



FEDERAL TRANSIT ADMINISTRATION

**SECTION 5307 PROGRAM
FORMULA FUNDS FOR SMALL URBAN TRANSIT**

FY 2021 GRANT APPLICATION

Please use Adobe Acrobat Reader to complete this application. You may use the tab button to navigate between fillable form fields. Only the Transmittal Letter and Authorizing Resolution should be printed and returned as a scanned application attachment. All other application components should be completed and returned electronically.

Once all components are complete, please submit one (1) electronic copy of the full FY 2021 Section 5307 grant application package, along with your completed budget workbook, to your assigned Transit Project Manager by the close of business on December 9, 2019.

Submitted By:

Date Submitted:

Project Manager Signature:
(To be completed by GDOT staff)

Date Received:
(To be completed by GDOT)

Introduction

Pursuant to 49 U.S.C. 5307, the Federal Transit Administration (FTA) apportions Urbanized Area Formula Program funds to urbanized areas (UZAs) and to states for public transportation capital projects and operating assistance. To support the continuation and expansion of public transportation services in the United States. The Georgia Department of Transportation (GDOT) is accepting grant applications for FY2021 under the FTA Section 5307 program.

Table 1 below shows the FY2021 available federal funding amounts for each urbanized area grantee in Georgia. Transit organizations interested in applying for FY2021 Section 5307 funds should develop a grant application consistent with the apportionment amount. The FY2021 Section 5307 grant application also provides Applicant Organizations the opportunity to describe their needs for supplemental funding beyond the apportionment funding levels. Funding of any activities over and above the apportioned amount is contingent upon Section 5307 funds not requested by other urbanized areas in Georgia.

Consistent with FTA rules regarding transfer or apportionments, funds apportioned for urbanized areas that do not have transit systems are redistributed to urbanized areas with transit systems on a formula basis. The formula used by GDOT reassigns supplemental funds based on farebox recovery, revenue vehicle miles, unlinked trips, and trips per capita (as described in GDOT's 5307 Procedures Guide). These factors are weighted equally, and funds are distributed proportionate to the performance of each MPO with a transit agency relative to the others. Any funds transferred from one urbanized area to another will revert to the urbanized area to which FTA originally apportioned the funding if that urbanized area develops a transit system.

Table 1: Federal FY2021 Section 5307 Funds for Small Urbanized Areas in Georgia

Urbanized Area	Apportioned Federal Funding Amount*
Albany	\$1,343,297
Athens-Clarke County	\$2,587,997
Brunswick	\$682,220
Cartersville	\$1,180,400
Dalton	\$1,103,073
Gainesville	\$2,196,925
Hinesville	\$758,312
Macon	\$2,488,271
Rome	\$1,873,623
Valdosta	\$1,100,937
Warner Robins	\$2,332,961
Supplemental Dollars	\$2,000,000
Total Available	\$19,648,016

*Per FTA Final FY 2019 Apportionments dated July 16, 2019

To assist applicants in preparing their FY2021 Section 5307 budgets, a Budget Workbook has been included in the application package. The Budget Workbook will assist in identifying the required FTA milestone for grant funding. Completed Budget Workbooks submitted with this application should reflect the amount for which applicants are applying both (1) within the apportioned amount and (2) supplemental funding needs exceeding the apportioned amount (see "Budget Workbook Guidance" for more details). Please do not hesitate to reach out to the appropriate GDOT Project Manager to provide additional information or assist you with the grant application requirements (See Appendix A on Page 53 for contact info).

Reporting Requirements

Data that GDOT subrecipients collect, monitor, and report is used to assess the performance of their transit services and document compliance with federal and state requirements. This information must be tabulated for monthly, semi-annual, and annual reports. Transit managers are primarily responsible for monitoring and reporting system performance on an ongoing basis.

Additionally, GDOT's FTA subrecipients are contractually required to provide the following reports:

Monthly Reports

- Monthly Reimbursement Requests – due 30 days after the end of each month

Semi-Annual Reports

- DBE Semi Annual Reports – due May 1st and November 1st

Annual Report

- Drug and Alcohol Management Information System (DAMIS) reports – due March 1st

FY 2021 Section 5307 Grant Application Checklist

Name/Description of Item	Completed? (Yes/No)
Part A: Grant Applicant Profile	
Part B: Transmittal Letter (on Letterhead)	
Part C: Authorizing Resolution	
Part D: General Narrative Questions and Responses	
Part E: Title VI	
Part F: Capital Budget and Contracting Opportunities	
Part G: Section 5307 Planning Assistance Funding	
Part H: Section 5307 Operating Assistance Budget and Justification	
Part I: Fixed Asset Inventory	
Part J: Public Participation Requirements	
Part K: Certification of No Intent to Charter Service	
Part L: Drug-Free Workplace and Drug and Alcohol Program	
Part M: Drug-Free Workplace Certification for Public and Private Entities	
Part N: Certification of Equivalent Access for Persons with Disabilities	
Part O: FTA Civil Rights Assurance	
Part P: Debarment and Suspension	
Part Q: Disadvantaged Business Enterprise (DBE) Semi-Annual Reporting	
Part R: Lobbying Restrictions	
Part S: FTA Certifications and Assurances	
Part T: Financial Certifications	

Reviewed By: (to be completed by GDOT staff)	GDOT Project Manager	Date
	Transit Program Manager	Date
	Assistant Division Director – Intermodal Division	Date

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New in FY2021

Transit Asset Management Implications

The first full year under the Georgia Department of Transportation's Group Transit Asset Management (TAM) Plan has concluded. There were improvements in the number of large buses and cutaways that were over the Useful Life Benchmark. GDOT would like to continue this trend and encourage all 5307 agencies, as participants in GDOT's Group TAM Plan to maintain all rolling stock, equipment, and facilities in a state of good repair.

Please review capital assets to identify assets exceeding the useful life benchmark. GDOT will release the application for Small Urban 5339 – Bus and Bus Facility funding following the 5307 application. Under the 5339 program small urban applicants may request additional funds to ensure all rolling stock, equipment and facilities are maintained in a state of good repair as per the TAM Plan.

Upgrades to the Application Budget Workbook

With the introduction of the new Operating Support Reimbursement Invoice, the Application Budget Workbook for FY2021 was modified to reflect the USOA categorization of your operating expenses. This will help show the operating budget in terms of NTD reporting and assist with inserting actual expenses into the new form.

If you have any questions about the budget workbook or the new invoice form, please reach out to your Project Manager.

Allowable Items for 1% Security Spending Requirement

For FY2021, it is required that you budget at least 1% of your total request for safety and security upgrades and expansions. The following items are generally allowed by FTA:

- Lighting (parking lot and bus yard, plus bus stops; note that NEW bus shelters with lighting are not allowed, but retrofitting or adding lighting to existing bus shelters MAY be allowed)
- Fencing
- Perimeter Control – Including prox card access control and automated gates
- Closed Circuit TV (CCTV)
- Surveillance Technology
- Communication Systems – Including radios and emergency call boxes
- Security Guards (both employees and contracted)

The following are generally not an eligible use for an applicant's 1% Security Spending obligation:

- Automatic Vehicle Locator Systems (AVL)
- Backup Generators
- Automated Passenger Counter Systems
- Paratransit Software (RouteMatch, HBSS, etc.)
- Sidewalks
- New Bus Shelters

Submission Guidelines

Please use the following guidance in submitting completed Section 5307 grant applications to GDOT.

- Applications should be submitted with the transmittal letter on Applicant Organization letterhead. Authorizing resolutions must be notarized. Both documents should be submitted as scanned attachments with the rest of the application package submitted electronically.
- All other required application materials included in this application packet shall be completed, saved, and returned in digital form.
- Please submit one (1) electronic copy of the completed FY 2021 Section 5307 grant application package to the appropriate project manager (listed in Appendix A on Page 53) by close of business on December 9, 2019. Please note, hard copies are no longer required.
- Applicants are asked to not change the format of any of the required items in the grant application.
- GDOT requires that applicants email the completed application package as a digital PDF (not a scanned copy), a scanned transmittal letter and authorizing resolution, and the completed Excel Budget Workbook file to the appropriate Project Manager. Alternately, applicants may overnight the electronic application and budget files on a flash drive to their respective Project Manager.

Part A: Grant Applicant Profile

Table 2: Grant Applicant Information Profile

Legal Name of Applicant Organization		
Physical Address		
Mailing Address		
Organization Type		County Government City Government Regional Commission Non-Profit Organization Other (Specify) _____
Authorized Grant Submitter (This should also be the person where questions about this application are to be directed)	Name	
	Title	
	Phone #	
	Email	
DUNS #		
E-Verify #		
Congressional District(s)		
Authorized Official who will Execute the Contract	Name	
	Title	
	Phone #	
	Email	
Designated Staff Person who will Attest the Executing Official's Signature and Affix the Government's Seal	Name	
	Title	
	Phone #	
	Email	
Designated Notary who will Notarize the Executing and Attesting Officials' Signatures	Name	
	Title	
	Phone #	
	Email	
Does your transit system employ 100 or more employees?		Yes No

Part B: Transmittal Letter

The following page includes a sample transmittal letter with fillable fields. Applicants should only complete the fillable fields, all remaining fields will auto-populate. Once all fields are complete, Applicants should print the letter on the Applicant Organization's letterhead. A scanned copy of the signed letter (on Applicant Organization's letterhead) should be submitted as an attachment with the complete application package and include the signature of the Authorized Official.

Please note that the Transmittal Letter and/or Authorized Official MAY NOT be submitted to GDOT from a Third Party Operator (TPO) on the TPO's letterhead.

Ms. Leigh Ann Trainer
Transit Program Manager
Division of Intermodal
Georgia Department of Transportation
600 W. Peachtree Street
Atlanta, Georgia 30308

Dear Ms. Trainer:

The _____ is applying for FY 2021 financial assistance under Title 49 U.S. Section 5307 Formula Assistance for Urbanized Areas in the amount of _____ as detailed in the table below.

	Federal Share	State Share	Local Share	Total
Capital Funding				
Operating Funding				
Total				

Local capital funding will be provided by _____ .
Local operating funding will be provided by _____ .

The Applicant certifies sufficient financial capacity exists to carry out the proposed projects listed above for a minimum of 90 days in the event of delays in the receipt of federal funds or execution of a contract. The applicant certifies the local match is from an eligible source of funds.

The applicant certifies all of the information contained in this funding application is correct and the applicant has the legal, financial, technical, and managerial capacity to carry out the proposed project and maintain the project property. If you have questions about this request for funding, please contact _____ at _____ or _____ .

Signature

Name of Authorized Official

Title of Authorized Official

Part C: Authorizing Resolution

The following two pages include an authorizing resolution that must be enacted by the governing body of the Applicant Organization and signed by the Chair of the County Commission, Mayor, or the head of the governing body as appropriate. Please complete the fillable fields on the resolution, then print and sign the designated fields. The authorizing resolution must be properly witnessed and notarized, including the date the notary's commission expires. The resolution should also be stamped with the notary seal as well as the seal of the county commission, city, or appropriate applicant jurisdiction. The certificate of the attesting officer must also be completed.

A scanned copy of the completed, signed, and notarized Authorizing Resolution should be submitted as an attachment with the full application package.

Resolution authorizing the filing of an application with the Department of Transportation, United States of America, and Georgia Department of Transportation, for a grant under Title 49 U.S.C., Section 5307.

WHEREAS, the Federal Transit Administration and the Georgia Department of Transportation are authorized to make grants to non-urbanized (rural) areas for mass transportation projects; and

WHEREAS, the contract for financial assistance will impose certain obligations upon Applicant, including the provision of the local share of project costs; and

WHEREAS, it is required by the United States Department of Transportation and the Georgia Department of Transportation in accordance with the provisions of Title VI of the Civil Rights Act of 1964, that in connection with the filing of an application for assistance under the Federal Transit Act, the applicant gives an assurance that it will comply with Title VI of the Civil Rights Act of 1964 and the United States Department of Transportation requirements thereunder; and

WHEREAS, it is the goal of the Applicant that Minority Business Enterprise (Disadvantaged Business Enterprise and Women's Business Enterprise) be utilized to the fullest extent possible in connection with this project, and that definitive procedures shall be established and administered to ensure that minority business shall have the maximum feasible opportunity to compete for contracts and purchase orders when procuring construction contracts, supplies, equipment contracts, or consultant and other services.

NOW THEREFORE, BE IT RESOLVED BY _____ ,
hereinafter referred to as the "Applicant",

1. That the Designated Official, _____ , is authorized to execute and file an application on behalf of _____ with the Georgia Department of Transportation, to aid in the purchase of bus transit vehicles and/or the planning, development, and construction of bus transit-related facilities pursuant to Section 5307 of the Federal Transit Act.
2. That the Official is authorized to execute and file such application and assurances or any other document required by the U.S. Department of Transportation and the Georgia Department of Transportation effectuating the purpose of Title VI of the Civil Rights Act of 1964.
3. That the Official is authorized to execute and file all other standard assurances or any other document required by the Georgia Department of Transportation or the U.S. Department of Transportation in connection with the application for public transportation assistance.
4. That the Official is authorized to execute grant contract agreements on behalf of the Applicant with the Georgia Department of Transportation.
5. That the Official is authorized to set forth and execute Minority Business Enterprise, DBE (Disadvantaged Business Enterprise) and WBE (Women Business Enterprise) policies and procedures in connection with the project's procurement needs as applicable.
6. That the applicant while making application to or receiving grants from the Federal Transit Administration will comply with FTA Circular 9030.1E, FTA Certifications and Assurances for

Federal Assistance 2021 as listed in this grant application and General Operating Guidelines as illustrated in the Georgia State Management Plan.

7. That the applicant has or will have available in the General Fund the required non-federal funds to meet local share requirements for this grant application.

APPROVED AND ADOPTED this ____ day of _____, 2019.

Authorized Official

Name and Title of Authorized Official

Signed, sealed and delivered this ____ day of _____, 2019 in the presence of

Witness

Notary Public/Notary Seal

CERTIFICATE

The undersigned duly qualified and acting _____ of _____ certifies that the foregoing is a true and correct copy of a resolution adopted at a legally convened meeting held on _____, 2019.

Name of Certifying/Attesting Officer

Title of Certifying/Attesting Officer

(Place Seal Here)



Part D: General Narrative Questions and Responses

Goals and Objectives

Describe the current goals and objectives of Applicant Organization's transit system? Are any changes anticipated for FY2021?

Economic Impact

How does the Applicant Organization's transit system support the ability of citizens to reach educational institutions or places of employment?

Please provide examples, supporting data and/or metrics attesting to the economic impact of transit in the community

Transit Program Assets

Is the Applicant Organization's transit system anticipating any significant changes to the current inventory of capital assets over the next 3 years?

Are any new construction projects or rehabilitation activities anticipated over the next 3 years?

Maintenance

Are funds budgeted in the FY2021 application specifically for maintenance training?

Yes No

What are the two most important bus and vehicle maintenance issues facing the Applicant Organization?

Are there sufficient non-monetary training resources available to meet the Applicant Organization's needs?

Yes No

Does the Applicant Organization use an electronic/computerized vehicle maintenance system or software?

Yes No

If so, what is the name of the vehicle and equipment maintenance software/system?

Technical Assistance Needs

Does the Applicant Organization have technical training needs in any of the following areas? Check as many as apply.

- Financial Management and Capacity – reimbursements, federal fund management
- Project Management – construction, equity analysis, NEPA
- Civil Rights – DBE, ADA, TITLE VI, EEO
- Satisfactory Continuing Control and Oversight
- NTD Sampling – 5307
- Drug & Alcohol Program
- Maintenance – Shop operations, State of Good Repair

Financial Management

Does the Applicant Organization have a current three-five year financial plan?

Yes No

Does the Applicant Organization anticipate any new funding sources becoming available in the next three years such as SPLOSTs, Sales Tax changes, or other legislation?

Yes No

If 'Yes', please describing the new funding?

Does the Applicant Organization currently or is planning to charge indirect costs under this funding application?

Does the Applicant Organization have, or anticipate having, any Purchase of Service (POS) or revenue contracts for DHS or Medicaid trips?

Yes No

Does the Applicant Organization use an electronic/computerized accounting system or software?

Yes No

If so, what is the name of the accounting software/system?

Applicant Service Data

Applicant Organizations should complete Table 3 below with requested data points for the most recent fiscal year. Please indicate the reporting year in the space provided at the top of the right column.

Table 3: Service Data

Data Point	Fiscal Year Reported (FY2020)
One Way Passenger Trips (OWPTs) - Total	
Annual Vehicle Miles	
Peak Fleet Requirements	
OWPTs - Purpose of Trip – Medical	
OWPTs - Purpose of Trip – Educational	
OWPTs - Purpose of Trip – Employment	
Cost per Revenue Mile	

Part E: Title VI Data Collection and Reporting

All applicants for FTA Section 5307 funding are required to maintain and provide GDOT with certain information pertaining to Title VI. Please answer the following Title VI questions below.

E-1: General Reporting Requirements

- 1.) In Table 4, list any active lawsuits or complaints naming the Applicant Organization which allege discrimination on the basis of race, color, or national origin with respect to service or other transit benefits. The list should include:
 - The date the lawsuit or complaint was filed;
 - A summary of the allegation;
 - Any action taken thus far; and
 - The status of the lawsuit or complaint.

Table 4: List of Title VI Complaints or Lawsuits

Date (Month/Year)	Summary (include basis of complaint: race, color, or national origin)	Action Taken	Status

- 2.) Please provide a description of all pending applications for financial assistance, and financial assistance currently provided by other federal agencies.

3.) Please provide a summary of all civil rights compliance review activities conducted at the applicant's transit system in the last three years. The summary should include:

- The purpose or reason for the review:
- The name of the agency or the organization that performed the review:
- A summary of the findings and recommendations of the review:
- A summary report on the status and/or disposition of such findings and recommendations.

Part F: Capital Budget and Contracting Opportunities

The proposed project to be funded under this grant application should be fully described including the overall project goals and objectives and how the project will contribute positively to the transit system. This section should also identify major project activities, capital expenditures, contracting opportunities, and the appropriate FTA milestones associated with the proposed activities. All projects must be eligible under FTA regulations for Section 5307 funding. See Appendix B on Page 54 for eligible expenditures.

Please note that all proposed project activities must be derived from an approved Statewide Transportation Improvement Program (STIP) or Transportation Improvement Program (TIP) prepared by the metropolitan planning organization (MPO) for the urbanized area. There must be a reasonable notice and opportunity to comment on the proposed project by the public and interested parties through the STIP and/or MPO processes. Please obtain an excerpt from the MPO's approved TIP and include it in the grant application package.

F-1: Capital Budget



Figure 1: Illustration of tabs in the Budget Spreadsheet Workbook

BUDGET
WORKBOOK

Please complete the Project Budget located in the application Excel workbook entitled “FY 2021 - FTA 5307 - Budget Workbook - (name of organization)” on the tab labeled “F-1 – Capital Budget”. There is a guidance document in the application package entitled “FY 2021 GDOT Section 5307 Workbook Guidance Document”. This is a pdf document and will provide step-by-step instructions for creating the project budget.

F-2: Project Milestones and Implementation Schedule

BUDGET
WORKBOOK

Please complete the Project Milestones located in the application Excel workbook entitled “FY 2021 - FTA 5307 - Budget Workbook - (name of organization)” on the tab labeled “F-2 – Project Milestones”. There is a guidance document in the application package entitled “FY 2021 GDOT 5307 Workbook Guidance Document”. This is a pdf document and will provide step-by-step instructions for completing the project milestones.

F-3: Justification of Major Project Elements and Activities

WRITTEN
RESPONSE

Describe each project element/activity included in the Capital Budget Spreadsheet and provide detailed information on activities to be conducted, items to be procured, contracting opportunities (i.e. consultants and/or other vendors), etc. Given that Section 5307 funds are not always available to cover all the funding needs of our Section 5307 systems in Georgia, the description should include a discussion of which activities or project elements are the highest priority. Please feel free to cite or refer to any local area plans, analyses, assessments, reviews

or other documents that can substantiate the need for Section 5307 funding to support the identified project activities.

In addition, any equipment requested under this application that will cost more than \$5,000, must be listed separately. Also, for any replacement vehicles (transit or admin/support) Applicant Organizations must state which existing vehicle is being replaced. These data points are required when GDOT writes the grant to FTA.

Insert your response here:

Part G: Section 5307 Planning Assistance Funding

In this section, please provide supporting information on the proposed funding request for planning assistance. Note that GDOT already provides FTA Section 5303 transit planning funds to most of the MPOs in Georgia and expects area-wide transit planning for all areas to be accomplished with those funds. There are, however, projects and planning activities appropriate for 5307 funding. Applicants should still coordinate such activities with the respective MPO and/or Regional Commission staff. Part G-1 information should be entered in its corresponding tab in the Budget Spreadsheet Workbook. Part G-2 information should be entered below.

G-1: Planning Assistance Budget

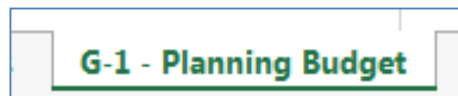


Figure 2: Illustration of tab in the Budget Spreadsheet Workbook

BUDGET
WORKBOOK

Applicants choosing to request planning funds in their Section 5307 grant application should complete the Planning Assistance Budget located in the application Excel workbook entitled "FY 2021 - FTA 5307 - Budget Workbook - (name of organization)" on the tab labeled "G-1 – Planning Budget". There is a guidance document in the application package entitled "FY 2021 GDOT Section 5307 Workbook Guidance Document". This is a pdf document and will provide step-by-step instructions for creating the planning budget.

G-2: Description and Justification for Planning Assistance Funding

WRITTEN
RESPONSE

Applicants applying for Section 5307 planning assistance should describe (1) the activities to be undertake, (2) identify any contracting opportunities (i.e. consultants or vendors) included in these activities; (3) the benefits of these planning activities; and (4) how the planning work performed under this grant will be coordinated with other MPO Plans.

Insert your response here:

Part H: Section 5307 Operating Assistance Budget and Justification

Applicants should provide supporting information about the proposed funding request for operating assistance. The Budget Spreadsheet Workbook has been designed to show the operating assistance budget as well as additional information pertaining to any third party operators (TPOs) used to deliver Section 5307 transit services.

H-1: Operating Assistance Budget for Applicant Organization

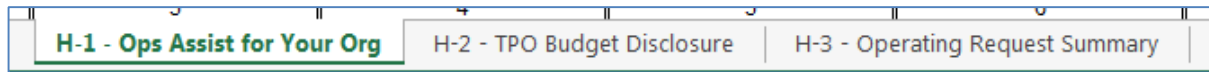


Figure 3: Illustration of tabs in Budget Spreadsheet Workbook

BUDGET
WORKBOOK

Under the H-1 tab in the Budget Spreadsheet, please complete the Operating Assistance Budget for expenses incurred by the Applicant organization. These expenses should be entered into the application Excel workbook entitled “FY 2021 - FTA 5307 - Budget Workbook - (name of organization)” on the tab labeled “H-1 – Ops Assist for Your Org.” There is a guidance document in the application package entitled “FY 2021 GDOT Section 5307 Workbook Guidance Document.” This is a pdf document and will provide step-by-step instructions for creating the project budget.

H-2: Third Party Operator (TPO) Budget Disclosure

BUDGET
WORKBOOK

Applicants who utilize a Third Party Operator (TPO) should complete the spreadsheet entitled “Third Party Operator (TPO) Budget Disclosure” which can be found in the application Excel workbook entitled “FY 2021 - FTA 5307 - Budget Workbook - (name of organization)” on the tab labeled “H-2 – TPO Budget Disclosure”. There is a guidance document in the application package entitled “FY 2021 GDOT Section 5307 Workbook Guidance Document.” This is a pdf document and will provide step-by-step instructions for completing this spreadsheet.

H-3: Operating Request Summary

BUDGET
WORKBOOK

Once the applicant has completed the Operating Assistance Budget worksheets H-1 and H-2, please complete the Summary Request located in the application Excel workbook entitled “FY 2021 - FTA 5307 - Budget Workbook - (name of organization)” on the tab labeled “H-3 –Operating Request Summary.” There is a guidance document in the application package entitled “FY 2021 GDOT Section 5307 Workbook Guidance Document.” This is a pdf document and will provide step-by-step instructions for completing this spreadsheet.

H-4: Description and Justification for Operating Assistance Funding

WRITTEN
RESPONSE

The Applicant should describe the service to be provided (i.e. fixed route, route deviation, etc. with the operating assistance, extent of the service area, hours of service, days of service, etc.) The Applicant should also discuss whether the funding request is to continue existing service or expand service into new areas, or both.

Insert your response here:

H-5: Basis of Operating Cost Estimates

WRITTEN
RESPONSE

In this section, the Applicant should describe the basis of its operating cost estimate (for its own organization and/or TPO in H-1 and H2), such as historical trend analysis, recent procurements of TPO services, analysis of operating efficiencies, etc.

Insert your response here:

H-6: Confirm the Requested Formula Funding (Federal) Amount and 1% Transit

Security Requirement

The Applicant Organization should refer to its completed budget spreadsheet to verify that requested formula fund amount (federal funds) is equal to or less than the formula fund amount shown in Table 1 (page 2 of this application). Additionally, the Applicant Organization should confirm that 1% of the total formula funds requested has been identified for transit security-related items.

The applicant should complete the four sub-tables located in the application Excel workbook entitled "FY 2021 - FTA 5307 - Budget Workbook - (name of organization)" on the tab labeled "H-7 – TOTAL Request and 1% Sec." There is a guidance document in the application package entitled "FY 2021 GDOT Section 5307 Workbook Guidance Document." This is a pdf document and will provide step-by-step instructions for creating the project budget.



Figure 4: Illustration of Requested Formula Funding and 1% Security Spending Tab

H-6-1: Validation of Formula Budget Compared to FTA Formula Funding Allocation



This table will enable the applicant to compare the amount of total funding requested for Formula Funded items against the ACTUAL FTA Formula Funding Allocation for each applicant. Remember that applicants have been asked to assign a funding designation to each capital and planning item requested. This designation will be used to total up the requested funding and show whether the request is over or under the apportionment. For reference there is a second total line for the requested funding assigned to the Supplemental Needs category.

H-6-2: Summary of Total Project Funding Assistance



The Applicant Organization should manually check/calculate the total amount of funding requested (all federal, state, and local funds) to confirm the FY 2021 Section 5307 grant application request. This total amount and the federal, state, and local share should MATCH the language in the cover letter from the Authorized Official to GDOT submitting the grant application.

H-6-3: Sources of Local Matching Funds and Amounts

BUDGET
WORKBOOK

In this table, applicants are asked to identify the source(s) of local matching funds. A line has already been included for "General Fund Revenues" plus four (4) additional lines for applicants to specify other local funding sources and their associated amounts. If more lines are needed, please insert them and fill in the data to complete this section of the application. The total of the local funds in the budget spreadsheet should be the same amount as the Local Match amount described under H-6B.

H-6-4: One Percent (1%) Safety and Security Projects

BUDGET
WORKBOOK

In this table, the applicant should indicate how the Section 5307 transit system will meet its 1% Transit Security Requirement.

Insert your response here (if applicable):

Part I: Fixed Asset Inventory

All applicants must submit an accurate inventory of fixed assets purchased with FTA funds. This is a key element of Satisfactory Continuing Control and is good management practice for ensuring that a system has all of the necessary equipment to operate.

GDOT maintains these inventories in a database for all 5307 subrecipients and strives to record acquisitions, disposals, and scrapped assets as they occur. Compliance is performed annually in June of each year and includes the following tasks:

- Record annual mileage,
- Conduct checks of a random selection of fixed asset items,
- Transmit Subrecipient Fixed Asset Reports for verification by transit directors and staff,
- Use the database to adjust and establish new annual Transit Asset Management Plan targets,
- Use the database to evaluate requested capital items in each subrecipient's annual funding application.

The table on the next page will still be used to document any previously awarded fixed assets, such as rolling stock, equipment, and facilities, that have not yet been procured or have not been delivered as of the date the applicant completes this application document. This will further assist in preventing duplication of requests for rolling stock and equipment which may have already been requested in previous fiscal years, but not yet delivered or placed in service.

Part J: Public Participation Requirements

To receive a grant under Section 5307, all applicants must meet public participation requirements listed under 49 U.S.C. 5307(b) (1) through (7). [FTA Circular 9030.1E](#) further describes public participation requirements in 5307 Programs.

All Applicant Organizations must publish a notice in the local newspaper announcing the intent to apply for Federal funding under Section 5307. The public notice must describe the local Program of Projects (POP). The notice affords the public the opportunity to comment or request a public hearing about the proposed project items.

Applicant requirements include:

1. Where Limited English Proficiency exists within the proposed service area, this notice must also be published in that secondary language (i.e.; Spanish, Korean, French, etc.);
2. Any comments/views of citizens or private operators should be considered and if appropriate, the listing of projects should be modified before the final version is made available to the public;
3. The Georgia Department of Transportation must have a copy of the public notice/tear sheet and affidavit of publication by the local organ submitted with the 5307 "Call for Projects" application.

The Applicant Organization MUST publish the following notice one time in the local government's legal newspaper, and have a 15-day comment period that concludes PRIOR to December 9, 2019. This is required to make private transportation service providers aware of the Applicant's grant application. The original legal ad and notarized publisher's affidavit from the newspaper must be included in your grant application.

Public Notice

Opportunity for Public Hearing for Section 5307 Capital Projects and Operating Assistance for the _____ Transit Department under the Federal Transit Administration

Notice is hereby given affording an opportunity for a public hearing for the purpose of coordination of Section 5307 for public transportation services assisted with Federal sources and financial assistance is being sought from the Federal Transit Administration. The proposed project application is for Section 5307 capital assistance and operating assistance for FY2021.

Under Section 5307 a capital request for federal dollars in the amount of _____, for express purchase of:

The capital funding requested will be federal assistance in the amount of _____ (80% Federal); state assistance in the amount of _____ (10% match); and local assistance (10% match) in the amount of _____. Operating assistance from the Federal Transit Administration will be in the amount of _____ (50%) toward the cost of transit operations with _____ (50% local match).

This proposed project is consistent with the areas Long Range Plan and conforms to joint Metropolitan Planning Regulations issued by FTA and FHWA. No persons, families or businesses will be displaced by this project. This project is in conformance with the comprehensive land use and transportation planning in this area.

The _____ is affording an opportunity for interested persons, agencies, private transportation providers, human service organizations or transit operators representing the employment-related transportation needs of welfare recipients and low-income individuals to respond with respect to social, economic, and environmental aspects of the project. A copy of the grant application is available for public inspection in the office of the _____ (i.e., Transit Department) at _____.

Any person interested in a public hearing being held should submit a written request by _____ (allow 30 days for request) to the _____ at _____, to the attention of _____.

Part K: Certification of No Intent to Charter Service

The Applicant Organization must provide the certification shown below and include the signature of the Authorized Official.

The Applicant Organization, _____, certifies that it does not intend to and will not provide charter service with Federal Transit Administration funded equipment and facilities or provide any exclusive service during the operating period of this application.

The Applicant also certifies that conveyance of government officials shall not exceed 80 hours in a given year and such services must also be reported to the Federal Transit Administration.

Signature of Authorized Official

Printed Name of Authorized Official

Printed Title of Authorized Official

Date

Part L: Drug-Free Workplace and Drug and Alcohol Program

Applicant Organizations that are current Section 5307 funding recipients must complete the following certification. New (or first time) Applicant Organizations may not sign this certification until their program has been approved by GDOT.

I, _____, _____, certify that _____ and its contractors, as required, for the Section 5307 Program, has established and implemented an alcohol misuse prevention program and anti-drug abuse program in accordance with the terms of 49 CFR Part 40 and Part 655. I further certify that the employee training conducted under this part meets the requirements of 49 CFR, Part 40 and Part 655.

Signature of Authorized Official

Printed Name of Authorized Official

Printed Title of Authorized Official

Date

Part M: Drug-Free Workplace Certification for Public and Private Entities

Applicant Organizations must complete the following certification and include the signature of the Authorized Official.

The _____ certifies that it will provide a drug-free workplace as specified in U.S. Department of Transportation's (DOT) rule, 49 CFR Part 40 and 655, which describes required procedures for conducting workplace drug and alcohol testing for FTA programs, including:

- A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the Applicant's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- B) Establishing an ongoing drug-free awareness program to inform employees about:
 - The dangers of drug abuse in the workplace;
 - The Applicant's policy of maintaining a drug-free workplace;
 - Any available drug counseling, rehabilitation, and employee assistance programs; and, the penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- B) Making it a requirement that each employee to be engaged in the performance of the grant or cooperative agreement be given a copy of the statement required by paragraph (A);
- C) Notifying the employee in the statement required by paragraph (A) that, as a condition of employment under the grant or cooperative agreement, the employee will abide by the terms of the statement; and notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- D) Notifying the Federal agency in writing, within ten calendar days after receiving notice under subparagraph (D) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every project officer or other designee on whose project activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification numbers(s) of each affected grant or cooperative agreement;
- F) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (D), with respect to any employee who is so convicted:
 - Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
 - Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; and

- G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (A), (B), (C), (D), (E), and (F).

The Applicant's headquarters are located at the following address:

Name of Applicant Organization:
Name of Authorized Official:
Address:

Signature of Authorized Official

Printed Name of Authorized Official

Printed Title of Authorized Official

Date

Part N: Certification of Equivalent Access for Persons with Disabilities

Applicant Organization is required to sign this certification **only if** the organization is requesting the purchase of a vehicle without disability access features (i.e. wheelchair lift) as required in 49 CFR Part 38).

I hereby certify that when viewed in its entirety, the demand-responsive transportation program of _____ provides disabled persons with access equal to that afforded to any other persons in terms of the following criteria:

- Response time,
- Fares (demand response system cannot charge higher fare for wheelchair boarding),
- Geographic area of service,
- Hours and days of service,
- Restrictions based on trip purpose,
- Availability of information and reservations capabilities, and
- Constraints on capacity or service availability.

Public Demand Response Agencies: In accordance with 49 CFR 37.77, public funded entities operating demand responsive systems for the general public which receive financial assistance under Section 18 of the Federal Transit Act must file this certification with the appropriate state program office before procuring any inaccessible vehicle. Public entities receiving FTA funds under any other section of the FTA Act must file the certification with the appropriate FTA regional office.

Certified this _____ day of _____, 2019.

Signature of Authorized Official

Printed Name of Authorized Official

Title of Authorized Official

Date

Part O: FTA Civil Rights Assurance

Applicant Organization must complete the following certification and include the signature of the Authorized Official.

The _____ hereby certifies that, as a condition of receiving Federal financial assistance under the Federal Transit Act, the organization will ensure that:

- No person on the basis of race, color, or national origin, will be subjected to discrimination in the level and quality of transportation services and transit related benefits.
- The _____ will compile, maintain, and submit in a timely manner Title VI information required by FTA Circular 4702.1B and in compliance with the Department of Transportation's Title VI regulation, 49 CFR Part 21.7(a).
- The _____ will make it known to the public that those persons alleging discrimination on the basis of race, color, or national origin as it relates to the provision of transportation services and transit-related benefits may file a complaint with the Federal Transit Administration and/or the U.S. Department of Transportation.

The Applicant/Recipient assures that it will comply with the following laws and regulations so that no person in the United States will be denied the benefits of, or otherwise be subjected to discrimination in any U.S. DOT or FTA funded program or activity (particularly in the level and quality of transportation services and transportation-related benefits on the basis of race, color, national origin, religion, sex, disability, or age:

- Federal transit laws, specifically 49 U.S.C. 5332, as amended by MAP-21 (prohibiting discrimination on the basis of race, color, religion, national origin, sex, disability, or age, and in employment or business opportunity),
- Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000d,
- The Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, *et seq.*,
- The Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 *et seq.*,
- U.S. DOT regulations, "Nondiscrimination in Federally-Assisted Programs of the Department of Transportation-Effectuation of Title VI of the Civil Rights Act of 1964," 49 CFR part 21.7(a),
- U.S. DOT regulations, specifically 49 CFR parts 27, 37, 38, and 39, and
- Any other applicable Federal statutes that may be signed into law or Federal regulations that may be promulgated,

As required by 49 CFR 21.7:

- It will comply with Federal guidance implementing Federal nondiscrimination laws and regulations, except to the extent FTA determines otherwise in writing, with 49 U.S.C. 5332, as amended by MAP-21, 42 U.S.C. 2000d, and 49 CFR Part 21 in the manner it conducts each Project, undertakes property acquisitions, and operates its Project facilities, including: its entire facilities and its facilities operated in connection with its Project. This assurance applies to your Applicant/Recipient's entire Project and to all parts of its facilities, including the facilities it operates to implement its Project,
- It will promptly take the necessary actions to carry out this assurance, including: notifying the public that discrimination complaints about transportation-related services or benefits may be

filed with U.S. DOT or FTA, and submitting information about its compliance with these provisions to U.S. DOT or FTA upon their request,

- If it transfers FTA funded real property, structures, or improvements to another party, any deeds and instruments recording that transfer will contain a covenant running with the land assuring nondiscrimination: (1) while the property is used for the purpose that the Federal funding is extended, and (2) while the property is used for another purpose involving the provision of similar services or benefits,
- It will make any changes in its Title VI implementing procedures as U.S. DOT or FTA may request to comply with Title VI of the Civil Rights Act, 42 U.S.C. 2000d, U.S. DOT regulations, 49 CFR part 21, and Federal transit laws, 49 U.S.C. 5332, as amended by MAP-21,
- It will comply with Federal guidance issued to implement Federal nondiscrimination requirements, except as FTA determines otherwise in writing,
- It will extend the requirements of 49 U.S.C. 5332, as amended by MAP-21, 42 U.S.C. 2000d, and 49 CFR part 21 to each Third Party Participant, including: (1) Any Subrecipient, (2) Any Transferee, (3) Any Third Party Contractor or Subcontractor at any tier, (4) Any Successor in Interest, (5) Any Lessee, or (6) Any other Third Party Participant in its Project,
- It will include adequate provisions to extend the requirements of 49 U.S.C. 5332, as amended by MAP-21, 42 U.S.C. 2000d, and 49 CFR part 21 to each third party agreement, including: (1) Each sub agreement, (2) Each property transfer agreement, (3) Each third party contract or subcontract at any tier, (4) Each lease, or (5) Each participation agreement, and

As required by U.S. DOT regulations, "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," 49 CFR part 27, specifically 49 CFR 27.9, and consistent with 49 U.S.C. 5307(c)(1)(D)(iii), as amended by MAP-21, the Applicant/Recipient assures that:

1. It will comply with the following prohibitions against discrimination on the basis of disability, which are a condition of approval or extension of any FTA funding awarded to: (1) Construct any facility, (2) Obtain any rolling stock or other equipment, (3) Undertake studies, (4) Conduct research, or (5) Participate in or obtain any benefit from any FTA administered program, and
2. In any program or activity receiving or benefiting from Federal funding that U.S. DOT administers, no otherwise qualified people with a disability will, because of their disability, be: (1) Excluded from participation, (2) Denied benefits, or (3) Otherwise subjected to discrimination.

The United States has a right to seek judicial enforcement of any matter arising under Title VI of the Civil Rights Act, 42 U.S.C. 2000d, U.S. DOT regulations, 49 CFR Part 21, and this assurance.

The assurances made will remain in effect as long as: (1) Federal funding is extended to your Project, (2) Project property is used for a purpose for which the Federal funding is extended, (3) Project property is used for a purpose involving the provision of similar services or benefits, or (4) Ownership or possession is retained of its Project property.

The person whose signature appears below is authorized to sign this assurance on behalf of the recipient.

Signature of Authorized Official

Name and Title of Authorized Official

Date

Part P: Debarment and Suspension

If the Applicant Organization is requesting funding exceeding \$25,000, the Applicant must provide the following certification, including the signature of the Authorized Official.

U.S. DOT regulations, "Non-procurement Suspension and Debarment," 2 CFR Part 1200, which adopts and supplements the provisions of U.S. Office of Management and Budget (U.S. OMB) "Guidelines to Agencies on Government-wide Debarment and Suspension (Non-procurement)," 2 CFR part 180, permit certifications to assure the Applicant/Recipient acknowledges that:

The Applicant/Recipient certifies to the best of its knowledge and belief that, it, its principals, and first tier sub-recipients:

- a. Are eligible to participate in covered transactions of any Federal department or agency and are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded, or disqualified.
- b. Have not within a three-year period preceding its latest application or proposal been convicted of or had a civil judgment rendered against any of them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction, or contract under a public transaction, violation of any Federal or State antitrust statute, or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making any false statement, or receiving stolen property.
- c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses listed in the preceding Section 'a' of this certification.
- d. Have not had one or more public transactions (Federal, State, or local) terminated for cause or default within a three-year period preceding this certification.
- e. Will promptly provide any information to the FTA if at a later time any information contradicts the statements of subparagraphs above, and
- f. Will treat each lower tier contract or lower tier subcontract under the Project as a covered lower tier contract for purposes of 2 CFR part 1200 and 2 CFR part 180 if it equals or exceeds \$25,000, is for audit services, or requires the consent of a Federal official.
- g. Will require that each covered lower tier contractor and subcontractor comply and facilitate compliance with the Federal requirements of 2 CFR parts 180 1200, and assure that each lower tier participant in the Project is not presently declared by any Federal department or agency to be:
 - Debarred from participation in the federally funded project,
 - Suspended from participation in the federally funded project,
 - Proposed for debarment from participation in the federally funded project,
 - Declared ineligible to participate in the federally funded project,
 - Voluntarily excluded from participation in the federally funded project, or
 - Disqualified from participation in the federally funded Project.

The Applicant/Recipient will promptly provide a written explanation to GDOT if it or any of its principals, including any of its first tier sub-recipients or lower tier participants, is unable to certify to the preceding statements in this certification.

Signature of Authorized Official

Title of Authorized Official

Date

Part Q: Disadvantaged Business Enterprise (DBE) Semi-Annual Reporting

The Applicant Organization must complete the following certification that it will provide the required semi-annual DBE reports to GDOT on May 1st and November 1st of each year.

The Applicant, _____ will provide the required FTA Semi-Annual Disadvantaged Business Enterprise (DBE) Program Report, referred to as the Uniform Report of DBE Commitments/Award and Payments is a requirement of 49 CFR Part 26. The semi-annual DBE report is a spreadsheet that captures a detailed breakdown of DBE participation in the Georgia Department of Transportation's DBE program.

Signature of Authorized Official

Title of Authorized Official

Date

Part R: Lobbying Restrictions

The lobbying requirements apply to all contracts and subcontracts of \$100,000 or more at any tier under a Federal grant. If any funds other than Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence 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 agreement, the payor must complete and submit the Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

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

1. No Federally 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 Federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence 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," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, 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 section 1352, title 31, U.S. Code . 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.

Name and Title of Subrecipient's Authorized Official

Signature of Subrecipient's Authorized Official

Date

Part S: FTA Certifications and Assurances

As part of this grant application package, all applicants must attach a signed copy of the most recent available FTA Certifications and Assurances (FY 2019) included as the following two pages.

- The full FTA FY 2019 Certifications and Assurances document is available at :
<https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/funding/grants/grantee-resources/131551/2019-certifications-and-assurances.pdf>
- The FTA FY 2019 Certifications and Assurances sheet listing all of the relevant documents should be marked with a check mark (✓) showing that ALL categories numbered 01 through 18 are being certified by your organization, or indicate which of the categories are applicable.
- Original signatures must be placed on the FTA Fiscal Year 2019 Certifications and Assurances page which includes the “Affirmation of Applicant” and “Affirmation of the Applicant’s Attorney”.

**FEDERAL FISCAL YEAR 2019 CERTIFICATIONS AND ASSURANCES
FOR FEDERAL TRANSIT ADMINISTRATION ASSISTANCE PROGRAMS**

Name of Applicant: _____

The Applicant agrees to comply with applicable provisions of Categories 01 – 18. _____

OR

The Applicant agrees to comply with applicable provisions of the Categories it has selected:

Category Description

1. Certifications and Assurances Required of Every Applicant
2. Tax Liability and Felony Convictions
3. Lobbying
4. Private Sector Protections
5. Transit Asset Management Plan
6. Rolling Stock Buy America Reviews and Bus Testing
7. Urbanized Area Formula Grants Program
8. Formula Grants for Rural Areas
9. Fixed Guideway Capital Investment Grants and the Expedited Project Delivery for Capital Investment Grants Pilot Program
10. Grants for Buses and Bus Facilities and Low or No Emission Vehicle Deployment Grant Programs
11. Enhanced Mobility of Seniors and Individuals with Disabilities Programs
12. State of Good Repair Grants
13. Infrastructure Finance Programs
14. Alcohol and Controlled Substances Testing
15. Rail Safety Training and Oversight
16. Demand Responsive Service
17. Interest and Financing Costs
18. Construction Hiring Preferences

FEDERAL FISCAL YEAR 2019 FTA CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE

(Required of all Applicants for federal assistance to be awarded by FTA in FY 2019)

AFFIRMATION OF APPLICANT

Name of the Applicant: _____

Name and Relationship of the Authorized Representative: _____

BY SIGNING BELOW, on behalf of the Applicant, I declare that it has duly authorized me to make these Certifications and Assurances and bind its compliance. Thus, it agrees to comply with all federal laws, regulations, and requirements, follow applicable federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative makes to the Federal Transit Administration (FTA) in federal fiscal year 2019, irrespective of whether the individual that acted on his or her Applicant's behalf continues to represent it.

FTA intends that the Certifications and Assurances the Applicant selects on the other side of this document should apply to each Award for which it now seeks, or may later seek federal assistance to be awarded during federal fiscal year 2019.

The Applicant affirms the truthfulness and accuracy of the Certifications and Assurances it has selected in the statements submitted with this document and any other submission made to FTA, and acknowledges that the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. § 3801 *et seq.*, and implementing U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 31, apply to any certification, assurance or submission made to FTA. The criminal provisions of 18 U.S.C. § 1001 apply to any certification, assurance, or submission made in connection with a federal public transportation program authorized by 49 U.S.C. chapter 53 or any other statute

In signing this document, I declare under penalties of perjury that the foregoing Certifications and Assurances, and any other statements made by me on behalf of the Applicant are true and accurate.

Signature _____ Date: _____

Name _____

Authorized Representative of Applicant

AFFIRMATION OF APPLICANT'S ATTORNEY

For: _____

Name of Applicant

As the undersigned Attorney for the above-named Applicant, I hereby affirm to the Applicant that it has authority under state, local, or tribal government law, as applicable, to make and comply with the Certifications and Assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the Certifications and Assurances have been legally made and constitute legal and binding obligations on it.

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these Certifications and Assurances, or of the performance of its FTA assisted Award.

Signature _____ Date: _____

Name _____

Attorney for Applicant

Each Applicant for federal assistance to be awarded by FTA must provide an Affirmation of Applicant's Attorney pertaining to the Applicant's legal capacity. The Applicant may enter its electronic signature in lieu of the Attorney's signature within TrAMS, provided the Applicant has on file and uploaded to TrAMS this hard-copy Affirmation, signed by the attorney and dated this federal fiscal year.

Part T: Financial Certifications

The GDOT Transit Department has recently finalized our Financial Management Policy requirements and have held multiple trainings on this subject so that our subrecipients understand and abide by the federal requirements of 2 CRR Part 200.

Please complete the following Financial Certification if you will be charging any indirect costs to your transit project.

Please only complete the certification for the type of entity making application i.e. "governmental or private-non profit".

If you have an approved Deminimus Cost Allocation Plan, please include a full copy of that plan in your application.

If you wish to charge indirect costs using the simplified method, please complete the "GDOT Modified Total Direct Cost Certification"

If GDOT is your cognizant agency, you may choose to use the Modified Total Direct Cost Plan which is a simplified method for determining your indirect cost basis.

Financial System Certification - Certification of Indirect Cost Rate Proposal

To be completed annually by "Governmental Entities" charging Indirect Costs

Certification of Financial Management System:

I, the undersigned, certify that _____ has a financial management system that accumulates and segregates **direct costs** (costs that can be specifically identified to a final cost objective, e.g., a project, program, or other direct activity of an organization) from **indirect costs** (costs incurred for a common or joint purpose benefitting more than one final cost objective, e.g. administrative costs such as clerical support, human resources, accounting, payroll, financial audits, rent, utilities, supplies, vehicle expense, executive management that are not readily assignable to the final cost objectives specifically benefitted, without effort disproportionate to the results achieved) and by project/activity, that are allowable in accordance with Title 2 Code of Federal Regulations Part 200 (2 CFR § 200).

I certify the agency's financial management system has the following attributes:

- Account numbers identifying allowable direct, indirect, and unallowable cost accounts.
- Ability to accumulate and segregate allowable direct, indirect, and unallowable costs into different cost accounts.
- Ability to accumulate and segregate allowable direct costs by project, funding source, and type of cost (e.g., labor, consulting, pass-thru, or other).
- Internal controls to maintain integrity of financial management system.
- Ability to consistently record and report costs as described in 2 CFR § 200.403.
- Ability to ensure costs billed are in compliance with 2 CFR § 200.
- Ability to ensure costs billed reconcile to general ledgers and job costing ledgers.
- Ability to ensure costs are in compliance with contract terms and federal and state requirements.

I also certify that the types of records that are used to support the existence of these attributes include the following:

- General ledger and job costing ledgers.
- Subsidiary general ledgers.
- Chart of accounts.
- Audited financial statements.
- Time keeping records.
- Documents supporting actual costs (e.g., invoices, canceled checks).
- Accounting policy and procedure manuals specific to the agency.

This is to certify that I have reviewed the indirect cost rate proposal submitted herewith and to the best of my knowledge and belief:

All costs included in this application proposal _____ to establish billing or final indirect costs rates for the period of _____ are allowable in accordance with the requirements of the Federal award(s) to which they apply and the provisions of 2 CFR Part 200.19. Unallowable costs have been adjusted for, in allocating costs as indicated in the indirect cost proposal

All costs included in this proposal are properly allocable to Federal awards on the basis of a beneficial or causal relationship between the expenses incurred and the subsequent agreements to which they are allocated in accordance with applicable requirements. Further, the same costs that have been treated as indirect costs have not been claimed as direct costs. Similar types of costs have been accounted for consistently and the Federal government cognizant agency will be notified of any accounting changes that would affect the predetermined rate.

I, hereby, declare that the foregoing is true and correct.

Governmental Unit / Subrecipient Name

Signature

Official Name

Title

Date of Execution of ICRP

Financial System Certification and Certification of Indirect Cost Proposal

To be completed annually by “Non-Profit Organizations” charging Indirect Costs

Certification of Financial Management System:

I, the undersigned, certify that _____ has a financial management system that accumulates and segregates **direct costs** (costs that can be specifically identified to a final cost objective, e.g., a project, program, or other direct activity of an organization) from **indirect costs** (costs incurred for a common or joint purpose benefitting more than one final cost objective, e.g. administrative costs such as clerical support, human resources, accounting, payroll, financial audits, rent, utilities, supplies, vehicle expense, executive management that are not readily assignable to the final cost objectives specifically benefitted, without effort disproportionate to the results achieved) and by project/activity, that are allowable in accordance with Title 2 Code of Federal Regulations Part 200 (2 CFR § 200).

I certify the agency’s financial management system has the following attributes:

- Account numbers identifying allowable direct, indirect, and unallowable cost accounts.
- Ability to accumulate and segregate allowable direct, indirect, and unallowable costs into different cost accounts.
- Ability to accumulate and segregate allowable direct costs by project, funding source, and type of cost (e.g., labor, consulting, pass-thru, or other).
- Internal controls to maintain integrity of financial management system.
- Ability to consistently record and report costs as described in 2 CFR § 200.403.
- Ability to ensure costs billed are in compliance with 2 CFR § 200.
- Ability to ensure costs billed reconcile to general ledgers and job costing ledgers.
- Ability to ensure costs are in compliance with contract terms and federal and state requirements.

I also certify that the types of records that are used to support the existence of these attributes include the following:

- General ledger and job costing ledgers.
- Subsidiary general ledgers.
- Chart of accounts.
- Audited financial statements.
- Time keeping records.
- Documents supporting actual costs (e.g., invoices, canceled checks).
- Accounting policy and procedure manuals specific to the agency.

This is to certify that I have reviewed the indirect cost rate proposal submitted herewith and to the to the best of my knowledge and belief:

All costs included in this application proposal date of _____ 20____ to establish billing or final indirect (F&A) costs rate for the Fiscal Year period beginning _____ 20____ to _____ 20____ are allowable in accordance with the requirements of the Federal awards to which they apply and with Subpart E—Cost Principles of Part 23 “Cost Principles for Nonprofit Organization”

This proposal does not include any costs which are unallowable under Subpart E—Cost Principles of Part 200 such as (without limitation): public relations costs, contributions and donations, entertainment costs, fines and penalties, lobbying costs, and defense of fraud proceedings; and

All costs included in this proposal are properly allocable to Federal awards on the basis of a beneficial or causal relationship between the expenses incurred and the Federal awards to which they are allocated in accordance with applicable requirements.

I declare that the foregoing is true and correct.

Nonprofit Organization

Signature

Name of Official

Title

Date of Execution

Deminimus Cost Allocation Plan

For Recovery of Indirect Costs for a Federal Grant Award

Certification of Financial Management System:

I, the undersigned, certify that _____ has a financial management system that accumulates and segregates **direct costs** (costs that can be specifically identified to a final cost objective, e.g., a project, program, or other direct activity of an organization) from **indirect costs** (costs incurred for a common or joint purpose benefitting more than one final cost objective, e.g. administrative costs such as clerical support, human resources, accounting, payroll, financial audits, rent, utilities, supplies, vehicle expense, executive management that are not readily assignable to the final cost objectives specifically benefitted, without effort disproportionate to the results achieved) and by project/activity, that are allowable in accordance with Title 2 Code of Federal Regulations Part 200 (2 CFR § 200).

I certify the agency's financial management system has the following attributes:

- Account numbers identifying allowable direct, indirect, and unallowable cost accounts.
- Ability to accumulate and segregate allowable direct, indirect, and unallowable costs into different cost accounts.
- Ability to accumulate and segregate allowable direct costs by project, funding source, and type of cost (e.g., labor, consulting, pass-thru, or other).
- Internal controls to maintain integrity of financial management system.
- Ability to consistently record and report costs as described in 2 CFR § 200.403.
- Ability to ensure costs billed are in compliance with 2 CFR § 200.
- Ability to ensure costs billed reconcile to general ledgers and job costing ledgers.
- Ability to ensure costs are in compliance with contract terms and federal and state requirements.

I also certify that the types of records that are used to support the existence of these attributes include the following:

- General ledger and job costing ledgers.
- Subsidiary general ledgers.
- Chart of accounts.
- Audited financial statements.
- Time keeping records.
- Documents supporting actual costs (e.g., invoices, canceled checks).
- Accounting policy and procedure manuals specific to the agency.

Certification of Eligibility:

I, the undersigned, certify that _____ is eligible to use the 10% *de minimis* indirect cost rate as the organization has:

1. Never received a negotiated indirect cost rate with the Federal government; and
2. Received less than \$35 million in direct federal funding for the fiscal year requested and each fiscal year thereafter.

Finally, I understand:

The *de minimis rate* of 10% is to be applied to Modified Total Direct Costs which means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). Modified Total Direct Cost excludes equipment, capital expenditures, rental costs, and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

Costs must be consistently charged as either indirect or direct but may not be double charged or inconsistently charged as both.

The proper use and application of the *de minimis* rate is the responsibility of _____ and GDOT reserves the right to perform an audit to ensure compliance with 2 CFR § 200 and agreements with GDOT. If it is determined that _____ inconsistently charged costs, or is otherwise not in compliance with 2 CFR § 200, _____ may be required to reimburse GDOT for any identified overbillings.

_____’s schedule of expenditures of federal awards must include a note on whether it elected to use the 10% *de minimis* cost rate in accordance with 2 CFR 200 § 200.510(b)(6).

Certification

By signing this declaration, I certify to the best of my knowledge and belief that the information is true, complete, and accurate. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

Name of Non-Federal Entity	
Signature of Authorized Official*	Name (Printed)
Title	Date
Telephone	E-mail

**(Must be executive, financial officer, or equivalent of entity)*

Appendix A: GDOT Transit Contacts

Table 6: GDOT Project Manager Contacts

Transit System	Project Manager	Phone Number	E-Mail Address
Cartersville/Bartow Transit Gainesville/Hall County Transit Macon Transit Authority Rome Transit	Shawna Miles	404-347-1790	smiles@dot.ga.gov
Albany Transit Athens-Clarke County Transit Brunswick Transit Liberty-Hinesville Transit	Mark Lambert	404-631-1236	mlambert@dot.ga.gov

Transit Program Delivery Manager
Patricia Smith
404-347-0527
PSmith@dot.ga.gov

Appendix B: Allowable Costs under Section 5307/5311 Programs

Obj. Code	Object of Expenditures		Typical Expense Classification ¹		Definition	Examples of Allowable Direct Costs
	Description		Admin	Op		
501 – Labor						
501.01	Operator's Salaries & Wages			X	This object class includes the cost of labor for the transit agency's employees who are classified as revenue vehicle operators or crewmembers. It includes wages for performing revenue vehicle operations (e.g., platform time, student training time, accident reporting time, stand-by time, and revenue vehicle movement control, inspection and maintenance of revenue vehicles, servicing revenue vehicles, customer service, and marketing. This object class does not include operators' wages for performing non-vehicle maintenance functions.	<ul style="list-style-type: none"> Salaries/wages of lead drivers or street supervisors Salaries/wages full- and part-time vehicle operators Salaries/wages of temporary vehicle operators Salaries/wages of PCAs who work for transit agency Salaries/wages of escorts who work for transit agency
501.02	Training Salaries and Wages			X	The labor of employees of the transit system who are being trained.	<ul style="list-style-type: none"> Salaries/wages of provisional employees or trainees
501.03	Dispatchers Salaries and Wages			X	The labor of employees of the transit system who are classified as vehicle dispatchers.	<ul style="list-style-type: none"> Salaries/wages of personnel performing call-taking, reservations, or radio dispatching functions.
501.04	Administrative Salaries & Wages		X		The labor of employees of the transit system who are classified as administrative (e.g. managers, bookkeeper).	<ul style="list-style-type: none"> Salaries/wages of the Director, Transportation Supervisor, or other management personnel; Salaries/wages of assistant directors, or other mid-level supervisors performing administrative functions Secretaries, and other administrative positions including, but not necessarily limited to: administrative assistants, clerks, typists, or data entry personnel Financial management positions including, but not necessarily limited to: finance director, director of accounting, accountant, payroll supervisor, payroll clerk, or accounts manager Salaries/wages of transit planning manager or supervisor, planners, or GIS technicians Salaries/wages of Marketing Manager or graphic artists Salaries/wages of modal supervisors, including, but not necessarily limited to: Rideshare Coordinator, Director of Special Services, etc. Salaries/wages of Drug/Alcohol Testing Program Manager
501.99	Other Salaries & Wages		X	X	This object class includes the labor of employees of the transit agency who are not classified as revenue vehicle	<ul style="list-style-type: none"> Salaries/wages of all personnel not classified above
502 – Fringe Benefits						
502.01	FICA		X	X	Payments or accruals to the Federal social security or railroad retirement fund made by the employer on behalf of the employee.	Applicable to Accounts: 501.04, and 501.99 (Other Salaries and wages classified as administrative)

502.02	Pensions & Long Term Disability	X	X	Payments or accruals to pension funds made by the employer on behalf of the employee under the terms of pension plans.	Fringe benefits are classified and allocated to the administrative category in the same manner that salaries and wages have been allocated under Account 501.
502.03	Health Insurance	X	X	Payments or accruals to insurance companies and health care providers by the employer as required on behalf of the employee under the terms of group health insurance plans.	
502.04	Dental Plans	X	X	Payments or accruals to insurance companies and health care providers by the employer as required on behalf of the employee under the terms of group dental insurance plans.	Allowable costs under all fringe benefit cost objectives must conform to the standards set forth in <i>Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards</i> , 2 CFR part 200.431(a) – (k).
502.05	Life Insurance	X	X	Payments or accruals to insurance companies as required by the employer on behalf of the employee under terms of group or individual life insurance policies.	
502.06	Short Term Disability	X	X	Payments or accruals to insurance companies made by the employer on behalf of the employee under terms of group short-term disability insurance plans.	
502.07	Unemployment Insurance	X	X	Payments or accruals to state and Federal agencies required to be made by the employer on behalf of employees to provide continued compensation for a period of time if an employee is laid off.	
502.07	Worker's Compensation	X	X	Payments or accruals to insurance companies to indemnify the transit agency against statutory damages arising from injuries or death to employees while employed by the transit system. It also includes payments or accruals for uninsured losses for statutory damages arising from injuries or death to employees while employed by the transit agency.	Applicable to Accounts: 501.01, 501.02, 501.03, and 501.99 (Other Salaries and wages classified as operations)
502.08	Sick Leave	X	X	Approved payments or accruals to employees for periods of time when the employee is absent from work for illness approved under the transit agency's sick leave policy.	
502.09	Holiday	X	X	Payments or accruals to employees for periods of time when the employee is absent from work on recognized holidays. In addition, this category includes payments or accruals for premiums incurred for work performed on recognized holidays.	Fringe benefits are classified and allocated to the administrative category in the same manner that salaries and wages have been allocated under Account 501.
502.1	Vacation	X	X	Payments or accruals to employees for periods of time when the employee is absent from work due to vacation time earned and taken. This category also includes payments and accruals for vacation time earned and paid to employees rather than taken.	

502.11	Other Paid Absence	X	X	Payments or accruals to employees for periods of time when the employee is absent from work for approved reasons (e.g., military duty, jury duty, bereavement).	Allowable costs under all fringe benefit cost objectives must conform to the standards set forth in <i>Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards</i> , 2 CFR part 200.431(a) – (k).
502.12	Uniform Allowance	X	X	Payments or accruals to employees to offset the cost of uniforms or work clothing that must be worn as part of the occupation. This category also includes payments for clothing provided to employees to wear while engaged in their occupation.	
502.99	Other Fringe Benefits	X	X	Other payments or accruals to or on behalf of an employee arising from his or her employment, but not from the performance of a piece of work, and not fitting any of the other fringe benefits definitions.	
503 – Professional Services					
503.01	Management Services	X		The labor and services provided by a management service company hired to provide operating management to the transit agency. This category includes the ongoing labor and services of the management service company personnel devoted full-time to the transit agency. In addition, it includes the occasional consulting and special purpose studies provided directly by the management service company.	<ul style="list-style-type: none"> • Management fees paid to outside (third party) organizations that perform turn-key transit system management functions
503.02	Advertising Services	X		The labor and materials provided by an advertising agency in the development and production of advertising campaigns for the transit agency. Advertising media fees, regardless of whether they are paid to the advertising agency or directly to the media, are included in object class 509, Miscellaneous Expenses -- Advertising/Promotion Media.	<ul style="list-style-type: none"> • Labor, service, and materials fees paid to an advertising agency in the development and production of advertising campaigns
503.03	Professional & Technical Services	X		The labor and services provided by attorneys, accountants, auditors, investment bankers, computer service companies, engineering firms, management consultants, and transit industry consultants. These services generally require specialized technical knowledge and are usually performed under the supervision of the outside organization.	<ul style="list-style-type: none"> • Labor and services fees paid by the grantee/operator to various professional and technical service companies, including, but not necessarily limited to: accountants, auditors, attorneys, investment bankers, and payroll service processing firms • Labor and service fees paid to outside (third party) organizations for Section 5311 grant administration services (e.g., regional planning agency) • Labor and service fees paid to drug & alcohol vendors, including, but not necessarily limited to third party administrator, MRO, BAT, SAP, collection sites • Labor and service fees paid to programming/network maintenance/data processing firms

503.04	Temporary Services	X	X	The labor of persons who are not employees of the transit agency. These persons work for a temporary period in the capacity of a transit agency employee under the supervision of transit agency personnel. These people are usually hired to perform general clerical duties, (e.g., Kelly Services, AccounTemps).	<ul style="list-style-type: none"> Fees paid to personnel/temporary services firms to supply labor, on an interim basis, to the transit system. Classification will follow the same methods as used in 501.00.
503.05	Contract Maintenance		X	The maintenance of the plant and equipment, under contract or on a single job basis with an outside organization. These costs are usually for repair or maintenance. These costs are differentiated from "Custodial Services," which deals exclusively with janitorial labor. It is also differentiated from "Professional and Technical Services" as defined above.	<ul style="list-style-type: none"> Vehicle maintenance services performed by third parties under terms of a written contract Other vehicle maintenance services performed by third parties even without a written contract arrangement Building maintenance services performed by third parties under terms of a written contract or other arrangement
503.06	Custodial Services	X		The performance of janitorial services, under contract or on a single job basis with an outside organization.	Fees paid to outside firms providing janitorial or custodial services
503.07	Security Services	X		the patrolling of transit agency vehicles, stations, yards and buildings to detect and prevent criminal activity, fires, and other security-related conditions. The patrolling is performed by an outside security agency rather than by the transit agency's employees. Transit police or transit security are categorized under object class 501.02 --"Other Salaries & Wages."	Fees paid to outside firms for the patrolling of vehicles, stations, yards and buildings to detect and prevent criminal activity, fires, unsafe conditions, etc.
503.99	Other Services	X	X	Services not included in object classes previously listed.	<ul style="list-style-type: none"> Labor, service fees, and parts cost of repairs and maintenance performed on property owned and controlled by the grantee or operator not properly chargeable to any other object expenditure
504 – Materials and Supplies					
504.01	Fuel & Lubricants Consumed		X	The cost of gasoline, diesel fuel, propane, lubricating oil, transmission fluid, grease and other lubricants used in vehicles.	<ul style="list-style-type: none"> Costs of gasoline, diesel fuel, propane, compressed natural gas, lubricating oils, transmission fluid, grease, etc., for use in vehicles
504.02	Tires & Tubes Consumed		X	Lease payments for tires and tubes rented on a time period or mileage basis. This object class also includes the cost of replacement tires and tubes.	<ul style="list-style-type: none"> Lease or purchase of tires and tubes Cost of balancing and rotating tires Associated labor costs for outside vendors to perform tire balancing, rotation, and installation
504.03	Inventory Purchases		X	Purchases to replenish and maintain inventory and maintain stock quantities at normal level. Items include office supplies, etc.	<ul style="list-style-type: none"> Lubrication, filters, and other automotive consumables Vehicle cleaning supplies Office cleaning supplies Office consumable (paper products, writing utensils, computer disks/USB drives, ink cartridges) Reproduction supplies (paper, toner)
504.99	Other Materials & Supplies	X	X	Cost of materials and supplies not specifically identified in object classes 504.01 (Fuel and Lubricants) and 504.02 (Tires and Tubes) issued from inventory or purchased for immediate consumption (e.g., vehicle maintenance parts, track materials, cleaning supplies, office forms).	<ul style="list-style-type: none"> Purchases to replenish and maintain inventory and maintain stock quantities of operating supplies at normal level. Items include vehicle maintenance parts, vehicle cleaning supplies, etc. Purchases to replenish and maintain inventory and maintain stock quantities at normal level. Items include office supplies, etc.

					<ul style="list-style-type: none"> • General office supplies and materials, including, but not necessarily limited to paper, fax paper, pencils, pens, markers, typewriter ribbons, binder and paper clips, staples, notepads, adding machine paper, printer cartridges, printer toner, hand held calculators, personal information managers (PIMs), desk calendars, rulers, staplers, tape dispensers, etc. Such items should be of relatively little value, relatively consumable and may or may not be subject to inventory control • Computer software and related expenses including, but not necessarily limited to: software, software upgrades, screen savers, PIMs, operating system and networking software • Cost of educational supplies and materials for instructional purposes, including, but not necessarily limited to: training videos, audio tapes, workbooks, and supplies • Cost of first aid kits, bio-hazard kits, and replacement supplies • Cost of materials and supplies not specifically identified in previous objects of expenditure for immediate consumption that directly relate to the transit program
505 – Utilities					
505.02	Telephone	X		Telephone and internet connection services purchased from telephone or other telecommunications and/or internet companies, including local, long distance, and cellular services, voice mail, pager services, leased lines, and data lines (including analog, cable modem, DSL, and T-1), and domain/web hosting fees	<ul style="list-style-type: none"> • Telecommunication services
505.99	Other, i.e. Natural Gas, Electric, etc.	X		Electrical power purchased from an outside utility company and used for purposes other than propelling electrically driven vehicles, water and sewer charges, gas, trash collection, etc.	<ul style="list-style-type: none"> • Electric service • Natural/compressed gas services • Water and sewer services • Refuse collection services
506 – Casualty and Liability Costs					
506.01	Physical Damage Insurance	X		Premiums applicable to an accounting period to insure the transit agency from loss through damage to its own property caused by collision, fire, theft, flood, earthquakes and other types of losses.	<ul style="list-style-type: none"> • Premiums applicable to an accounting period to insure the transit system from losses through damage to its own property caused by collision, fire, theft, flood, earthquake, etc.
506.02	Recoveries of Physical Damage Losses	X		Credits for amounts recovered from insurance companies for physical damage claims. This category also includes credits for amounts recovered from others (e.g., third parties involved in an accident) held liable for damage to the transit agency's property.	<ul style="list-style-type: none"> • Insurance payments received from the transit agency's own coverage • Insurance payments received from other insurance companies
506.03	Liability & Property Insurance	X		Premiums applicable to an accounting period to insure the transit agency against loss from liability for incidents by the transit agency which cause damage to the person or property of others.	<ul style="list-style-type: none"> • Premiums applicable to an accounting period to insure the transit system against loss from liability for its acts which causes damage to the person or property of others

506.07	Recoveries of Public Liability & Property Damage Settlements	X		Credits for amounts recovered from insurance companies to indemnify the transit agency for insured acts giving rise to liability for damage to the person or property of others.	<ul style="list-style-type: none"> Insurance payment received from other insurance companies based on damage to person or property
506.08	Other Corporate Insurance	X		Premiums applicable to an accounting period to insure the transit agency from losses other than through damage to its property or liability for its culpable acts, (e.g., fidelity bonds, business records insurance).	<ul style="list-style-type: none"> Premiums for directors and officers liability for wrongful acts of the organization Premiums for employment practices liability Premiums for fiduciary liability Premiums for errors and omissions liability
506.99	Other Insurance	X		Payments or accruals made for insurance not properly classified in categories 506.01 through 506.08	<ul style="list-style-type: none"> Other insurance premiums
507 – Taxes					
507.03	Property Tax	X	X	The tax levied by the State or local government(s) against the transit system based on a valuation of the property owned by the transit agency/	<ul style="list-style-type: none"> Property tax payments
507.04	Licensing & Registration Fees	X		The fees assessed by Federal, state, and local governments for granting authority to operate a motor vehicle.	<ul style="list-style-type: none"> Registration fees Plate fees Other motor vehicle taxes
507.05	Fuel & Lubricant Tax		X	Sales and excise taxes incurred on purchases of fuel and lubricants.	<ul style="list-style-type: none"> Excise taxes on fuels
507.99	Other Tax	X	X	Taxes levied by Federal, State and local governments against the transit agency and not properly classifiable in categories listed above.	<ul style="list-style-type: none"> Other taxes
508 – Purchased Transportation					
508.01	In-Report		X	The costs to the transit agency for purchased transportation.	<ul style="list-style-type: none"> Purchase of transportation services from a privately owned transportation provider User-side subsidies provided by the grantee where the grantee supplements the costs of transportation by permitting passengers to buy tickets at less than full value Reimbursement to volunteers for mileage on personal vehicles for providing public transportation
508.02	Filing Separate Report		X	The costs to provide information on sellers of purchased transportation who file separately.	<ul style="list-style-type: none"> Purchase of transportation services from a publicly owned transportation provider that otherwise reports directly to NTD for their own operations, including the services provided under contract
509 – Miscellaneous Expenses					
509.01	Dues & Subscriptions	X		Fees for membership in industry organizations and subscriptions to periodicals.	<ul style="list-style-type: none"> Fees for membership in industry organizations, including but not necessarily limited to: state transit associations, American Public Transit Association (APTA), and Community Transportation Association of America (CTAA) and subscriptions to eligible periodical publications, including, but not necessarily limited to: Passenger Transport, Community Transportation Reporter, Bus Ride, Metro, etc.

509.02	Travel & Meetings	X		Fares and allowances for transportation of transit agency employees and related officials on travel. In addition, this category includes expenses for food and lodging, charges for participation in industry conferences, and other related business meeting expenses.	<p>Applicable to Accounts: 501.04, and 501.99 (Other Salaries and wages classified as administrative)</p> <ul style="list-style-type: none"> Expenses reimbursed to transit system administrative employees and related officials for transportation and travel related expenses, including, but not necessarily limited to: transportation (airline fares and/or other fees, car rental, rental car gasoline, rental car insurance, mileage reimbursements, taxi and transit fares, and highway and bridge tolls; meals and hotel expenses while traveling overnight for conferences and other related business meetings; and miscellaneous expenses such as conference registration fees; and other charges consistent with the grantee's approved travel policy (Note: IDOT reimbursement is limited to state reimbursement policy) Expenses associated with annual meetings and employee appreciation dinners, including food expense, catering costs, and meeting room rental/fees
509.03	Bridge, Tunnel, & Highway Tolls	X		Payments made to authorities and other organizations for the use of bridges, tunnels, highways and other facilities.	<ul style="list-style-type: none"> Tolls I-Pass payments and similar electronic toll payment systems
509.07	Bad Debt Expense			Amounts owed to the transit agency that have been determined to be uncollectible.	<ul style="list-style-type: none"> Not eligible for reimbursement under the Section 5311 Program
509.08	Advertising/Promotional Media	X		Advertising media fees and expenses either paid to an advertising agency or directly to the media. The labor and materials provided by an advertising agency in the development and production of advertising campaigns is included in object class 503.02 -- Advertising Fees.	<ul style="list-style-type: none"> Advertisement and media placement fees
509.99	Other Miscellaneous	X	X	Expenses incurred by the transit operator and not properly classifiable in the categories defined above.	<ul style="list-style-type: none"> Other items not classified above
511 – Interest Expenses					
511.01	Long Term Debt Obligation		X	Charges for the use of capital borrowed on a long-term basis (the liability' for which is usually represented by debt instruments) employed in the operation of the transit system. Interest charges pertaining to construction debt which are capitalized will not be reflected as interest expense.	<ul style="list-style-type: none"> Interest incurred on long-term debt obligations associated with capital purchases. Only allowable after a grantee or operator has sought all means of Federal/state capital funding for the project.
511.02	Short Term Debt Obligation		X	Charges for the use of capital borrowed on a short-term basis employed in the operation of the transit agency	<ul style="list-style-type: none"> Interest incurred on short-term debt obligations, such as borrowing against a line-of-credit or other similar debt instrument to meet current operating and/or administrative obligations
512 – Leases and Rentals					
512.01	Transit Way Structures, etc.		X		<ul style="list-style-type: none"> Leases of land

				Leases and rentals of the physical facilities that are located along the routes where transit services are provided:	<ul style="list-style-type: none"> Leases of roadway structures (e.g., tunnels, bridges, elevated structures) Leases of guideways (e.g., track and roadbed)
512.02	Passenger Stations		X	Leases and rentals of the physical facilities used for passenger stations and terminals:	<ul style="list-style-type: none"> Leases of land Leases and rentals of buildings and structures Leases and rentals of office equipment Leases and rentals of equipment other than office equipment Rental furnishings Leases and rentals of un-staffed passenger shelters
512.03	Passenger Parking Facilities		X	Leases and rentals of the physical facilities used to provide parking space for the automobiles of transit patrons:	<ul style="list-style-type: none"> Leases of land Leases and rentals of buildings and structures, including paved surfaces Leases and rentals of office equipment (e.g., cash registers) Leases and rentals of other equipment (e.g., automatic entry and exit control gates) Rental of furnishings (parking fee collection booth)
512.04	Passenger Revenue Vehicles		X	Leases and rentals of rolling stock used exclusively or predominantly for providing passenger transit services	<ul style="list-style-type: none"> Leases and rentals of revenue vehicles
512.05	Service Vehicles		X	Leases and rentals of rolling stock used for purposes other than providing passenger transit services.	<ul style="list-style-type: none"> Leases and rentals of supervisory automobiles Leases and rentals of tow trucks Leases and rentals of service vehicles
512.06	Operating Yards or Stations		X	Leases and rentals of the physical facilities of the below listed types that are used for storing revenue vehicles and for dispatching trains/runs for revenue service.	<ul style="list-style-type: none"> Leases of land Leases and rentals of buildings and structures Leases and rentals of office equipment Leases and rentals of equipment other than office equipment Leases and rentals of furnishings
512.07	Maintenance Facilities		X	Engine Houses, Car Shops and Garages: leases and rentals of the physical facilities of the below listed types that are used as maintenance facilities for revenue vehicles.	<ul style="list-style-type: none"> Leases of land Leases and rentals of buildings and structures Leases and rentals of office equipment Leases and rentals of equipment other than office equipment Leases and rentals of furnishings
512.1	Data Processing Facilities	X		Leases and rentals of the physical facilities used for performing data processing services.	<ul style="list-style-type: none"> Leases of land, if a building devoted exclusively to data processing services is situated on that land Leases and rentals of buildings, if devoted exclusively to data processing services Leases and rentals of office equipment Leases and rentals of equipment other than office equipment Leases and rentals of furnishings
512.11	Revenue Collection Facilities		X		<ul style="list-style-type: none"> Leases of land, if used exclusively for revenue collection and processing

				Revenue Collection and Processing Facilities: leases and rentals of the physical facilities used for collecting, counting, storing and transporting revenue collections.	<ul style="list-style-type: none"> Leases and rentals of buildings, if used exclusively for revenue collection and processing Leases and rentals of office equipment Leases and rentals of other equipment (e.g., fare boxes, vaults, money counting and wrapping machines) Leases and rentals of furnishings
512.12	Other Administrative Facilities	X		Leases and rentals of the physical facilities used for performing the general administrative functions of the transit agency:	<ul style="list-style-type: none"> Leases of land Leases and rentals of buildings and structures Leases and rentals of office equipment Leases and rentals of equipment other than office equipment Leases and rentals of furnishings
513 - Depreciation					
513	Depreciation			Depreciation of the physical facilities that are located along the routes where transit services are provided, parking facilities, passenger revenue vehicles, service vehicles, operating yards and stations, maintenance facilities, data processing facilities, revenue collection facilities, and other administrative facilities.	<ul style="list-style-type: none"> Buildings and structures owned by the transit system Office equipment owned by the transit system Equipment other than office equipment owned by the transit Furnishings owned by the transit system
530 - Contributions					
530	Contributed Services			The value of non-cash contributions (i.e., property or services) that—	The value of services and property donated to the non-Federal entity may not be charged to the Federal award either as a direct or indirect (F&A) cost. The value of donated services and property may be used as local match as long as the contributions:
				(a) Benefit a federally assisted project or program;	<ul style="list-style-type: none"> Are verifiable from the non-Federal entity's records;
				(b) Are contributed by non-Federal third parties, without charge, to a non-Federal entity under a Federal award.	<ul style="list-style-type: none"> Are not included as contributions for any other Federal award;
					<ul style="list-style-type: none"> Are necessary and reasonable for accomplishment of project or program objectives;
					<ul style="list-style-type: none"> Are allowable under Subpart E—Cost Principles of this part;
					<ul style="list-style-type: none"> Are not paid by the Federal government under another Federal award, except where the Federal statute authorizing a program specifically provides that Federal funds made available for such program can be applied to matching or cost sharing requirements of other Federal programs;
					<ul style="list-style-type: none"> Are provided for in the approved budget when required by the Federal awarding agency; and
					<ul style="list-style-type: none"> Conform to other provisions of this part, as applicable.
550 – Ineligible Items					
550	Ineligible Items			Expenditures that are not eligible under Federal costs principles are detailed in 2 CFR part 200.430 – 200.475.	<ul style="list-style-type: none"> Unsupported or improperly documented personnel charges Fringe benefits accorded outside the scope of the entity's written policies

			Note: the examples listed to the right represent only a summary; entities should consult 2 CFR part 200 to read in detail potential conditions that affect the allowability of an object of expenditure.	<ul style="list-style-type: none"> • That portion of automobile costs furnished by the entity that relates to personal use by employees (including transportation to and from work) is unallowable as fringe benefit or indirect (F&A) costs
				<ul style="list-style-type: none"> • Pension plan costs which are incurred that are not in accordance with the established policies of the non-Federal entity
			Allowable costs not noted herein may be subject to limitations, thus the entity should again consult 2 CFR part 200.	<ul style="list-style-type: none"> • Penalties for late payments
				<ul style="list-style-type: none"> • Contingency costs that are major project scope changes, unforeseen risks, or extraordinary events
				<ul style="list-style-type: none"> • The value of services and property donated to the non-Federal entity may not be charged to the Federal award either as a direct or indirect (F&A) cost.
				<ul style="list-style-type: none"> • Defense and prosecution of criminal and civil proceedings, claims, appeals and patent infringements if such costs relate to a violation of, or failure to comply with, a Federal, state, local or foreign statute, regulation or the terms and conditions of the Federal award
				<ul style="list-style-type: none"> • Depreciation costs of any portion of the cost of buildings and equipment borne by or donated by the Federal government, irrespective of where title was originally vested or where it is presently
				<ul style="list-style-type: none"> • Entertainment
				<ul style="list-style-type: none"> • Capital equipment not approved by the Federal awarding agency
				<ul style="list-style-type: none"> • Fines, penalties, damages and other settlements
				<ul style="list-style-type: none"> • Fund raising
				<ul style="list-style-type: none"> • Investment costs except for pension management
				<ul style="list-style-type: none"> • General costs of local government
				<ul style="list-style-type: none"> • Good or services for personal use
				<ul style="list-style-type: none"> • Costs incurred for interest on borrowed capital, temporary use of endowment funds, or the use of the non-Federal entity's own funds
				<ul style="list-style-type: none"> • Lobbying
				<ul style="list-style-type: none"> • Losses on other awards or contracts
				<ul style="list-style-type: none"> • Membership in any country club or social or dining club
				<ul style="list-style-type: none"> • Costs in connection with establishment or reorganization of an organization, are unallowable except with prior approval of the Federal awarding agency
				<ul style="list-style-type: none"> • Travel costs outside limitations imposed by IDOT

Notes:

¹ When an "X" appears in both columns, it means a cost can be treated as both administrative or operating expense; the individual agency must ascertain if the cost was incurred for an administrative or operations purpose and record the transaction consistently and appropriately in their accounting system.