied against the transit system by Federal, state, and local governments.
- **(508) purchased transit service** - The payment or accrual to other transit systems for providing transportation service.
- **(509) miscellaneous** - Those expenses which cannot be attributed to any of the other major expense categories.
- **(512) leases and rentals** - Payments for the use of capital assets not owned by the transit system.
- **(513) depreciation** - Charges that reflect the loss in service value of the transit system's assets.

Operating and Administrative Revenues:

- **(401) passenger fares for transit services** - Revenue earned from carrying passengers along regularly scheduled routes.
- **(402) special transit fares** - Revenues earned for rides given in regular transit service, but paid for by some organization rather than by the rider, and for rides given along special routes for which revenue may be guaranteed by a beneficiary of the service.
- **(403) school bus service revenues** - Revenues earned from operating vehicles under school bus contracts.
- **(404) freight tariffs** - Revenues earned from carrying freight on runs whose primary purpose is passenger operations.
- **(405) charter service revenues** - Revenues earned from operating vehicles under charter contracts.
- **(406) auxiliary transportation revenues** - Revenues earned from operations closely associated with the transportation operations (e.g., concessions, advertising, automobile ferriage, etc.)
- **(407) nontransportation revenues** - Revenues earned from activities not associated with the provision of the transit system's transit service (e.g., sale of maintenance services, rental of revenue vehicles, rental of buildings and other property, investment income, parking lot revenue, etc.)
- **(408) taxes levied directly by transit system** - Tax revenues to transit systems that are organized as independent political subdivision with their own taxation authority.
- **(409) local cash grants and reimbursements** - Funds obtained from local government units to assist in paying the cost of operating transit services.
- **(410) local special fare assistance** - Funds obtained from local government units to help cover the difference between full adult fares and special reduced fares. *(Includes local social service contract funds).*
- **(411) state cash grants and reimbursements** - Funds obtained from state government to assist in paying the cost of operating transit services. *(Includes Commission for the Transportation Disadvantaged grant funds).*
- **(412) state special fare assistance** - Funds obtained from state government to help cover the difference between full adult fares and special reduced fares. *(Includes state social service contract funds).*

- **(413) federal cash grants and reimbursements** - Funds obtained from the Federal government to assist in paying the cost of operating transit services. Include and identify the source of unrestricted Federal Funds used as match.
- **(414) interest income** - Revenues earned from the lending or deposit of funds.
- **(430) contributed services** - The receipt of services (not cash) from another entity where such services benefit transit operations and the transit operator is under no obligation to pay for the services.
- **(431) contributed cash** - The receipt of funds from another entity where such funds benefit transit operations and the transit operator is under no obligation to repay the funds.
- **(440) subsidy from other sectors of operations** - Funds obtained from other sectors of a transit company's operations to help cover the cost of providing transit service.

9.2. INSTRUCTIONS FOR COMPLETING FORM B-1

Applicants should complete the “Eligible Expense” column of Form B-1. The definitions for each line item code, as provided in the Appendix of this manual, apply. The “Eligible Expense” column should show only those expenses that are eligible under FTA rules for intercity bus service. This means, for example, that expenses for services provided exclusively within a Rural Area, service exclusively within an urbanized area, charter service, school bus service, service not open to the general public, depreciation expense, and other ineligible expenses should not be shown in the “Eligible Expense” column.

After completing expense information on Form B-1, applicants should next complete Form B-2 (see instructions below).

9.3. FORM B-1: OPERATING AND ADMINISTRATIVE EXPENSES OF INTERCITY BUS SERVICE

Name of Applicant: _____

Name of Transit Program: _____

Applicant Fiscal period start and end dates: _____ to _____

State Fiscal period from: July 1, 2016 to June 30, 2017

EXPENSE CATEGORY	ELIGIBLE EXPENSE OF INTERCITY BUS SERVICE
Labor (501)	\$ _____
Fringe and Benefits (502)	_____
Services (503)	_____
Materials and Supplies (504)	_____
Vehicle Maintenance (504.01)	_____
Utilities (505)	_____
Insurance (506)	_____
Licenses and Taxes (507)	_____
Purchased Transit Service (508)	_____
Miscellaneous (509)	_____
Leases and Rentals (512)	_____
Depreciation (513)	_____
TOTAL	\$ _____ (a)

Section 5311(f) Grant REQUEST

Total Eligible Expense (from Form B-1, above) \$ _____ (a)

Passenger Fare Revenues (from Form B-2) \$ _____ (b)

Operating Deficit \$ _____ (c)
 [Eligible Expense (a) minus Passenger Fares (b)]

Section 5311(f) Request \$ _____ (d)
 (No more than 50% of Operating Deficit)

Grand Total Revenues (from Form B-2) \$ _____ *(e)

Note: If Grand Total Revenues (e) exceeds Eligible Expense (a), reduce the Section 5311(f) Request (d) by that amount.

9.4. INSTRUCTIONS FOR COMPLETING FORM B-2

Applicants should complete the “Revenue Used as Match” column of Form B-2 as it relates to the intercity bus service. “Revenue Used as Match” should include all revenues eligible under FTA rules to pay for the expenses shown in Form B-1, as noted previously. The definitions for each line item code, as provided in the Appendix of this manual, apply. Revenues in object codes 410, 411, 412, and 430 are qualifying revenues under FTA rules. Qualifying revenues in object code 413 include unrestricted Federal funds, but **DO NOT INCLUDE**, revenues from FTA or other USDOT revenues. In other words, Section 5307, 5310, 5311, 5311(f) and other sources of revenue from FTA or other USDOT sources do not qualify to match Section 5311(f) Assistance.

Next, “Total Passenger Fares” (401) and “Grand Total Revenues” should be transferred to the grant request section of **Form B-1**.

To calculate the grant request on **Form B-1**:

- Enter the total (a) from the Eligible Expense column of Form B-1.
- Enter the total passenger fare revenue (b) from Form B-2 (object Code 401.)
- Subtract the passenger fare revenue (b) from the Eligible Expense (a) to determine the operating deficit (c).
- Complete the Section 5311(f) request (d). Applicants may request no more than 50% of the operating deficit. Total revenues may not exceed total costs. Therefore, it may be necessary to adjust the Section 5311(f) request to an amount less than 50% of the deficit calculated.

9.5. FORM B-2: OPERATING AND ADMINISTRATIVE REVENUES OF INTERCITY BUS SERVICE

Name of Applicant: _____

Name of Transit Program: _____

Applicant Fiscal period start and end dates: _____ to _____

State Fiscal period from July 1, 2016 to June 30, 2017

OPERATING REVENUES CATEGORY	REVENUE USED AS MATCH
Passenger Fares (401)	
Special Transit Fares (402)	
Freight Tariffs (404)	
Auxiliary Transportation Revenues (406)	
Non-transportation Revenues (407)	
Total Operating Revenue	\$
OTHER REVENUE CATEGORY	
Taxes Levied directly by the Transit System (408)	
Local Cash Grants and Reimbursements (409)	
Local Special Fare Assistance (410)	
State Cash Grants and Reimbursements (411)	
State Special Fare Assistance (412)	
Federal Cash Grants and Reimbursements (413)	
Interest Income (414)	
Contributed Services (430)	
Contributed Cash (431)	
Subsidy from Other Sectors of Operations (440)	
Total of Other Revenue	\$
GRAND TOTAL ALL REVENUE	\$ (e)

9.6. FORM B-3: LOCAL MATCH FOR THIS APPLICATION

Can be a cash match, human services transportation contract or in-kind. Income from contract to provide human service transportation may be used either to reduce the net project cost or to provide local match. In either case, the cost of providing the contract service is included in the total project cost. No Federal Transit Administration program funds can be used as a source of local match for other FTA Programs, even when used to contract for service. In-kind match must be approved, prior to invoicing, by the District Comptroller’s Office and be an eligible source listed in the FTA Master Agreement.

Name of Applicant: _____

Sources and amounts of local share for the operating assistance being requested:

SOURCE:	AMOUNT:

 (Signature of authorized representative)

 (Name and title of authorized representative)

Attach documentation of match funds immediately behind this page. Proof may consist of, but not be limited to: written statements from county commissions, state agencies, city managers, mayors, town councils, organizations, accounting firms and financial institutions.

10. APPLIES TO APPLICANTS FOR CAPITAL ASSISTANCE

10.1. TRANSPORTATION-RELATED OPERATING AND ADMINISTRATIVE EXPENSES & REVENUES

Information regarding operating and administrative expenses and revenues of the intercity bus service must be provided with the application. Forms C-1 and C-2 are included in this manual for that purpose. **(Note: the expenses and revenues associated with other sectors of operations should not be included in these forms.)** These forms should provide information about operating and administrative expenses of the vehicles, facilities, or equipment, as described in Exhibits A and B of the application, and information about the sources of revenue used to pay for these expenses.

The budget line items shown on the forms were originally defined in the Transportation Accounting Consortium's Model Uniform Accounting System for Rural and Specialized Transportation Providers (TAC manual). The account numbers in parentheses are the object code numbers for these line items in the TAC manual and in FTA National Transit Data Reports (NTD). Definitions for expense and revenue line items are included below.

Applicants should show the operating and administrative expenses and revenues of their agency for intercity bus service as projected for the year the Section 5311(f) Grant award is requested. For example, the projected expense and revenue budgets for year FY 2016/2017 should be used if Section 5311(f) Assistance is requested by the Agency for use in FY 2016/2017.

DEFINITIONS: *Source: (National Transit Data Report - NTD)*
<http://www.ntdprogram.gov/ntdprogram/Glossary.htm>

Operating and Administrative Expenses:

- **(501) labor** - The pay and allowances due employees in exchange for the labor services they render in behalf of the transit system.
- **(502) fringe and benefits** - Payments or accruals to others (insurance companies, governments, etc.) on behalf of an employee and payments or accruals direct to an employee arising from something other than his performance of a piece of work.
- **(503) services** - Labor and other work provided by outside organizations for fees and related expenses.
- **(504) materials and supplies** - Tangible products obtained from outside suppliers or manufactured internally.
- **(504.01) vehicle maintenance** - Cost of fuel and lubricants, tires and tubes, vehicle maintenance parts.
- **(505) utilities** - Payments made to various utilities for utilization of their resources (e.g., electric, gas, water, telephone, etc.)
- **(506) insurance** - Cost elements covering protection of the transit system from loss through insurance programs; compensation of others for their losses due to acts for which the transit system is liable; and recognition of the cost of a miscellaneous category of corporate losses.
- **(507) license and taxes** - Taxes and fees levied against the transit system by Federal, state, and local governments.

- **(508) purchased transit service** - The payment or accrual to other transit systems for providing transportation service.
- **(509) miscellaneous** - Those expenses which cannot be attributed to any of the other major expense categories.
- **(512) leases and rentals** - Payments for the use of capital assets not owned by the transit system.
- **(513) depreciation** - Charges that reflect the loss in service value of the transit system's assets.

Operating and Administrative Revenues:

- **(401) passenger fares for transit services** - Revenue earned from carrying passengers along regularly scheduled routes.
- **(402) special transit fares** - Revenues earned for rides given in regular transit service, but paid for by some organization rather than by the rider, and for rides given along special routes for which revenue may be guaranteed by a beneficiary of the service.
- **(403) school bus service revenues** - Revenues earned from operating vehicles under school bus contracts.
- **(404) freight tariffs** - Revenues earned from carrying freight on runs whose primary purpose is passenger operations.
- **(405) charter service revenues** - Revenues earned from operating vehicles under charter contracts.
- **(406) auxiliary transportation revenues** - Revenues earned from operations closely associated with the transportation operations (e.g., concessions, advertising, automobile ferriage, etc.)
- **(407) nontransportation revenues** - Revenues earned from activities not associated with the provision of the transit system's transit service (e.g., sale of maintenance services, rental of revenue vehicles, rental of buildings and other property, investment income, parking lot revenue, etc.)
- **(408) taxes levied directly by transit system** - Tax revenues to transit systems that are organized as independent political subdivision with their own taxation authority.
- **(409) local cash grants and reimbursements** - Funds obtained from local government units to assist in paying the cost of operating transit services.
- **(410) local special fare assistance** - Funds obtained from local government units to help cover the difference between full adult fares and special reduced fares. *(Includes local social service contract funds).*
- **(411) state cash grants and reimbursements** - Funds obtained from state government to assist in paying the cost of operating transit services. *(Includes Commission for the Transportation Disadvantaged grant funds).*
- **(412) state special fare assistance** - Funds obtained from state government to help cover the difference between full adult fares and special reduced fares. *(Includes state social service contract funds).*
- **(413) federal cash grants and reimbursements** - Funds obtained from the Federal government to assist in paying the cost of operating transit services. Include and identify the source of

unrestricted Federal Funds used as match.

- **(414) interest income** - Revenues earned from the lending or deposit of funds.
- **(430) contributed services** - The receipt of services (not cash) from another entity where such services benefit transit operations and the transit operator is under no obligation to pay for the services.
- **(431) contributed cash** - The receipt of funds from another entity where such funds benefit transit operations and the transit operator is under no obligation to repay the funds.
- **(440) subsidy from other sectors of operations** - Funds obtained from other sectors of a transit company's operations to help cover the cost of providing transit service.

10.2. FORM C-1: OPERATING AND ADMINISTRATIVE EXPENSES OF INTERCITY BUS SERVICE

Name of Applicant: _____

Applicant Fiscal period start and end dates: _____ to _____

State Fiscal period from: July 1, 2016 to June 30, 2017

EXPENSE CATEGORY	EXPENSE \$
Labor (501)	\$
Fringe and Benefits (502)	
Services (503)	
Materials and Supplies (504)	
Vehicle Maintenance (504.01)	
Utilities (505)	
Insurance (506)	
Licenses and Taxes (507)	
Purchased Transit Service (508)	
Miscellaneous (509)	
Leases and Rentals (512)	
Depreciation (513)	
TOTAL EXPENSE	\$

10.3. FORM C-2: OPERATING AND ADMINISTRATIVE REVENUES OF INTERCITY BUS SERVICE

OPERATING REVENUE CATEGORY	REVENUE \$
Passenger Fares for Transit Service (401)	
Special Transit Fares (402)	
Other (403 – 407) (identify by appropriate code)	
TOTAL OPERATING REVENUE	\$
OTHER REVENUE SOURCES	
Taxes Levied Directly by the Transit System (408)	
Local Cash Grants and Reimbursements (409)	
Local Special Fare Assistance (410)	
State Cash Grants and Reimbursements (411)	
State Special Fare Assistance (412)	
Federal Cash Grants & Reimbursements (413)	
Interest Income (414)	
Contributed Services (430)	
Contributed Cash (431)	
Subsidy from Other Sectors of Operations (440)	
TOTAL OF OTHER REVENUE	\$
GRAND TOTAL ALL REVENUE	\$

10.4. FORM C-3: LOCAL MATCH FOR THIS APPLICATION

Can be a cash match, human services transportation contract or in-kind. Income from contract to provide human service transportation may be used either to reduce the net project cost or to provide local match. In either case, the cost of providing the contract service is included in the total project cost. No Federal Transit Administration program funds can be used as a source of local match for other FTA Programs, even when used to contract for service. In-kind match must be approved, prior to invoicing, by the District Comptroller’s Office and be an eligible source listed in the FTA Master Agreement.

Name of Applicant: _____

Sources and amounts of local share for the vehicles/equipment being requested:

SOURCE:	AMOUNT:

 (Signature of authorized representative)

 (Name and title of authorized representative)

Attach documentation of match funds immediately behind this page. Proof may consist of, but not be limited to: written statements from county commissions, state agencies, city managers, mayors, town councils, organizations, accounting firms and financial institutions.

10.5. CURRENT INTERCITY BUS SERVICE VEHICLE AND TRANSPORTATION EQUIPMENT INVENTORY

Applicants must complete the “Current Vehicle and Transportation Equipment Inventory” (Form C-4), see next page. All columns of the form must be completed. The form must include:

- A current list of all vehicles and equipment used by the applicant to transport individuals, including those bought in previous years with Federal funds;
- Those vehicles bought with other than Federal funds;
- Those vehicles now on order; and
- Those vehicles to be ordered with grant awards made in previous years.
- An asterisk (*) should be placed next to the model year of vehicles to be replaced with the grant being applied for with this application.
- Vehicles can only be listed as “replacement” once. If a replacement award was previously given for a vehicle, that vehicle cannot be listed for replacement again.
- Vehicles operated by the applicant’s contractor or lessee should also be identified, and the name of the contractor/lessee shown in Exhibit B of the application.

10.7. CAPITAL REQUEST

Applicants must complete the “Capital Request”, Form C-5, provided in this manual. The upper part of the form covers vehicles; the lower, other capital equipment such as radios, computer software, computer hardware, etc.

NOTE: In the case of vehicles, applicants should be sure to indicate whether the new vehicle is to replace (R) an older vehicle or expand (E) the fleet by buying a new vehicle. The length of the vehicle, the number of passenger seats & wheelchair positions, lift or ramp, and the type of fuel is also important because this affects the cost. The Make of the vehicle should not be shown on the form.

Applicants should refer to “What’s on the Market”, located in Appendix 11.1, to identify the most appropriate vehicle type for its needs, and the estimated cost. The appropriate FDOT District Office or the Center for Urban Transportation Research (see “What’s on the Market”) may be contacted for assistance.

10.8. FORM C-5: CAPITAL REQUEST

Name of Agency: _____

R or E (a)	Quantity	Description (b) www.tripsflorida.org	Estimated Cost
Sub-total			\$

(a) Replacement (R) or Expansion (E).

(b) Provide a brief description including the length and type vehicle, type of fuel, lift or ramp, number of seats and wheelchair positions. For example, 22' gasoline bus with lift, 12 ambulatory seats, and 2 wheelchair positions. Do not show the Make. **Any bus options that are part of purchasing the bus itself should be part of the vehicle request and NOT separated out under equipment.**

EQUIPMENT REQUEST (c)

If item requested is after-market, it is recommended to gather and retain at least two estimates for the equipment requested. Purchases must be approved at the local level and follow procurement guidelines.

	Quantity	Description	Estimated Cost
Sub-total			\$

(c) Show mobile radios and identify the type of radio (i.e. two way radio or stereo radio), computer hardware/software, etc. under "Equipment Request."

VEHICLE SUBTOTAL \$ _____ + EQUIPMENT SUBTOTAL \$ _____ = \$ _____ (x).

(x) X 80% = \$ _____ [This equals the Federal request. Show this amount on Form 424 in block 18(a)]

10.9. EXHIBIT C: PUBLIC HEARING

An opportunity for a public hearing is required ONLY for Public Agencies requesting Section 5311(f) Capital Assistance. An application submitted by a public agency should contain a copy of the notice of public hearing (identified as Exhibit C) and an affidavit of publication. If Exhibit C is not applicable, this should be stated in the application.

A sample public notice is located in Appendix 11.4 of this manual. A public notice should contain all pertinent information relating to the project (such as number and types of vehicles as well as the estimated cost of the vehicles) and should run at least one time in a newspaper of general circulation in the applicant's service area, no less than 15 or more than 30 days prior to the submission of an application. The notice should state that persons requesting a hearing must notify the applicant of the request, in writing, and send a copy of the request for a hearing to the FDOT District Office.

The deadline for hearing requests **must** be prior to the date applications are due at the District Office. If a hearing is requested:

1. A hearing must be conducted;
2. The FDOT District Office must be notified of the date, time, and location of the hearing; and
3. A copy of the minutes of the hearing (to include a discussion of issues raised and resolution of issues) must be submitted to the FDOT District Office, before a Section 5311(f) Award can be made.

10.10.EXHIBIT D: LEASING

MEMORANDUM for FTA 5311(f)

Date: _____

From: _____ (Typed name and title) _____ (Signature)

(Typed or printed agency name)

To: Florida Department of Transportation, District Office
Modal Development Office / Public Transit

Subject: YEAR 2016 GRANT APPLICATION TO THE
FEDERAL TRANSIT ADMINISTRATION,
5311(f) INTERCITY BUS SERVICE PROGRAM

Leasing

Will the _____, as applicant to the Federal Transit
(Name of applicant agency)

Administration Section 5311(f) Program, lease the proposed vehicle(s) or equipment out to a
third-party?

___ Yes ___ No

If yes, specify to whom:

NOTE: It is the responsibility of the applicant agency to ensure District approval of all lease agreements.

10.11.EXHIBIT F: CERTIFICATION FOR AGENCIES REQUESTING NON-ACCESSIBLE VEHICLES

If the applicant wants to purchase non-accessible vehicles for demand responsive service, the following “Certification of Equivalent Service” must be completed and included in the application.

CERTIFICATION OF EQUIVALENT SERVICE

The _____ certifies that its demand responsive service offered to individuals with disabilities, including individuals who use wheelchairs, is equivalent to the level and quality of service offered to individuals without disabilities. Such service, when viewed in its entirety, is provided in the most integrated setting feasible and is equivalent with respect to:

1. Response time;
2. Fares;
3. Geographic service area;
4. Hours and days of service;
5. Restrictions on trip purpose;
6. Availability of information and reservation capability; and
7. Constraints on capacity or service availability.

In accordance with 49 CFR Part 37, public entities operating demand responsive systems for the general public which receive financial assistance under 49 U.S.C. 5310 and 5311 [including 5311(f)] of the Federal Transit Administration (FTA) funds must file this certification with the appropriate state program office before procuring any inaccessible vehicle. Such public entities not receiving FTA funds shall also file the certification with the appropriate state office program. Such public entities receiving FTA funds under any other section of the FTA Programs must file the certification with the appropriate FTA regional office. This certification is valid for no longer than one year from its date of filing.

Executed this _____ day of _____, 20_____.

(Signature of authorized representative)

(Name and title of authorized representative)

10.12.EXHIBIT G: APPLICANT CERTIFICATION AND ASSURANCES TO FDOT

To be completed and signed by an individual authorized by the governing board of the applicant agency and submitted with the grant application.

The _____ (undersigned) _____ certifies and assures to the Florida Department of Transportation in regard to its Application under U.S.C. Section 5311 dated _____:

- 1) It shall adhere to all Certifications and Assurances made to the federal government in its Application.
- 2) It shall comply with Florida Statutes:
 - a. Section 341.051- Administration and financing of public transit and intercity bus service programs and projects
 - b. Section 341.061 (2) - Transit Safety Standards; Inspections and System Safety Reviews
- 3) It shall comply with Florida Administrative Code:
 - a. Rule Chapter 14-73 - Public Transportation
 - b. Rule Chapter 14-90 - Equipment and Operational Safety Standards for Bus Transit Systems
 - c. Rule Chapter 14-90.0041 - Medical Examination for Bus System Driver
 - d. Rule Chapter 41-2 - Definitions
- 4) It shall comply with the FDOT's:
 - a. Bus Transit System Safety Program Procedure No. 725-030-009
 - b. Public Transit Substance Abuse Management Program Procedure No. 725-030-035
 - c. Transit Vehicle Inventory Management Procedure No. 725-030-025
 - d. Public Transportation Vehicle Leasing Procedure No. 725-030-001
 - e. Guidelines for Acquiring Vehicles
 - f. Procurement Guidance for Transit Agencies Manual
- 5) It has the fiscal and managerial capability and legal authority to file the application.
- 6) Local matching funds will be available to purchase vehicles/equipment at the time an order is placed.
- 7) It will carry adequate insurance to maintain, repair, or replace project vehicles/equipment in the event of loss or damage due to an accident or casualty.
- 8) It will maintain project vehicles/equipment in good working order for the useful life of the vehicles/equipment.
- 9) It will return project vehicles/equipment to the FDOT if, for any reason, they are no longer needed or used for the purpose intended.

- 10) It recognizes the FDOT's authority to remove vehicles/equipment from its premises, at no cost to the FDOT, if the FDOT determines the vehicles/equipment are not used for the purpose intended, improperly maintained, uninsured, or operated unsafely.
- 11) It will not enter into any lease of project vehicles/equipment or contract for transportation services with any third party without prior approval of the FDOT.
- 12) It will notify the FDOT within 24 hours of any accident or casualty involving project vehicles/equipment, and submit related reports as required by FDOT.
- 13) It will submit an annual financial audit report to FDOT (FDOTSingleAudit@dot.state.fl.us), if required by the FDOT.

Date: _____

(Typed name and title of authorized representative)

(Signature of authorized representative)

10.13.EXHIBIT H: PROTECTION OF THE ENVIRONMENT IF GRANT IS FOR FACILITIES

Most transit projects funded under Section 5311 [including 5311(f)] will be classified by FTA as categorical exclusions. Examples of categorical exclusions include purchase of transit vehicles, and purchase of office equipment. If the proposed project is for construction or acquisition of facilities or other buildings, further evaluation may be required before a determination can be made that the project is a categorical exclusion. A Categorical Exclusion (CE) is described in 40 Code of Federal Regulations (CFR) 1508.4 and 23 CFR 771, as a project which, based upon past experience with similar actions, does not individually or cumulatively have a significant environmental effect, and is excluded from the requirement to prepare an Environmental Assessment (EA) or an Environmental Impact Statement (EIS). Therefore, a project that qualifies as a CE generally requires a lower level of documentation. These projects do not bring significant impacts to planned growth or land use for the area; do not require the relocation of significant numbers of people; do not have a significant impact on any natural, cultural, recreational, historic, or other resources; do not involve significant air, noise, or water quality impacts; do not have significant impacts on travel patterns; and do not otherwise individually or cumulatively have any significant environmental impacts.

Types of projects that have been determined by FTA to qualify as CEs, and normally do not require any further National Environmental Policy Act (NEPA) approvals by FTA, are listed in 23 CFR 771.118(c). Additional actions which meet the criteria for a CE but may be designated as CEs only after FTA approval are listed in 23 CFR 771.118 (d). In these cases, the applicant must submit documentation which demonstrates that the specific conditions or criteria for these CEs are satisfied and that significant environmental effects will not result.

To meet the requirements of a CE goal, a proposed project may not be impermissibly segmented from a larger project. This means that a project may be proposed to be implemented in phases or as part of a larger undertaking, but must still demonstrate independent utility, connect logical termini, and should not restrict consideration of alternatives. In order to meet a CE designation, a proposed project cannot have substantial controversy on environmental grounds, or significant impact to properties protected by Section 4(f) of the US DOT Act (public park and recreation lands, wildlife and waterfowl refuges, and historic sites) or Section 106 of the National Historic Preservation Act (cultural resources including historic and archaeological sites). The presence of features such as wetlands and floodplains within the project area would likely also require additional documentation.

- **The applicant should contact the Florida Department of Transportation (FDOT) District Office for assistance with determining the level of documentation required.** The FDOT will use a description of the proposed project, along with any maps or figures to assist with determining if a proposed project is likely to meet FTA criteria for a CE.

11. APPENDIX

11.1. WHAT'S ON THE MARKET

Below is a listing of all active contracts available through the FDOT TRIPS Program for the purchase of new transit vehicles. **The Auto and Light Truck contract can be found at [The Florida Department of Management Services \(DMS\) website](#).** Some new types of vehicles have entered the community transportation market in the last few years. They generally fall into the following categories of expected minimum life of service years and mileage:

FDOT Minimum Service Life – 5 years and/or 200,000 miles:

MINI BUS (Formally: Commuter Van 9-Passenger Center Aisle Vehicles)

Anticipated award date: Fall, 2015

MV-1 PURPOSE BUILT SPECIAL NEEDS VEHICLE

Creative Bus Sales, LLC					
GVWR/Length	Ambulatory Seating Capacity	Price	Wheelchair Positions	Contract #	Order Packet & Pricing
6,600#/205’’	0 - 6	\$46,598	0 - 2	TRIPS-12-SNV-CBS	Order Packet

MINIVANS

The extended low floor minivan with mobility ramp is intended to be used as a Paratransit or Supervisor vehicle. The vehicle provides public transportation for a maximum of six (6) ambulatory passengers or a maximum of two (2) wheelchair passengers and three (3) ambulatory passengers. These configurations exclude the driver.

Florida Transportation Systems, Inc.					
GVWR/Length	Ambulatory Seating Capacity	Price	Wheelchair Positions	Contract #	Order Packet & Pricing
6,050#	3-6	\$42,130-\$44,702	2	TRIPS-13-MV-FTS	Order Packet

STANDARD CUTAWAY

Each dealer offers a variety of models built on a variety of chassis' and chassis weights. Please contact the dealer directly for questions on capacity, floor plans, and pricing. These contracts will be replaced when new contracts are awarded from the RFP recently issued.

Anticipated new award date: January 31, 2016

	Contract #	Order Packet & Pricing
Alliance Bus Group	TRIPS-11-CA-FCCSC	Order Packet
Getaway Bus, LLC	TRIPS-11-CA-GB	Order Packet

SMALL CUTAWAY LOW FLOOR

This contract expires July 31, 2015

Chevrolet 3500 Chassis 12,300# GVWR

Chevrolet 4500 14,200# GVWR

International 25,500# GVWR

Small low floor chassis transit vehicle with wheel chair ramp, produced by Arboc Mobility

() - Indicates number of seats without wheel chairs.

Alliance Bus Group					
GVWR/Length	Seating Capacity	Price	Wheelchair Positions	Contract #	Order Packet & Pricing
12,300#/21'	6 – 12 (15)	\$109,100 - \$131,800	1	TRIPS-10-SCLF-FCCS Optional Hybrid Drive	Order Packet
14,200#/23'	6 – 12 (23)	\$117,000 - \$150,000	1 - 3		

FDOT Minimum Service Life – 10 years and/or 350,000 miles:

MEDIUM DUTY

Expired – RFP will be issued in the Fall, 2015

11.2. SAMPLE – RESOLUTION FORM

(On Agency Letterhead)

A **RESOLUTION** of the _____(Governing Board)_____ authorizing the signing and submission of a grant application and supporting documents and assurances to the Florida Department of Transportation, the acceptance of a grant award from the Florida Department of Transportation, and the purchase of vehicles and/or equipment and/or expenditure of grant funds pursuant to a grant award.

WHEREAS, _____(Applicant) _____ has the authority to apply for and accept grants and make purchases and/or expend funds pursuant to grant awards made by the Florida Department of Transportation as authorized by Chapter 341, Florida Statutes and/or by the Federal Transit Administration Act of 1964, as amended;

NOW, THEREFORE, BE IT RESOLVED BY THE _____(Governing Board)_____ , FLORIDA:

1. This resolution applies to Federal Program(s) under U.S.C. Section(s)_____.
2. The submission of a grant application(s), supporting documents, and assurances to the Florida Department of Transportation is approved.
3. _____(Authorized Individual by Name and Title) _____ is authorized to sign the application, accept a grant award, purchase vehicles/equipment and/or expend grant funds pursuant to a grant award, unless specifically rescinded.

DULY PASSED AND ADOPTED THIS _____ , 20____

By: _____
(Signature, Chairman of the Board)

(Typed Name and Title)

ATTEST:

_____ (seal)

11.3. SAMPLE – REQUIRED COVER LETTER

(On Agency Letterhead)

STATE OF FLORIDA DEPARTMENT OF TRANSPORTATION

GRANT APPLICATION

_____ agency name) submits this Application for the Section 5311(f) Program Grant and agrees to comply with all assurances and exhibits attached hereto and by this reference made a part thereof, as itemized in the Checklist for Application Completeness.

This Application is submitted on this _____ day of _____, 20____ with two (2) original resolutions or certified copies of the original resolution authorizing _____ (Name & Title) to sign this Application.

Agency Name

By: _____

Title: _____

Date: _____

11.4. SAMPLE - PUBLIC NOTICE

(Pertains to Exhibit C)

All interested parties within (counties affected) are hereby advised that (public agency) is applying to the Florida Department of Transportation for a capital grant under Section 5311(f) of the Federal Transit Act of 1991, as amended, for the purchase of (description of equipment) to be used for the provision of public transit services within (defined area of operation).

A Public Hearing has been scheduled at (date, time, location), for the purpose of advising all interested parties of service being contemplated if grant funds are awarded, and to ensure that contemplated services would not represent a duplication of current or proposed services provided by existing transit or paratransit operators in the area.

This hearing will be conducted if and only if a written request for the hearing is received by (two days prior to the scheduled hearing).

Requests for a hearing must be addressed to (Public Agency name and address) and a copy sent to (name and address of appropriate FDOT District Office).

11.5. SAMPLE- LISTING OF RECIPIENTS, OTHER ELIGIBLE SURFACE TRANSPORTATION PROVIDERS, AND LABOR ORGANIZATIONS ETC.

(Pertains to Exhibit K)

(1) Recipient (2) Project Description (3) Other Eligible Transportation Providers (4) Labor Organization Representing Employees of Providers, if any

Identify Recipients of Transportation Assistance under this grant.	Cite Project by Name, Description, and Provider (e.g. Recipient, other Agency, or Contractor)	Identify Other Eligible Surface Transportation Providers (Type of Service)	Identify Unions (and providers) Representing Employees of Providers in Column 1, 2, and 3
A) ABC County Transit	Application for Section 5311 funds for Operating Assistance for FY 02 for ABC County Transit to provide public transportation service to residents of rural areas of the county traveling within the rural area and/or to the adjacent urban area and return to rural domicile.	A) XYZ Transit, Inc. (intercity service) B) MNOP Transit, Inc. (urban transit service)	A) No union (ABC County Transit) B) ATU L.U. #000 (XYZ Transit, Inc.) C) MNOP Transit Drivers Association (MNOP Transit, Inc.)

11.6. FDOT DISTRICT OFFICE CONTACTS

District	Contacts	Address
1	<p><i>Manager:</i> TBD (863) 519-2388</p> <p><i>Transit Unit Contact:</i></p> <p>Tracy G. Tronco Charlotte, Manatee, Sarasota</p> <p>Michelle S. Peronto DeSoto, Hardee, Hendry, Highlands, Polk</p> <p>Debi Stephens Collier, Lee, Hendry, Glades</p>	<p>P.O. Box 1249 801 North Broadway Bartow, FL 33830-1249</p> <p>863-519-2390</p> <p>863-519-2551</p> <p>239-225-1982</p>
2	<p><i>Manager:</i> Doreen Joyner-Howard (904) 360-5650</p> <p><i>Transit Unit Contact:</i> Janell Damato Alachua, Baker, Clay, Nassau, Putnam, St. Johns</p> <p>Sandra Collins Bradford, Columbia, Dixie, Gilchrest, Hamilton, Lafayette, Levy, Madison, Suwannee, Taylor, Union Counties</p> <p>Theodis Perry Duval</p>	<p>2198 Edison Avenue, MS 2806 Jacksonville, FL 32204</p> <p>(904) 360-5687</p> <p>(386) 961 7870</p> <p>(904) 360 5414</p>
<i>Counties Covered:</i>	Alachua, Baker, Bradford, Clay, Columbia, Dixie, Duval, Gilchrist, Hamilton, Lafayette, Levy, Madison, Nassau, Putnam, St Johns, Suwannee, Taylor, Union	
3	<p><i>Manager:</i> TBD (850) 330-1545</p> <p><i>Transit Unit Contact:</i> Kathy Rudd Bay, Escambia, Gulf, Holmes, Jackson, Santa Rosa, Walton, Washington</p> <p>Vanessa Strickland Calhoun, Franklin, Gadsden, Jefferson, Leon, Liberty, Okaloosa, Wakulla</p>	<p>P. O. Box 607 Chipley, FL 32428-9990</p> <p>(850) 330-1549</p> <p>(850) 330-1534</p>
<i>Counties Covered:</i>	Bay, Calhoun, Escambia, Franklin, Gadsden, Gulf, Holmes, Jackson, Jefferson, Leon, Liberty, Okaloosa, Santa Rosa, Wakulla, Walton, Washington	

FDOT District Office Contacts (continued)

4	Manager: Larry Merritt (954) 777-4683	3400 W. Commercial Blvd. Ft. Lauderdale, FL 33309
	<i>Transit Unit</i> Contact: Lisa Maack	(954) 717-2253
<i>Counties Covered:</i>	Broward, Palm Beach, Martin, St Lucie, Indian River	

5	Manager: Brenda Young (407) 482-7852	133 South Semoran Blvd. Orlando, FL 32807
	<i>Transit Unit</i> Contact: Diane Poitras	(407) 482-7860
<i>Counties Covered:</i>	Brevard, Flagler, Lake, Marion, Orange, Osceola, Seminole, Sumter, Volusia	

6	Manager: Dionne Richardson (305) 470-5292	1000 NW 111 th Ave., Room 6111 Miami, FL 33172
	<i>Transit Unit</i> Contact: Raymond Freeman	(305) 470-5255
<i>Counties Covered:</i>	Miami-Dade, Monroe	

7	Manager: George Boyle (813) 975-6409	11201 N. McKinley Dr. (MS-7500) Tampa, FL 33612
	<i>Transit Unit</i> Contact: Elba Lopez	(813) 975 - 6403
<i>Counties Covered:</i>	Citrus, Hernando, Hillsborough, Pasco, Pinellas	

To send e-mail to any of the above: firstname.lastname@dot.state.fl.us

11.7. GLOSSARY

ambulatory - A person who is able to walk and move about freely without being confined to a bed or wheelchair.

applicant – An agency applying for Section 5311(f) Federal Assistance. See also “new applicant” and “recurring applicant.”

authorizing Federal and State Legislation – Legislation authorizing the Section 5311, and 5311(f) Programs are: Moving Ahead for Progress in the 21st Century (MAP-21) Section 20010; 49 U.S.C. Sections 5311; Circular 9040.1F; Section 341.051, Florida Statutes; and Chapter 14-73, Florida Administrative Code. The Section 5311 FTA Circular can be found at http://www.dot.state.fl.us/transit/Pages/FTA_Section_5311_Circular.pdf.

capital projects in urbanized area – Use of Section 5311(f) funds for capital projects in urbanized areas is limited to those aspects of the project that can be identified as directly benefiting and supporting service to and from rural areas. These projects are to be included in both the metropolitan Transportation Improvement Program (TIP) and the Statewide Transportation Improvement Program (STIP) and follow the appropriate project selection requirements contained in the joint planning rule.

category A project – A project certified by the District Office as having met all the statutory and administrative requirements for approval.

category B project – A project the District Office anticipates approving, but that has not met all the statutory and administrative requirements for approval.

community transportation coordinator (CTC) - A transportation entity recommended by an MPO, or by the appropriate designated official planning agency, as provided for in Sections 427.011 - 427.017, F.S. in an area outside the purview of an MPO, to ensure that coordinated transportation services are provided to the transportation disadvantaged population in a designated service area.

coordination contract – A written contract between the CTC and an agency who receives transportation disadvantaged funds and performs some, if not all, of its own transportation services, as well as transportation services to others, when shown to be more effective and more efficient from a total system perspective. The contract reflects the specific terms and conditions that will apply to those agencies who perform their own transportation, as well as joint utilization and cost provisions for transportation services to and from the CTC.

Disadvantaged Business Enterprise (DBE) - DBEs are for-profit small business concerns where socially and economically disadvantaged individuals own at least a 51% interest and also control management and daily business operations.

district program of projects – A district listing of each applicant agency for which a grant award is proposed, a description of the project to be funded, and the proposed federal, state and local share of the project cost. The district program of projects includes certification by the District Office that all applicants and projects so proposed either meet all program requirements or will meet all program requirements before a JPA is executed.

eligible assistance – Assistance under Section 5311(f) must support intercity bus service in rural areas. Section 5311(f) specifies eligible intercity bus activities to include “planning and marketing for intercity bus transportation, capital grants for intercity bus shelters, joint-use stops and depots, operating grants

through purchase-of-service agreements, user-side subsidies and demonstration projects, and coordination of rural connections between small public transportation operations and intercity bus carriers.” This listing does not preclude other capital and operating projects for the support of rural intercity bus service. For example, the State may provide operating assistance to a public or private non-profit organization for the direct operation of intercity service after appropriate consideration of participation by private for-profit service providers. Capital assistance may be provided to purchase vehicles or vehicle related equipment such as wheelchair lifts for use in intercity service. Charter and tour services are not eligible for FTA assistance.

eligible expenses, capital – For the Section 5310 and 5311 Program, eligible capital expenses include buses, vans or other paratransit vehicles (including sedans and station wagons), radios and communications equipment, and wheelchair lifts and restraints, vehicle rehabilitation, data processing hardware/software, initial installation costs, vehicle procurement, inspection and acceptance costs, and other durable goods such as spare components with a useful life of more than one year, and costs associated with pre-award and post-delivery audits. For the Section 5311 and 5311(f) Programs, eligible capital expenses also include the construction or rehabilitation of transit facilities including design, engineering, and land acquisition. For the 5311(f) Program, planning and marketing expenses are eligible capital expenses. The federal share for eligible capital expenses may not exceed 80%.

eligible expenses, operating - For the Section 5311(f) Program eligible operating expenses include the total administrative, management, and operation costs directly incident to the provision of public transportation services less operating revenues. The federal share for net eligible operating costs may not exceed 50%.

eligible recipient, 5311(f) – The definition of a subrecipient in Section 5311(a)(2) includes an operator of intercity bus service that receives Federal transit program grant funds through a State or Indian tribe that is a direct recipient. In some instances, certain intercity bus providers may be unwilling or unable to accept the terms and conditions the State applies to subrecipients and may prefer to maintain a contractual relationship, in order to isolate the remainder of their operations from Federal requirements related to a grant. The State may use either mechanism to provide assistance to private operators for intercity bus service. In either case, the State should use a merit-based selection process to ensure that the private operator is qualified, will provide eligible service, can comply with Federal and State requirements, and is the best, or only, provider available to offer service at a fair and reasonable cost.

eligible service – 5311(f) [intercity bus service] – Regularly scheduled service for the general public which operates with limited stops over fixed routes connecting two or more urban areas not in close proximity, which has the capacity for transporting baggage carried by passengers, and which makes meaningful connection with scheduled service to more distant points, if such service is available. Package express service may also be included, if incidental to passenger transportation.

expanded service - Adding a new service to an already existing system.

federal share – The Federal share for intercity projects is the same as for the Section 5311 Program as a whole: 50 percent of the net cost for operations and 80 percent of the net cost for capital projects and project administration. State administration, planning, and technical assistance in support of intercity bus transportation are eligible at 100 percent Federal share if applied against the cap on State administration expenses. The amount of Section 5311 funds used for planning for intercity bus transportation is not limited by the 15 percent cap on State administration. However, the Federal share of any planning assistance for intercity bus not included in the 15 percent allowed for State administration is limited to 80 percent of the planning costs.

FDOT control number – A number assigned to a vehicle by the FDOT District Office once the vehicle has been purchased, received and titled to the recipient with the FDOT as the first lienholder.

incurred - Commitment or obligation to spend funds for goods to be received or services to be rendered.

individual with disabilities - means an individual who, because of illness, injury, age, congenital malfunction, or other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), cannot use effectively, without special facilities, planning or design, public transportation service or a public transportation facility.

intercity bus feeder service - The "coordination of rural connections between small transit operations and intercity bus carriers" may include the provision of service which acts as a feeder to intercity bus service. The feeder service is not required to have the same characteristics as the intercity service with which it connects, as defined below. For example, feeder service may be demand responsive, while intercity service is, by definition, fixed route. Examples of eligible costs include marketing and extended hours of service in order to connect with scheduled intercity service. Note: The funding of intercity bus feeder service shall be at the discretion of the District Office.

intercity bus service - means regularly scheduled bus service for the general public that operates with limited stops over fixed routes connecting two or more urban areas not in close proximity, that has the capacity for transporting baggage carried by passengers, and that makes meaningful connections with scheduled intercity bus service to more distant points, if such service is available.

joint participation agreement (JPA) - A contract between the FDOT and a local sponsor of a transportation project, defining a project and the FDOT's participation. JPAs may be for one year or multiple years (up to five years), at the discretion of the FDOT.

labor protections – All Section 5311 operational projects, including intercity bus projects, require agreement to the terms and conditions of the standard Section 5333(b) special warranty for the Section 5311 Program.

Large urbanized area – an urbanized area (UZA) with a population of 200,000 or more individuals, as determined by the Bureau of Census.

Limited English proficient (LEP) - Individuals who do not speak English as their primary language and who have a limited ability to read, speak, write, or understand English can be limited English proficient, or "LEP." These individuals may be entitled to language assistance with respect to a particular type of service, benefit, or encounter. DOT recipients are required to take reasonable steps to ensure meaningful access to their programs and activities by LEP persons

local match – Can be a cash match, human services transportation contract or in-kind. Income from contract to provide human service transportation may be used either to reduce the net project cost or to provide local match. In either case, the cost of providing the contract service is included in the total project cost. No Federal Transit Administration program funds can be used as a source of local match for other FTA Programs, even when used to contract for service. In-kind match must be approved, prior to invoicing, by the District Comptroller's Office and be an eligible source listed in the FTA Master Agreement.

new applicant – An applicant for Section 5310, 5311, and/or 5311(f) assistance that has not received an award in the last two fiscal years.

new service - A first time applicant starting a new service.

non-ambulatory - A person who has a mobility impairment that prevents them from being able to walk or move about freely.

non-prioritization plans – The plan developed by the recipient, and provided to the funding District, which outlines how the recipient plans to provide non-prioritized general public transportation services. All transportation services funded with Section 5311 funds shall be available to the general public, the plan must outline how the recipient will assure that all 5311 funded service is open to the general public.

nonprofit organization – A corporation or association determined by the U. S. Secretary of the Treasury to be an organization described by 26 U.S.C. Section 501(c) which is exempt from taxation under 26 U.S.C. Section 501(a) or one incorporated within Florida which is certified as not for profit by the Secretary of State.

one-way passenger trips – Transportation provided to a person in one direction between two points for a specific purpose.

operating revenue - For Section 5311 and 5311(f), operating revenue includes the sum of all fares paid by passengers, whether such fares are paid at the time service is provided or via a prepaid arrangement such as passes or tokens. Operating revenue excludes revenues from contracts with social service agencies that pay for transportation of social service clients.

program of projects – A list of projects to be funded in a grant application submitted to the Federal Transit Administration by the Florida Department of Transportation. The program of projects lists the subrecipients and indicates whether they are private non-profit agencies, public bodies, or private providers of transportation service, designates the areas served (including Congressional Districts), and identifies any tribal entities. The program of projects also identifies intercity and RTAP projects. In addition, the program of projects includes a brief description of the projects, total project cost and the Federal share for each project, and the amount of funds used for program administration from the fifteen percent (15%) allowed. The program of projects shall indicate whether the employees of a subrecipient are represented by a union and if so by which union.

public agency - An authority, commission, committee, council, department, division, bureau, board, section or any other unit or entity of the state or of a town, city, municipality, county or other local governing body.

public transit - The transporting of people by conveyances or systems of conveyances, traveling on land or water, local or regional in nature, and available for use by the general public. Public transit specifically includes those forms of transportation commonly known as "paratransit" characterized by their non-scheduled, non-fixed route nature.

recurring applicant – An applicant for Section 5310, 5311, and/or 5311(f) Federal Assistance who applies every year.

rural areas- an area encompassing a population of fewer than 50,000 people that has not been designated in the most recent decennial census as an urbanized area by the Secretary of Commerce.

seniors –an individual who is 65 years of age or older.

small urbanized areas (UZA) - A UZA with a population of at least 50,000 but less than 200,000, as determined by the Bureau of the Census.

subrecipients – A state or local governmental authority, a non-profit organization, or operator of public transportation or intercity bus service that receives Federal transit program grant funds indirectly through

a recipient.

transit development plan (TDP) - A locally adopted document addressing a minimum five-year time frame, prepared by/for the public transit provider, in cooperation with the appropriate Metropolitan Planning Organization. The TDP must be consistent with the applicable approved local government comprehensive plan. It must include an assessment of the need for transit service in the local area; identify the local transit policies, existing services, and proposed service improvements; capital and operating costs of the services; existing and proposed sources of funding, and a staged implementation plan. A TDP must be updated annually.

transportation disadvantaged - Those persons who because of physical or mental disability, income status, or age, or who for other reasons, are unable to transport themselves or to purchase transportation and are, therefore, dependent upon others to obtain access to health care, employment, education, shopping, social activities, or other life-sustaining activities, or children who are handicapped or high-risk as defined in Chapter 411.202 F.S.

transportation disadvantaged service plan (TDSP) - a three year implementation plan, with annual updates developed by CTC's and planning agencies containing the provisions of service delivery in the coordinated transportation system. The plan must be reviewed and recommended by the TD Local Coordinating Board.

urbanized area - an area encompassing a population of not less than 50,000 people that has been defined and designated in the most recent decennial census as an urbanized area by the Secretary of Commerce.

End of Manual

5311(f) OPERATING & CAPITAL Revised on 5 September 2015

Revised by Kristin Gladwin
Florida Department of Transportation
605 Suwannee Street (MS 26)
Tallahassee, Florida 32399-0450

Work: 850-414-4239

Email: kristin.gladwin@dot.state.fl.us