The GDOT Division of Intermodal Transit State Management Plan, otherwise known and referred throughout this document as the SMP, includes Procedural Guides for the following FTA programs: Sections 5303, 5307, 5309, and 5311 (Section 5310 is administered through the GA Department of Human Services). This SMP and Procedural Guides supersede all previous versions of State Management Plans, Administrative Guides and Policy Manuals used prior to the current version dated March 14, 2013.

Every attempt has been made to ensure that proper references (FTA, State, etc) are correct and meet the spirit of FTA Circulars, FTA Regulations, State Laws and applicable guidelines. In the event that there is a conflict between the SMP, Procedural Guides and FTA Circulars and Regulations (e.g., procurement, Title, DBE, etc), FTA guidance should be followed. When such an occurrence takes place, please provide the Division of Intermodal contacts (Ms. Crystal Odum Ford or Mr. Roy Tucker) with details in order that the SMP and/or Procedural Guides can be updated expeditiously.

Please note that the following Division of Intermodal Transit position title Transit Program Coordinator is used synonymously throughout the SMP and Procedural Guides with Transit Program Manager, Transit Program Coordinator, Urban Transit Group Leader, Rural Transit Group Leader, Transit Planner or Public Transportation Coordinator (PTC).

The SMP and Procedural Guides will be updated periodically to encompass changes in FTA Circulars and Regulations, Federal Registers, Federal and State Laws and corrections/recommendations submitted to the Division of Intermodal POCs from sub-recipients and staff. Guidelines for MAP-21, which replaced SAFETEA-LU, are still in the process of being developed by the FTA. References to SAFETEA-LU are made in the SMP and Procedural Guides as projects funded under this program are still being completed. However, future updates of this document will include MAP-21 guidance as a replacement to SAFETEA-LU in the applicable areas.
# TABLE OF CONTENTS

## TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.0</strong> INTRODUCTION</td>
<td>2</td>
</tr>
<tr>
<td>1.1. Purpose of the State Management Plan and Individual</td>
<td>3</td>
</tr>
<tr>
<td>1.2. Overview of Funding Programs</td>
<td>4</td>
</tr>
<tr>
<td>1.3. Roles and Responsibilities</td>
<td>7</td>
</tr>
<tr>
<td><strong>2.0</strong> PROGRAM MANAGEMENT AND ADMINISTRATIVE REQUIREMENTS</td>
<td>8</td>
</tr>
<tr>
<td>2.1. Program Management</td>
<td>8</td>
</tr>
<tr>
<td>2.2. Grant Management and Administration</td>
<td>12</td>
</tr>
<tr>
<td>2.3. Reporting</td>
<td>23</td>
</tr>
<tr>
<td>2.4. Financial Management</td>
<td>32</td>
</tr>
<tr>
<td>2.5. Audits</td>
<td>41</td>
</tr>
<tr>
<td>2.6. Procurement/Contracting</td>
<td>44</td>
</tr>
<tr>
<td>2.7. Grantee Self-Certification</td>
<td>53</td>
</tr>
<tr>
<td>2.8. Public Involvement</td>
<td>53</td>
</tr>
<tr>
<td>2.9. Planning and Coordination</td>
<td>55</td>
</tr>
<tr>
<td>2.10. Labor Protection</td>
<td>58</td>
</tr>
<tr>
<td>2.11. Environmental Protection</td>
<td>58</td>
</tr>
<tr>
<td>2.12. Civil Rights, Title VI</td>
<td>59</td>
</tr>
<tr>
<td>2.13. Americans with Disabilities Act</td>
<td>67</td>
</tr>
<tr>
<td>2.14. Grant Protest Procedures</td>
<td>73</td>
</tr>
<tr>
<td>2.15. Charter Service</td>
<td>73</td>
</tr>
<tr>
<td>2.16. School Transportation</td>
<td>74</td>
</tr>
<tr>
<td>2.17. Lobbying</td>
<td>74</td>
</tr>
<tr>
<td>2.18. Debarment and Suspension</td>
<td>75</td>
</tr>
<tr>
<td><strong>3.0</strong> SATISFACTORY CONTINUING CONTROL</td>
<td>76</td>
</tr>
<tr>
<td>3.1. Management of Equipment and Real Property</td>
<td>76</td>
</tr>
<tr>
<td>3.2. Maintenance of Equipment and Real Property</td>
<td>81</td>
</tr>
<tr>
<td>3.3. Disposition of Equipment and Real Property</td>
<td>84</td>
</tr>
<tr>
<td>3.4. Buy America Provisions</td>
<td>84</td>
</tr>
<tr>
<td>3.5. Project Management Plan</td>
<td>86</td>
</tr>
<tr>
<td><strong>4.0</strong> OTHER PROVISIONS</td>
<td>86</td>
</tr>
<tr>
<td>4.1. Drug and Alcohol Testing</td>
<td>86</td>
</tr>
<tr>
<td>4.2. Drug-Free Workplace</td>
<td>87</td>
</tr>
<tr>
<td>4.3. Safety and Security</td>
<td>87</td>
</tr>
<tr>
<td>4.4. ITS Architecture</td>
<td>87</td>
</tr>
<tr>
<td>4.5. ARRA</td>
<td>88</td>
</tr>
<tr>
<td><strong>5.0</strong> Maintenance Plan</td>
<td>88</td>
</tr>
<tr>
<td><strong>6.0</strong> EXHIBITS</td>
<td>88</td>
</tr>
<tr>
<td>Exhibit 1: Standard Definitions</td>
<td>89</td>
</tr>
<tr>
<td>Exhibit 2: Forms, Templates and Checklists</td>
<td>96</td>
</tr>
<tr>
<td><strong>7.0</strong> APPENDIXES</td>
<td>101</td>
</tr>
<tr>
<td>Appendix A: Section 5307 – Urbanized Area Formula Program Guide</td>
<td>101</td>
</tr>
<tr>
<td>Appendix B: Section 5311 – Rural Area Formula Program Guide</td>
<td>101</td>
</tr>
</tbody>
</table>
1.0 INTRODUCTION

The Georgia Department of Transportation (GDOT) manages state portions of Federal Transit Administration (FTA) Section 5303, 5307, 5309, 5311, 5316, and 5317 programs in the State of Georgia. FTA requires that each state adopt policies and procedures to administer FTA programs. This document serves as a general program manual for policies and procedures common to all FTA programs administered by GDOT. It works in concert with individual program manuals for each of the FTA programs which define policies and procedures specific to those programs.

On July 6, 2012, President Barack Obama, signed the Moving Ahead for Progress in the 21st Century (MAP-21) bill into law. FTA Programs are authorized by Congress under the MAP-21. MAP-21 took effect on October 1, 2012. FTA will continue to manage agency programs that were funded under law (SAFETEA-LU), which expired on September 30, 2012, P.L. 112-141 until those funds are exhausted. It should be noted that under MAP -21, the 5316 and 5317 Programs are consolidated under other federal programs (5310 and 5307). This State Management Plan/General Program Manual will be updated as needed specifically following further federal programs guidance for MAP-21. The individual 5316 and 5317 Program Guides will be retired when funding from SAFTEA-LU is exhausted and projects are completed.

Program administration by GDOT follows all FTA requirements including those contained in FTA Circulars, Policy Letters and other significant guidance. Grant recipients are encouraged to consult these materials on FTA’s website in support of their programs.

1.1. Purpose of the State Management Plan and Individual Program Manuals

The 2012 SMP, is designed to include policies and procedures common to all FTA programs administered by GDOT and is based on a combination of policies and procedures previously found in GDOT's program manuals, State Management Plans and Administrative Guides. During the update process, the individual program manuals were preserved, but streamlined to eliminate duplicative text. As a result of these improvements, the previous State Management Plans and Administrative Guides can be retired and the SMP and individual program manuals will serve as a consolidated and simplified set of governing documents for managing GDOT’s state portion of the FTA programs.

The SMP and Program Management Guides work in tandem to provide GDOT staff and Subrecipients the information needed to efficiently administer state portions of the FTA programs. Users of these manuals should consult both the SMP and the individual program guides. The following areas are addressed in the respective documents.

The SMP provides:

- An overview of FTA programs administered by GDOT
- Responsibilities of GDOT staff when administering grants
- Responsibilities of subrecipients as GDOT grantees
- Checklist and forms to help adhere to FTA requirements
- General programmatic and regulatory information common to all programs

The Guides (Attachments) provide:

- Information, checklists and special forms needed for specific FTA programs
1.2. Overview of Funding Programs

GDOT manages five FTA programs:

**Metropolitan Planning Program (Section 5303).** This program provides funding to support cooperative, continuous, and comprehensive planning for making transportation investment decisions in metropolitan areas. Funding is available for planning activities that:

1. Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency;
2. Increase the safety of the transportation system for motorized and non-motorized users;
3. Increase the security of the transportation system for motorized and non-motorized users;
4. Increase the accessibility and mobility of people and for freight;
5. Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns;
6. Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight;
7. Promote efficient system management and operation; and
8. Emphasize the preservation of the existing transportation system.

Funds are apportioned annually by a formula to State DOT’s that include consideration of each State’s urbanized area population in proportion to the urbanized area population for the entire nation as well as other factors. State DOT’s receive no less than 0.5 percent of the amount apportioned. These funds are sub-allocated by State DOT’s to Metropolitan Planning Organizations (MPOs) by a formula that considers each MPO’s urbanized area population, their individual planning needs, and a minimum distribution. MPO’s are defined as:

A metropolitan planning organization (MPO) is a federally-mandated and federally-funded transportation policy-making organization in the United States that is made up of representatives from local government and governmental transportation authorities. In 1962, the United States Congress passed legislation that required the formation of an MPO for any urbanized area (UZA) with a population greater than 50,000. Federal funding for transportation projects and programs are channeled through this planning process. Congress created MPOs in order to ensure that existing and future expenditures of governmental funds for transportation projects and programs are based on a continuing, cooperative, and comprehensive (“3-C”) planning process. Statewide and metropolitan transportation planning processes are governed by federal law (23 U.S.C. § 134–135).

For more information, please refer to the Joint Planning Regulations at 49 CFR part 613 and FTA Circular 8100.1. MPO’s shall develop a Long Range Transportation Plan/Transportation Improvement Plan (TIP). This process shall be continuing, comprehensive, and cooperative. To be eligible for funding under these programs, projects and strategies must come from the applicable transportation planning process.

**Urbanized Area Formula Program (Section 5307).** The Urbanized Area Formula Program makes Federal resources available to urbanized areas and to the Chief Executive Officer of a State (Governor) for transit planning, capital, and operating assistance in urbanized areas. An urbanized area is an incorporated area with a population of 50,000 or more that is designated as such by the Bureau of the Census.

For urbanized areas with a population of 200,000 or more, Urbanized Area Formula Program funds are apportioned and flow directly to a designated grantee(s) selected by the Governor to apply for and receive Federal funds. For urbanized areas under 200,000 in population, the funds are apportioned to the Governor of each State for distribution, unless such an area has been
designated as a transportation management area at the request of the Governor and the MPO. These areas also receive apportionments directly. Guidance for Section 5307 is found in FTA Circular 9030.1. To be eligible for funding under this program, project and strategies must come from the applicable transportation planning process and contained in a local Transportation Improvement Plan and State Transportation Improvement Plan.

**Capital Investment Program (Section 5309).** The Section 5309 Capital Investment Grants Program funds three different programs: (1) fixed guideway modernization in areas with populations over 200,000 with fixed guideway segments at least seven years old (based on a formula); (2) construction and extension of new fixed guideway systems (New Starts, Small Starts, and Very Small Starts Programs); and, (3) purchase of bus and bus related equipment and facilities in both urbanized and nonurbanized areas (Bus and Bus Facility Program). States and local governmental authorities are eligible applicants for Section 5309 funds. Eligible applicants may apply for Section 5309 bus grants on behalf of private non-profit agencies, private providers of public transportation services, and public subrecipients.

Many recipients look to the Bus Capital Program to supplement vehicles acquired under formula programs or to construct facilities. While distribution of capital program funds is often determined according to Congressional direction, FTA encourages States to apply on behalf of nonurbanized areas and transit operators to apply in behalf of nonprofit agencies in their service area that receive earmarks.

Guidance for Section 5309 is found in FTA Circular 9300.1. To be eligible for funding under this program, projects and strategies must come from the applicable transportation planning process.

**Nonurbanized Area Formula Program (Section 5311).** This program provides formula funding to States for the purpose of supporting public transportation in population areas of less than 50,000. It is apportioned in proportion to each State’s non-urbanized population and density factors. Each State prepares an annual program of projects (POP), which must provide for fair and equitable distribution of funds within the States, including Indian reservations, and must provide for maximum feasible coordination with transportation services assisted by other Federal sources.

Funds may be used for capital, operating, planning, and administrative assistance to State agencies, local public bodies, and non-profit organizations (including Indian tribes and groups), and operators of public transportation services. The State must use 15 percent of its annual apportionment to support intercity bus service, unless the Governor certifies that these needs of the State are adequately met. Guidance for Section 5311 is found in FTA Circular 9040.1. To be eligible for funding under this program, projects and strategies must come from the applicable transportation planning process.

**Job Access and Reverse Commute Program (Section 5316).** See MAP-21 changes.

The JARC formula grant program aims to improve access to transportation services to employment and employment related activities for welfare recipients and eligible low-income individuals and to transport residents of urbanized areas and non-urbanized areas to suburban employment opportunities. Funds from the JARC program are available for capital, planning, and operating expenses that support the development and maintenance of transportation services designed to transport low-income individuals to and from jobs and activities related to their employment and to support reverse commute projects.

Of the total JARC funds available, FTA apportions 60 percent among designated recipients in large urbanized areas; 20 percent to the States for small urbanized areas; and 20 percent to the States for rural and small urban areas under 50,000 in population. JARC funds are apportioned by formula. The formula is based on the ratio that the number of eligible low-income individuals and welfare recipients in each area bears to the number of eligible low-income individuals and welfare recipients in all such areas.
Up to 10 percent of the recipient’s total Fiscal Year apportionment may be used to fund program administration costs including administration, planning, and technical assistance.

Guidance on the JARC program is contained in FTA Circular 9050.1.

**New Freedom Program (Section 5317). See MAP-21 changes**
The New Freedom formula grant program aims to provide additional tools to overcome existing barriers facing Americans with disabilities seeking integration into the work force and full participation in society. New Freedom program funds are available for capital and operating expenses that support new public transportation services beyond those required by the ADA and new public transportation alternatives beyond those required by the ADA designed to assist individuals with disabilities with accessing transportation services.

Of the total New Freedom funds available, FTA apportions 60 percent among designated recipients in large urbanized areas; 20 percent to the States for small urbanized areas; and 20 percent to the States for rural and small urban areas under 50,000 in population. New Freedom funds are apportioned among the recipients by formula. The formula is based on the ratio that the number of individuals with areas. Up to 10 percent of the recipient’s total FY apportionment may be used to fund program administration costs including administration, planning, and technical assistance. Guidance for the New Freedom Program is contained in FTA Circular 9045.1.

### 1.2.1. Local Match Requirements

The table below illustrates match requirements by project type in Georgia. State share is dependent upon availability of funds. The sources of state funding may differ for capital and operating assistance programs. Operating assistance may be funded through general revenues; capital assistance may be funded through bond revenues. All of the local share must come from non-DOT sources, except for Federal Lands Highway Program funds. MAP-21 permits the use of the following as local share: cash (or in-kind contribution); non-Federal funds, contract revenue from state, local or private social service organizations; non-farebox revenues from transit operations (e.g. advertising and concession revenues); real property integral to the project; and toll credits. Farebox revenue cannot be used as local match, but can be used to reduce the net operating cost of a project. No FTA program funds can be used as a source of local match for other FTA programs, even when used to contract for service.

<table>
<thead>
<tr>
<th>Project Type</th>
<th>Federal Share</th>
<th>State Share*</th>
<th>Local Share</th>
</tr>
</thead>
<tbody>
<tr>
<td>Operating</td>
<td>Up to 50%</td>
<td>-</td>
<td>50% or more</td>
</tr>
<tr>
<td>Capital</td>
<td>80%</td>
<td>10%</td>
<td>10%</td>
</tr>
<tr>
<td>ADA Capital</td>
<td>90%</td>
<td>5%</td>
<td>5%</td>
</tr>
<tr>
<td>CAA Capital</td>
<td>90%</td>
<td>5%</td>
<td>5%</td>
</tr>
<tr>
<td>Bicycle Facilities</td>
<td>90%</td>
<td>5%</td>
<td>5%</td>
</tr>
<tr>
<td>Planning</td>
<td>80%</td>
<td>10%</td>
<td>10%</td>
</tr>
</tbody>
</table>

* This funding is based on availability of funds. If the Department cannot provide the match, it is the subrecipient’s responsibility to pay the State share percentage.
1.3 **Roles and Responsibilities**

The Georgia Department of Transportation has the following responsibilities:

- Inform prospective subrecipient(s) and existing subrecipients of the FTA funding
- Administer FTA grant programs in line with FTA- grant administration guidelines by reviewing applications, monitoring quarterly reports and project progress;
- Prepare electronic grant applications for funding projects, using FTA's TEAM system;
- Hold periodic workshops/training sessions to assist local areas with questions on program specific issues and requirements;
- Prepare procedural manuals to guide the local areas through the grant process from application through successful project completion and closeout;
- Contract with FTA and with local areas;
- Prepare the Rural Transportation Improvement Program (RTIP) as the rural component of the Statewide Transportation Improvement Program (STIP), and the rural Program of Projects (POP);
- Allocate available funds in a fair and equitable manner;
- Develop and apply evaluation criteria to select projects for funding;
- Negotiate and execute grant contracts between GDOT and local subrecipients;
- Process reimbursement payment requests from subrecipients, and preparing requests for federal reimbursement;
- Monitor and evaluate the local provision of transportation under the program, including data collection and compilation, reporting to the FTA, and ensuring compliance with the state and federal regulations.

The grant subrecipient has the following responsibilities:

- Identify and prioritize new projects;
- Carry out the transit planning work programs;
- Work closely with the transit operator to evaluate transit operations and finance;
- Implement projects in accordance with the specific program requirements set forth herein;
- Implement projects in accordance with other applicable Federal and State requirements applicable to the FTA programs (acquisitions/procurement, public participation, NEPA etc.);
- Provide quarterly status reports on projects to the State program manager regarding project activities, budget, schedule and scope;
- Submit quarterly reports, reimbursement requests, project closeout letters and other reports/requests in accordance with reporting requirements set forth herein...
- Program capital projects in the area's RTIP or TIP for inclusion in the Statewide Transportation Improvement Program (STIP), to ensure the project is eligible for Program funding.
- Comply with the terms of the FTA certifications and assurance as published.
2.0 PROGRAM MANAGEMENT AND ADMINISTRATIVE REQUIREMENTS

This section describes the responsibilities of GDOT’s Division of Intermodal and its subrecipients to assure that the general requirements of 5303, 5307, 5309, 5311, 5316, and 5317 are met.

The requirements for the FTA programs are defined by 49 USC Chapter 53 and are detailed by the program circulars and the FTA master agreement, which is the agreement between GDOT and the FTA. There are additional requirements that may apply to a subrecipient, depending on the type of services provided and the type of organization, which may not be defined by the FTA and would be required by other laws, rules, and policies.

Subrecipients must comply with all applicable requirements. Additional requirements that apply to specific programs are located in the individual program manuals.

A complete list of the program references and requirements is found in each of the FTA circulars.

2.1. Program Management

Requirements

GDOT must demonstrate its capacity to manage FTA funded programs in accordance with sound management practices, applicable laws and regulations and in conformance with its own established procedures for grant applications and agreements. Details regarding these requirements as well as GDOT’s compliance of these requirements are defined in the following sections.

2.1.1. Organization and Staffing

GDOT is the agency designated by the Governor of the State of Georgia to administer the state portion of the federal transit programs, FTA Section 5303, 5307, 5309, 5311, 5316, and 5317 programs. The Commissioner of GDOT has identified the Division of Intermodal as the unit responsible for oversight and administration of these programs.

The Transit Section of the Division of Intermodal has been assigned this responsibility and the Transit Program Manager has the overall responsibility for administering the program. At GDOT, the Division of Intermodal performs program management functions through the efforts of staff that includes both regionally-based staff in the GDOT District Offices around the State, and the program staff in the Atlanta headquarters office. GDOT staff involved with the Transit Program includes the Transit Program Manager, Urban and Rural Transit Group Leaders, Transit Planners, and Public Transportation Coordinators. Each position’s key responsibilities are summarized below.

While the procedures contained within this Plan and the individual program guides identify specific roles, GDOT and the Division of Intermodal reserve the right to exercise flexibility in delegating assignments. The staff performing the various roles and functions identified within these manuals may change from time to time, depending on program staffing needs.

Transit Program Manager
The Transit Program Manager has oversight responsibility for the entire program, supervises staff, submits FTA quarterly reports and grants, and makes policy decisions.

Communication between the Transit Program Manager and the Intermodal Director, Intermodal Program Administrator, transit staff and supporting staff includes weekly, monthly and quarterly face-to-face meetings with the entire headquarters program staff, monthly teleconferences and/or site visits with the Public Transit Coordinators (located in GDOT District offices), and continuous e-mail and telephone contact—in addition to the formal reporting mechanisms related to the various program elements (RTIP, grant applications, monthly reporting in RMIS, monthly reimbursement requests, compliance monitoring, drug and alcohol compliance, etc.).

Transit Group Leaders- Urban and Rural

The Urban Transit Group Leader has oversight and management responsibility for grant development and administration of the FTA Section 5303 Planning Program which includes MPO and Statewide Planning. In addition, the Urban Transit Group is responsible for FTA Section 5307 providing oversight of the statewide Urbanized Area formula Program and for Section 5309, Major Capital Investments (new starts and small Starts).

The Rural Transit Group Leader has oversight and management responsibilities for grant development and administration of the FTA Section 5311, 5316, 5317 which includes non urbanized area funds and JARC and New Freedom.

Both Transit Group Leaders support the Transit Program Manager recommending policy and procedures providing guidance and assistance to transit staff, government officials and to the private sector regarding public transportation policy and programs.

Transit Planners

The Transit Planners provide program oversight and management to Section 5303, 5307, 5309, 5311, Section 5316 and 5317 Programs. The Transit Planners perform the following state-level roles with regard to the transit programs:

- Distribution of the local grant application package
- Compilation of the statewide POP and application to FTA
- Project review to ensure consistency with adopted Coordinated Service Plans.
- Management of the project evaluation and selection process for transit projects.
- Conveying program requirements to local subrecipients and third-party operators
- Notification of the non-participating but eligible agencies of availability of transit program funding for the upcoming year and the completion of site visits for various transit programs.
- Amend and revise grant budgets within FTA’s Transportation Electronic Award and Management (TEAM) system
- Reporting Milestone Progress Reports (Quarterly Reports) in the TEAM system
- Updating of the GDOT Transit website and fact book
- Fair and equitable distribution assessment from TIP data.
- Review of reimbursement requests for transit operators.
- Updating the State Management Plan and the individual program guides, and the schedule of program activities.
- Preparation of the annual list of projects for FTA Section 5333(b) labor requirements to FTA and U.S. Department of Labor.
- Provide technical assistance to local subrecipients on questions and issues that arise during the course of program administration.
- Coordination with DHS Coordinated Transportation program administration of the Section 5310 program, and with other aspects of the Coordinated Transportation program that may be involved in Section 5316 and 5317 and other projects.
- Monitoring compliance with FTA and GDOT program requirements, including Drug and Alcohol program compliance; insurance compliance; reporting and financial compliance, ADA, maintenance, procurement, title VI, buy America, debarment and suspension, lobbying, school bus, drug free workplace, half fare and charter bus.
- Attending regional coordination meetings with the DHS when required to support projects.

**Public Transportation Coordinators**

GDOT supports rural transportation through the efforts of seven Public Transportation Coordinators (PTCs—also known as District Representatives or Reps). Their primary role is the implementation of the Section 5311 program of rural public transportation through site visits and contact with subrecipients within their Districts. Their primary role with regard to other programs arises from their role representing GDOT on the Regional Transportation Coordinating Committees (RTCCs) across the State, and through their work supporting local Section 5311 applications, contracts, reimbursements, vehicle inspections, and compliance monitoring, and as needed.

Additional Public Transportation Coordinator duties include but are not limited to:
- Monitoring subgrantee compliance reviews and risk assessments (requires additional instruction/training)
- Preparation of the annual list of projects for FTA Section 5333(b) labor requirements to FTA and U.S. Department of Labor,
- Provision of technical assistance to subrecipients on questions and issues that arise during the course of program administration.
- Monitoring compliance with FTA and GDOT program requirements, including Drug and Alcohol program compliance; insurance compliance; reporting and financial compliance, ADA, maintenance, procurement, Title VI, Buy America, debarment and suspension, lobbying, school bus, drug free workplace, half fare and charter bus and
- Conveying program requirements to grantees of availability of transit program funding for the upcoming year and the completion of site visits for the Section 5311 transit program.
- Attending regional coordination meetings with the DHS when required to support projects.
- RMIS reporting on transit projects.
- Distributing local grant applications

**Fleet and Risk Manager**

The Fleet and Risk Manager reports to the Transit Program Manager. This position is responsible for central procurement of all Section 5311 transit vehicles and it involves working with office of procurement and the Georgia Department of Administrative Services (DOAS) on the procurement process, including development of vehicle specifications, inclusion of FTA required language in the solicitation and contract documents, pre- and post-delivery vehicle certifications, Buy America certification, post-delivery inspections and paperwork, maintaining the statewide vehicle inventory in the RMIS, processing vehicle dispositions, and managing and
maintaining the statewide lease fleet. The Fleet and Risk manager is also responsible for transit asset management as outlined in MAP-21.

**Rail Safety Oversight Manager (State Safety Officer- SSO)**

GDOT is the designated State Safety Oversight Agency, the entity other than the rail transit agency, designated by the State to implement 49 CFR part 659. The Rail Safety Oversight Manager (SSO), with direct assistance from the TPM, manages the states Rail Safety and Security Oversight Program as outlined in federal circular 49 CFR 659 and ensures the State’s compliance with FTA’s safety oversight of rail fixed guideway systems. The SSO’s duties include, but are not limited to, representing the department’s compliance responsibilities during emergencies, derailments, accident/incidents, etc... in association with rail transit agency operations, conducting rail Triennials, and ensuring rail transit agency’s System Safety Program Plans and System Security Plans are compliant.

**Other Roles of the Division of Intermodal: Contracts and Fiscal Services**

The Contracts and Fiscal Services units supports the Transit Program and other modal programs as administrative units under the Division of Intermodal.

The Contracts and Fiscal Services Manager, the Contracts Administrator and the fiscal analyst have key roles in financial administration area programs, including accounting, local contract (grant agreement) preparation, local payment processing, ECHO draw downs, and grant close-out. Specific activities under each of these functions are described elsewhere in this document.

2.1.2. Other Support Divisions Within GDOT

In addition to Division of Intermodal staff defined above, staff from the following divisions and offices have responsibilities relating to the management of FTA programs at GDOT:

- Equal Employment Office
- Office of Financial Management
- Division of Procurement
- Governmental Affairs
- Financial Management
- Legal

2.1.3. State Management Plans

GDOT is required to periodically update its State Management Plan and procedures to accurately reflect its practices.

This SMP, in combination with the individual program policies and procedures guides for the Section 5303, 5307, 5309, 5311 and 5316/5317 programs make up and are also contained within this Plan.

**Program Management Procedures**

The Transit Program Manager with transit staffs support:

- Begins the review and revision process for the SMP and program manuals which is updated annually or as deemed necessary to reflect changes in the State and Federal policies and program guidance.
- Ensures that the SMP addresses the information requested in the suggested topics in a form readily accessible to GDOT and FTA staff, potential subrecipients, and the public.
• Provides subrecipients with updates to the SMP/Procedure Guides which outline all the other pre-requisites for submitting a grant application.

2.2. Grant Management and Administration

GDOT is responsible for managing the entire grants process including determination of eligibility, oversight of the selection process, providing technical assistance, determining technical, managerial and financial capacity of Subrecipients, securing signed certifications and assurances from Subrecipients and timely closeout of grants. There are four major stages in accomplishing these responsibilities:

• Pre-Award
• Award
• Post-Award
• Closeout

Pre-award requirements for planning and applications procedures tend to be program-specific, and are spelled out in detail in the individual program manuals. Pre-award requirements relating to certifications and assurances, Title VI submissions, authorizing resolutions and technical, financial and legal capacity are defined herein.

Similarly, most of the requirements and procedures in the award, post-award and closeout stages are common to all programs. Therefore, to reduce duplication and redundancy, these stages are contained herein. To accommodate the occasional exception to this organizational structure, the individual program manuals contain a single heading for the Award, Post-Award and Closeout stages with program-specific requirements (where applicable) and references to the SMP for common requirements.

Requirements

Under each of these major stages are a number of activities and processes that must be completed in order to award grants to eligible recipients and to administer these grants according to federal regulations. Requirements and procedures common to all of the GDOT programs are defined below. Program-specific requirements are described in the individual program management manuals.

2.2.1. Selection and Eligibility

Selection and eligibility requirements and procedures are defined in the individual program manuals for each program.

2.2.2. Certifications and Assurances

Applicable certifications and assurances are published in the Federal Register annually. This register contains FTA’s comprehensive compilation of the certifications and assurances to be used in connection with all Federal assistance programs. GDOT requires the certifications and assurances are submitted to the Intermodal office with the annual application process. Certifications and Assurances are also pinned in TEAM.

2.2.3. Legal, Financial, and Technical Capacity

It is GDOT’s responsibility to ensure that subrecipients have the legal, financial and technical capacity to carryout FTA funded projects. Basic Requirements include: Grantees must be eligible
and authorized to request, receive and dispense funds, the authority to take actions on the grantee’s behalf must be properly delegated and executed. Grantees must demonstrate ability to match and manage FTA grant funds and conduct and respond to applicable audits and grantees must have the ability to implement and manage grants properly.

2.2.4. Technical Assistance

The GDOT through its Atlanta office, District offices, workshops and seminars provides technical assistance in the preparation of grant applications as well as program development, administration and operation. The Department utilizes up to 10 percent of apportioned funds for administration, planning and technical assistance as apportioned by FTA in support of these programmed activities. Funding for additional technical assistance and training is provided through the Rural Transportation Assistance Program (RTAP). Other eligible assistance categories under RTAP include research, support services as well as program reserves.

Technical assistance is provided to subrecipients through the transit planners in the Atlanta headquarters office. The planners provide support to the Public Transportation Coordinator located in each GDOT District Office by assisting with:

- Preparation and updating of the RTIP
- Technical assistance or management help (subrecipients are encouraged to contact their District Public Transportation Coordinator for assistance first, and then program staff in Atlanta can provide additional support)
- Assistance as a resource in the preparation of the local grant application

2.2.5. Grant Obligation and Award

The Award stage includes two activities – Obligation/Award and Execution. However, this stage is very important as it serves as the basis for how the post-award activities are defined and carried out.

Once a completed application receives final concurrence from FTA and the funds are reserved, grant funding is then obligated to GDOT and the grant is executed.

GDOT then develops and executes Grant Obligation and Award.

2.2.6. Grant Status Management and Oversight

The Division of Intermodal is required to assure that subrecipients comply with federal and state requirements. This is accomplished through project management and monitoring performed by division staff or its delegates.

The goal of oversight is to assure that the agency (GDOT) and the grant recipients have appropriate, adequate internal controls to assure that the subrecipient is meeting the terms and conditions of the grant award(s).

The Transit Program Manager maintains a Grant Status list of all open grants with pre-award, appropriation authority, and critical date history. This document is reviewed each month. Each Transit Planner maintains a list of all open grants, any pending revisions or amendments, close outs in progress and priority of work. Each list is updated as needed and resides on GDOT’s common network directory so the lists can be shared among Transit Planners and PTC’s
to better manage the projects/programs. Monthly Grant Status Review meetings are held, and include Transit and support staff.

The Fiscal Services section will reconcile all internally produced financial sheets (FAS and People Soft) with the TEAM. Once a month the TPM, TP’s and the fiscal services group meet to report on the reconciliation, grant balances and any other support services needs.

When a monitoring activity identifies an issue related to capacity, eligibility or compliance, Division staff works with the subrecipient to determine whether the condition actually exists and, if so, determines a plan of corrective action and technical assistance.

The Division of Intermodal will also conduct site visits at least every five years for subrecipients that are considered low risk. Agencies that are high risk will be reviewed at a minimum of every three years, or more frequently as needed. Risk Assessment Forms will be completed by the Intermodal Transit Staff. Each staff member will complete their assigned section. Subrecipients may receive a site visit based on the agencies risk level. Risk level is determined by the factors below:

- History of poor performance, e.g., untimely reporting, low quality reports
- Financial stability is questionable
- Prior oversight findings
- Awards to agency are high dollar amounts
- Percentage of award(s) to subrecipient’s total budget
- Subrecipient experience: inexperienced subrecipient or inexperienced/new staff, or lacking sufficient administrative staff
- Complexity of requirements, meaning the level of knowledge and implementation
- Press coverage regarding an operational or fiscal issue
- Single audit findings and corrective action plans
- High profile programs, i.e., with significant public interest, or interest of Congressional delegation or Georgia legislature
- Request of subrecipient
- Changes in the subrecipients program

Based on the assessment, the division will prepare a review schedule for a 24-36 month period. Once the schedule is established, the agencies to be reviewed will be notified. Site review materials will be sent to the agencies. Reviewers will use a standard form site review questionnaire that includes major compliance areas, and areas of interest to the division. The Site Review Questionnaire shall be posted on the division website, and may be updated from time to time. Agencies are encouraged to use the Site Review Questionnaire to perform a self assessment prior to the site visit.

2.2.7. Reviews

GDOT conducts compliance reviews of each subrecipient. The time period of reviews vary as to the level of risk associated with each subrecipient. Compliance reviews shall occur at a minimum of every 5 years for each subrecipient regardless of their risk level. The reviews to be conducted shall include all FTA required programs in the following major areas:

- Legal
- Financial
- Technical
More details about the GDOT Annual Review can be found in the Application Guides. For further information on specific requirements in these areas, refer to the FTA Grants Management Workbook — New Grantee Workbook at: 

For high risk subrecipients, compliance reviews will be performed annually. For medium risk subrecipients, reviews will be performed every three (3) years. Complete compliance reviews are conducted by GDOT Transit Staff every five (5) years for low risk subrecipients.

2.2.8. Force Account Activities

Work performed by the state’s or a subrecipient’s work force on capital projects, other than grant administration, that is included in an approved grant is “force account” work. Force account work may consist of design, construction, refurbishment, and inspection, and construction management activities. Incremental labor costs from flagging protection, service diversions or other activities directly related to a capital grant may also be defined as force account work. Force account work does not include grant or project administration activities which are otherwise direct project costs. Force account can include major capital project work on rolling stock. An example is preventative maintenance activities on buses and rail cars.

Reimbursement of force account work is subject to the state providing the force account plan and justification, including documentation equivalent to a sole source justification, stating the basis for a determination that no private sector contractor has the expertise to perform the work. Reimbursement of such expenses is subject to FTA’s prior review of the state's force account plan and justification when the total estimated cost of force account work under the Grant equals $10,000,000 or more. Justification may be on the basis of cost, exclusive expertise, safety and efficiency of operations, or union agreement.

Reimbursement for force account projects below this threshold must be supported by GDOT’s force account plan and justification, which is located here: 
http://www.dot.ga.gov/doingbusiness/TheSource/specs/ss100.pdf and is consistent with FTA Circular 5010 1.D. No plan or justification is required if the force account work to be performed...
under the grant is less than $100,000. Note that the amount of the project funded under a grant, not the total cost of the project, is used when determining whether the threshold is met for a force account plan.

2.2.9. Capital Leasing

Subrecipients may use program funds to lease capital assets in compliance with FTA capital leasing guidelines including cost effectiveness analysis. Capital leases must comply with 49 CFR Part 639, “Capital Leases” and Office of Management and Budget Circular A-94 which prescribes discount rates to be used in cost effectiveness calculations for capital leases.

2.2.10. Oversight of Capital Projects

The GDOT Transit Planners are responsible for the oversight and management of transit construction projects under their programs. FTA offers two documents, Project and Construction Management Guidelines and the Construction Project Management Handbook for detailed guidance on the development and management of construction projects.

Management of progress payments is a key component in the oversight of construction projects. To encourage compliance, Transit Planners should promptly reject all submittals that do not adhere to the contract requirements.

Transit Planners are responsible for oversight of the construction work in progress through holding the contractors accountable to the terms of their contracts. This oversight is achieved by monitoring:

- Scope
- Budget
- Payments
- Schedules
- Subsystem inspection and testing
- Quality assurance
- Documentation of construction (As-built drawings, Quality Control Inspections, Deficiency lists)

In the event that disputes or law suits arise as a result of construction issues, the Transit Program Manager (after briefing by the Transit Planner) must notify the FTA Regional office of such occurrences through the Milestone/Progress Reports or through separate correspondence, where applicable.

2.2.11. Closeout

Since most budgets are based on a 12-month period, the Intermodal Programs require all Public Transportation providers to submit a final reimbursement and have the contract ready for close-out within 90 days of the contract/budget expiration. For a contract to be closed-out all necessary reimbursements must have been submitted and payments made against the contract. Request for contract/budget close-out must be made on County/City letter head, duly signed by authorizing personnel and submitted to the appropriate Public Transportation Coordinator or Transit Planner for processing. Once the contract/budget close-out letter is processed, no further claim or reimbursement can be made against the contract.
2.2.12. Pre-award Procedures

Specific responsibilities for the pre-award phase are defined in program manuals. General responsibilities are described below.

Transit Group leader, Transit Planner, and/or Public Transportation Coordinator responsibilities:

- The Transit Group Leader has management responsibilities over the Transit Planners and/or Public Transportation Coordinators.
- Ensure that the subrecipient completes all relevant certifications and assurances with the submission of each application by the established deadline each year, including proper signatures.
- The Transit Planner or Public Transportation Coordinator ensures that subrecipients have completed the FTA Certifications and Assurances and includes all certifications and assurances in the application as a required condition of grant award.
- Once the Transit Planner or Public Transportation Coordinator receives the certification, he/she electronically submits the appropriate certifications and assurances for all new grants that GDOT expects FTA to make during that fiscal year as part of the application.
- The Transit Group Leader, or Transit Planner must enter into TEAM, Certifications and Assurances for GDOT within 90 Days of the publication in the Federal Register, usually in January or prior to or concurrent with the first grant application for the fiscal year, whichever comes first.
- The FTA Regional Office checks that Annual List of Certifications and Assurances have been properly executed by GDOT and that GDOT is following its certification, prior to grant submission.
- The Transit Planner or Public Transportation Coordinator must ensure that the required documentation and submissions concerning civil rights (see Section 2.12) are completed by each subrecipient.
- The FTA Regional Office staff ensures that the required documentation and submissions concerning civil rights are completed by GDOT and recorded in GDOT's information under the Civil Rights tab in TEAM.
- The Transit Planner or Public Transportation Coordinator must ensure that signed labor protection documents required by DOL are collected from each subrecipient for submission to FTA prior to the draft grant application.
- The Transit Planner or Public Transportation Coordinator ensures that the required documents and pre-requisites about legal, financial and technical capacity are completed and included in the application for grant funds on an annual basis.

Subrecipient responsibilities:

- Submit the annual certifications and assurances as required by FTA to GDOT Division of Intermodal each year.
  - Subrecipients are expected to provide certifications and assurances for all programs for which the applicants intend to seek FTA assistance in each funding period.
- Use the certifications and assurances form to document their certifications and assurances as required by GDOT.
- Have an authorized elected official and attorney sign certifications and assurances.
• Has attended GDOT sponsored Substance Abuse Training and has established and documented anti drug addiction and alcohol misuse program.

2.2.13. Grant Award Procedures

Below are the procedures to be followed:

• Upon FTA’s approval of GDOT’s applications the FTA approves GDOT’s grant application including the program of projects (POP’s) for the 5311 and 5307 programs, FTA provides notification of approval to GDOT.
• FTA Regional Office staff notifies GDOT Intermodal Programs by e-mail of grant approval.
  - The Grant Agreement includes the notification of award and the approved project budget. Special conditions of the approval may be included in the award, the current Master Agreement, and the electronic grant (screen).
• Once GDOT receives the notification of the grant award, the Director executes the grant in TEAM. The electronic execution of the Grant Agreement signifies the grant is active and post-award grant requirements apply. GDOT can also check the status of grant applications in TEAM to determine when it has been awarded.

2.2.14. Grant Administration Procedures

Intermodal Department responsibilities:

• Determines that subrecipients have the financial capacity to carry out the terms of the grant program. The determination is made on an ongoing basis, based on application for funds, site reviews and desk reviews of reports and other grant-related documentation.

Subrecipient responsibilities:

• Subrecipients receiving funds from the division must manage their projects to conform to the applicable state or federal laws, rules, and other requirements. Subrecipients are required to conform to Office of Management and Budget regulations: http://www.whitehouse.gov/omb/circulars_default/.
• Administers the grant from award to closeout.
• Develops internal policies and systems to ensure effective management of awards and compliance with grant requirements.
• Establishes strong internal controls for accounting and compliance with grant terms and conditions.
• Provides detailed progress/milestone reporting per required frequency
• Demonstrates that funds are expended for eligible activities.
• Tracks receipts, disbursements, assets, liabilities, and balances.
• Tracks and reports program income.
• Ensures that organization has a financial management system and any other systems that are appropriate to implement the project, e.g.:
  - Procurement.
  - Property/capital management.
  - Hiring and training employees.
  - Contract management/monitoring plan.
  - Force account plan and justification.
• Establishes a budget of the costs required to perform the program/project and a method
for monitoring actual costs against the budget.
- A method to amend budget as necessary.
- A method of cost allocation when multiple grants may be charged for agency expenses.

- Keeps abreast of changes in policies, procedures or requirements and advise agency staff of any changes.
- Requests prior approvals when necessary.
- Prepares required reports and include progress or significant achievements in quarterly reports.
- Keeps Transit Staff aware and informed about project progress/transit program.
- Comply with the signed certification and assurance statements.

2.2.15. Oversight Procedures

Group Transit Group Leaders, Transit Planner and/or Public Transportation Coordinator Responsibilities:

- Methods of assuring subrecipients’ compliance include, but are not limited to:
  - Review A-133 audit
  - Site visits;
  - Review subrecipient reports, other documentation (desk review);
    - Including reviews of applications, financial and performance reports, annual audits and management letters, and certifications and assurances;
  - Required pre-approval for certain activities;
  - Third party review, as needed
  - Provide technical assistance and training;
  - Regular contact with subrecipients via telephone, email, training, or visits
  - Keep abreast of subrecipient issues, updates, events, media coverage etc...

Subrecipient Responsibilities:

- Allow inspections of records and facilities.
- Prepare and submit a plan of corrections to the Division of Intermodal if the result of site visits/Compliance review requires such a plan.
- Use GDOT Intermodal checklists for site review questionnaires/compliance reviews (see list of attachments in the appendix) as a self assessment tool;
- Keep GDOT informed of program/project changes, issues, updates and/or media related events

2.2.16. Compliance Monitoring and Risk Assessment Procedures

Group Transit Group Leader, Transit Planner or Public Transportation Coordinators responsibilities:

- To determine priority of Compliance Reviews, transit staff will perform annual Risk Assessments utilizing the Risk Assessment Questionnaire.
Risk Assessment Questionnaire

The Risk Assessment Questionnaire meets FTA requirements and is used to assess grantee risk, the need for greater oversight and Compliance Review priority. After completing the questionnaire, Intermodal Transit staff will summarize the scores to establish the subrecipient level of risk.

<table>
<thead>
<tr>
<th>Subrecipient Questionnaire Score</th>
<th>Risk Factor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 25</td>
<td>Low Risk</td>
</tr>
<tr>
<td>Less than 50</td>
<td>Medium Risk</td>
</tr>
<tr>
<td>Greater than 50</td>
<td>High Risk</td>
</tr>
</tbody>
</table>

A score of 5 on questions in Section IV items 1, 2, 3, or 6 and Section V, item 1 automatically indicate high risk regardless of overall score

- Public Transportation Coordinators and Transit Planners shall adjust monitoring and oversight plans for high and medium risk subrecipients to a greater level of oversight and more frequent and active monitoring. Transit staff will notify the subrecipient of risk status and the plan for increased oversight requirement.

- The Transit Program Manager shall keep subrecipient assessments in a central repository for tracking, reporting and historical risk assessment information. All relevant information relating to the oversight of each subrecipient should be maintained in such manner as to be readily accessible and quickly identified.

- Transit Staff should complete Compliance Monitoring Reviews based on the risk level of the subrecipient. See GDOT Compliance Review Areas.

- At the completion of the questionnaires and compliance reviews, the Public Transportation Coordinator and/or Transit Planner will submit their reports to the appropriate Transit Group Leader with a recommended plan of corrective action, the Transit Program Manager will review, comment and then confer with GDOT Fiscal Service, Contract Management and Internal Audit.

- If the Compliance Review results in findings of noncompliance, the Transit PTC and/or TP must inform the Transit Group Leader and Transit Program Manager in writing of findings of noncompliance and notify the subrecipient and recommendations for corrective action(s).

- Internal Audit will review the findings and the recommended corrective action(s) and provide comments and assistance as needed.

- The PTC and/or TP will monitor the completion of any corrective action plans for audit
• Compliance with corrective action plans is mandatory and any noncompliance may result in the following: GDOT/FTA may reduce or withdraw obligated funding assistance, reduce or deny further obligations, require specific actions by the subrecipient as a condition for further drawdown or award, terminate a project for cause, or take other actions as appropriate depending on the severity of non-compliance and the subrecipient's ability and willingness to implement corrective actions.

Subrecipient responsibilities:

- Subrecipients must respond to the findings and corrective action letter no later than thirty (30) days. Corrective action must be implemented within 30-60 days, or sooner if Title VI related, as determined by the Intermodal Office and the subrecipient.

2.2.17. Closeout Procedures

The Public Transit Coordinators and Transit Planners with oversight from Transit Management staff will:

- Monitor the status of sub-recipient contracts throughout the fiscal year on a monthly basis to properly prepare for a timely closeout.
- Initiate closeout procedures for all FTA grants that meet any of the following criteria:
  - draw-down of the grant has been completed and the balance is $0
  - all required performance elements have been completed.
  - the grant is older than five (5) years (since award).
  - the grant has not experienced any financial action in an eighteen month period.
- Identify any grants that meet the above criteria but where closeout has not been initiated and, on a quarterly basis, provide a list to FTA with explanations as to why they remain open.
- Develop a list of contracts, including key deliverables for each contract.
- Monitor contract activity to ensure that when the balance reaches $0 or when performance reports indicate that all project work has been completed, the Transit Program Manager/Transit Group Leader instructs the Transit Planner or Public Transportation Coordinator to contact the applicable sub-recipient to initiate closeout activity.

The Transit Planner and/or Public Transportation Coordinator will

- Monitor sub-recipients for initiation of contract closeouts; if closeout actions have not been initiated, the Transit Planner and/or Public Transportation Coordinator will advise the sub-recipient regarding closeout documentation, timing and submittals. To enforce timely closeouts, the Transit Planner and/or Public Transportation Coordinator will advise sub-recipients via e-mail that final reimbursements may be withheld until the grant closeout has been initiated.
- Communicate to sub-recipients that do not submit the final reimbursement request within 90 days after the contract expiration date, the GDOT Contracts and Fiscal Services Manager may use the last invoice submitted by the sub-recipient as the final invoice for closing out the contract.
- Request that GDOT initiate closeout procedures for any capital contracts upon notification by the sub-recipient that equipments has been received or for contracts that have been active for more than 3 years or if 95% of the funds have been disbursed.
- Initiate closeout procedures for any operating contracts upon receipt of a sub-recipient’s closeout letter along with the final reimbursement form.
- Forward to the Transit Group Leader the sub-recipient’s closeout letter along with any additional documents, e.g., the final reimbursement request, contract closeout request, etc.
- Monitor sub-recipient contracts in their designated region based on data in FAS for those contracts that may be closed. For those contracts that can be closed, the Transit Planner and/or Public Transportation Coordinator will notify the Transit Group Leader.
- The Transit Program Manager notifies the Director of Transit Programs when all sub-recipient contracts under a specific grant have been completed and are ready for close-out.

Miscellaneous
- The Fiscal Services Manager reconciles expenditures and revenues from the general accounting system (PeopleSoft) against the project balance and grant revenue screens, and updates the manual Excel Spreadsheets. This data is then submitted to the Intermodal Program Administrator, Transit Program Manager for review and/or concurrence. The Fiscal Analyst prepares Form 1625 to reduce any remaining funds.
- The Fiscal Services Manager reviews grants and contract balances, approves and forwards to the Budget Services Office for review and adjustments.
- The Budget Services Office approves and returns to the Fiscal Services Manager.
- The Fiscal Services Manager reviews adjustments to the general accounting system (PeopleSoft) and makes any final adjustments in grant accounting.
- The Fiscal Services Manager determines final ECHO billing and forwards result to the Intermodal Program Administrator and Transit Program Manager.
- The Financial Analyst prepares ECHO and FFRs and forward to the Fiscal Services Manager.
- The Finance Services Manager prepares the final FFR, prints and files final reports, submits final letter to FTA and updates the FAS grant data with grant closeout date.
- The Transit Program Manager ensures that the Fleet Status in TEAM-web if the grant included purchase of new, replacement, or spare vehicles and attaches in TEAM a final inventory of FTA funded purchase(s) as one of the project deliverables.
- On a semi-annual and/or annual basis, the FTA Region IV Office generates an electronic report that lists grants meeting the eligibility criteria for grant closeout. FTA Regional Office IV ensures that the required documents are completed and submitted by GDOT before closeout and/or de-obligation is executed in TEAM.
- FTA Region IV Office will verify that TEAM updates have been completed and any required supporting documentation is attached.
- The Transit Program Manager determines what grant data to archive and ensures archived data is maintained.
- The Fiscal Services Manager submits the final project budget reflecting actual project costs in TEAM.
- The Fiscal Services Manager enters the final Federal Financial Report (FFR) in TEAM. The Transit Program Manager or Transit Group Leader ensures that the final Milestone Progress Report (MPR) is entered into TEAM.
- The Transit Program Manager ensures that all project deliverables and reports have been completed and that the grant scope has been attached in TEAM.
- When grant closeout is initiated by GDOT, FTA Region IV checks the Federal Financial Report (FFR) and the Milestone Progress Report (MPR) in TEAM to ensure that the scope of the project has been accomplished.
- FTA Region IV reviews the project funds/status screen in TEAM to see if any un-liquidated balance remains and if the final budget reflecting actual project costs has been submitted in TEAM.
FTA Regional Office staff review the project balance to verify that the final budget totals match the final FSR in TEAM. If not, the Regional Office will notify the GDOT to submit a final project budget. FTA Region IV will also verify that the grant did not mix funds.

FTA Region IV will follow the streamlined closeout procedures in TEAM. If there are any problems with the above final submittals, FTA Region IV staff will contact the GDOT by phone or email and assist until all issues are resolved.

Subrecipient responsibilities:

- To initiate contract closeout, subrecipients shall submit the following to the Transit Program Coordinator for their review/recommendation:
  - **Capital**: Upon completion of reimbursement for all capital items intended for purchase, the subrecipient must submit a final Closeout Letter.
  - **Operating**: In closing out operating contracts, the subrecipient must submit the following items:
    - Close-out letter
    - Final reimbursement request
    - Financial Reporting Form
    - Operating Assistance Expense Summary
    - Operating Assistance Reimbursement Invoice
  - Subrecipients have up to 90 days after the contract expiration date to submit the final reimbursement request.

### 2.3. Reporting

There are a number of required routine reports, including fiscal, performance, and vehicle procurement and status. There are also special purpose reports, such as for National Transit Database, Drug and Alcohol Testing MIS, and Charter Bus, which are associated with specific types of funds, and unique program measures for several of the programs. The special purpose reports are covered in more depth later in this document. MIS data collection Report is to be submitted by March 15 every year by the designated Transit Planner or Public Transportation Coordinator.

### Requirements

Financial records, supporting documentation, and all other records pertinent to a grant must be retained by GDOT, and its subrecipients. Financial records must be made readily available to authorized representatives of the U.S. DOT and the Comptroller General of the United States for a period of three years from the date GDOT electronically submits the final Federal Financial Report (FFR). If any litigation, claim or audit is started before the expiration of the three-year period, the records must be retained beyond three years, until all litigation, claims, or audit findings involving the records have been resolved.

The Division requires annual performance and fiscal reports (A-133) from subrecipients for each of its funding programs annually. Grant payment is based on receipt and approval of the reports and reimbursement requests. Performance reports should contain number of rides, hours, miles, senior and disabled passenger counts, quarterly revenues and expenditures, local contributions, source of contribution and other data as required by the specific funding source. Capital reimbursements are made based on vendor receipts or maintenance descriptions. Vendor receipts for maintenance may be required to verify eligible expenses. Depending upon the type of
grant, the division may require other types of documentation in order to process reimbursement requests.

Subrecipients must keep grant records, including procurement records and other associated records for each grant, for three years after a project is completed, and after a vehicle is taken out of service. Subrecipient requirements, such as drug and alcohol testing, may have unique record-keeping requirements. Site Reviews will include an assessment of the record-keeping capacity of subrecipients by reviewing source documents and inspecting records.

2.3.1. National Transit Database

Recipients funded under the FTA Section 5307 and 5311 programs are required by law to report to the National Transit Database (NTD). Detailed reporting requirements for subrecipients are provided in the individual program manuals for these programs. General GDOT staff reporting responsibilities relating to NTD are included in the procedures listed below.

2.3.2. Invoice Submittal and Payment Reimbursement

GDOT policies recommend that revenue from any purchased service cover the fully-allocated operating cost of providing the service. In addition, there are other service policies affecting coordination, including reporting requirements.

2.3.3. Monthly Accounting Systems Reconciliation

In accordance with the FTA Financial Management Oversight (FMO) Reference 11.5 (Final Review June 29, 2009), Federal Grant Accounts will be reconciled monthly and all reconciling items must be tracked to resolution in a timely manner. All methods must clearly show the balance being reconciled and details of all of the reconciling items.

- The Fiscal Services must reconcile the FTA Federal Grants within a reasonable timeframe, not to exceed 30 days after the month’s close-out activity. FTA Federal Grants will be reconciled in the Financial Accounting System (FAS) and PeopleSoft in a structured timeframe to retrieve comparison reports from the Office of General Accounting’s Contracts Payable Unit (CPL).
- The Fiscal Services Division identifies reconciling items and makes necessary requests to appropriate offices (General Accounting) with adjusting entries and journal vouchers recorded within the same period. Adjusting book entries must be recorded within 30 days, or earlier, after requests are received. If journal and adjustment voucher entries are not recorded within the same month as monthly reconciliations are received, documentation must be maintained to describe the delay.
- The Fiscal Services Division communicates Accounting System reconciling items to Intermodal Management, General Accounting and to FTA. All reconciliations will be followed up and resolved with the appropriate offices to complete by fiscal year end.
- The Fiscal Services Manager reviews and approves proposed adjusting accounting entries. All cash-related transactions should be booked by fiscal year end.
- Intermodal Administrator and/or the Fiscal Service Manager will review and approve all monthly reconciliations with appropriate signatures.
- The Fiscal Services Division will retain documentation of the reconciliations for audit purposes.
- Upon the month close of each accounting period, the following procedure will take place for reconciling the Intermodal Financial Accounting System (FAS) with the Contracts Payable System (CPL) and PeopleSoft (PS).
2.3.4. Financial Reporting

FTA requires that GDOT submit financial and milestone progress reports to monitor overall progress against the goals and objectives included in GDOT’s program applications. Each of these reports is a sum total of subrecipient financial and milestone progress. Accuracy and timeliness are key aspects of ensuring that this procedure is effectively implemented.

2.3.5. Milestone Progress Reporting

GDOT Intermodal Programs is responsible for the day-to-day management of grant and subrecipient activities. Subrecipient progress and goals must be monitored to ensure compliance with applicable FTA requirements and to ensure the goals are being met. (See above sections for Intermodal and subrecipient responsibilities.)

2.3.6. Construction Project Reporting

In compliance with FTA Project and Construction Management Guidelines, the Transit Program Manager must require the construction contractor, through the subrecipient, to submit periodic progress reports and invoices in accordance with the project’s specification requirements.

Progress reports must be submitted to the Transit Program Manager monthly by the construction contractor and include the following:

- Facilities construction status by major milestone
- A one-month look ahead narrative
- Photos documenting recent progress
- Fiscal summary for contract and major subcontracts (award amount, executed change orders, current commitment, paid as of % expended, & actual expenditures versus baseline cash flow, % executed change orders)
- Procurement status and current approved submittal schedule
- Environmental mitigation status (if applicable) including compliance/non-compliance reports, completed mitigation efforts, public complaints, non-compliance issues raised by regulatory/oversight agencies, and hazardous material status
- Construction safety status
- Disadvantaged business enterprise status by subcontractor including last payment date and amount, amount paid to date, original subcontract value, and change orders. Reports must be submitted monthly to document DBE status.
- Permit application and permit modifications report including the status of those obtained by the grantee and those obtained by the contractor
- Utility work status by major utility
- Change orders of $100,000.00 or more will need FTA approval prior to the subrecipient allowing the contractor to complete the work.
- Status of any other activities (if applicable) including significant events, public affairs and insurance

2.3.7. Operating Grant Reporting

All grant recipients must submit financial and operating data to GDOT. Financial data must accompany the Reimbursement Form, which is submitted on a monthly basis. This data is to be submitted as backup documentation with each request for payment. The Reimbursement Form backup (and the Rural Management Information System - RMIS) includes data on:
Total operating costs expenditures for the period.
- Total farebox receipts
- Other operating revenue (contract revenue, fare subsidies from local organizations, and local government support or contributions)

The electronic Rural Management Information System (RMIS) that GDOT staff uses to compile and monitor vehicle, financial, and operating data on the local subrecipients, which will include the 5311 programs.

GDOT’s RMIS reporting Module and the GDOT Reimbursement Form will together be used as the basic data collection form for operating and vehicle capital projects, as it is specifically designed to collect these types of data.

In addition, the RMIS reporting system collects monthly data that includes:
- Total passenger trips
- Total service miles
- Total service hours
- Trip purpose
- Racial composition of ridership

GDOT maintains a current database of all vehicles purchased through the GDOT transit programs, which include:
- Vehicle identification numbers
- Vehicle year
- Vehicle location
- Number of seats
- Number of wheelchair placements
- Procurement details
- Vehicle Location

This data is collected to support the program measures established by FTA. The basic data source for these items and related vehicle information is collected during the annual inspection of the vehicles by GDOT staff, using the GDOT vehicle inspection form.

Procedures

2.3.8. General Reporting Procedures

Transit Planner or Public Transportation Coordinator Responsibilities:
- Maintain records sufficient to manage the programs and report to the FTA, including the annual program of projects status reports and Milestone Progress Reports (MPR).
- Annual Report as required to National Transit Database (NTD) in conjunction with the District Public Transportation Coordinator.
- Maintain grant reports a minimum of three years after project completion.
- Require subrecipients to maintain reports and to report, as required.

Subrecipient Responsibilities:
- Submit reports as required by the terms of grant agreement(s). Reports shall be true, accurate, current, complete and supported by verifiable documentation.
- Maintain grant reports and documentation a minimum of three years after project close out.
- Submit monthly performance and vehicle reports on the forms provided by the department.
- Submit reimbursement requests, with appropriate financial documentation monthly. If the reimbursement request is later found to be incorrect, the subrecipient is obligated to notify the department of the error and will reimburse overpayment, or may submit documentation for additional reimbursement.
- Report as required for 5311, JARC and New Freedom programs, including but not limited to NTD, drug and alcohol, and program performance measures.

2.3.9. Invoice Submittal and Payment Reimbursement Procedures

The objective of this procedure is to establish standard methodology and process that will be followed by all GDOT Intermodal staff and to be in compliance with FTA requirements in order to process payments for transit eligible activities under federal programs. These policies and procedures dictate the required steps that GDOT must follow for processing vouchers.

Transit Planner or Public Transportation Coordinator Responsibilities:

- Receives the reimbursement request from the subrecipient with the required documentation as described below:
  - Payroll salaries claimed.
    - In addition, the Transit Planner or Public Transportation Coordinator should perform a review of the reasonableness of labor costs, to include the following comparisons:
      - Average costs of maintenance
      - Emergency versus repair under normal conditions
      - Overtime percentages
      - Similar staff members charging overtime week/month on consecutive reimbursement requests. (The Transit Planner or Public Transportation Coordinator should compare consecutive reimbursement requests over a three month period to evaluate adverse trends or incorrect operating and labor charges.)
  - Invoices paid for vehicle maintenance.
  - Invoices paid for gas, licenses, alcohol and drug testing, vehicle insurance, services fees for mobile communications.

- Invoices for capital items
- Invoices for Design, Right-of-Way Acquisition or Construction
- Verifies reimbursement requests for completeness and accuracy, as described in step 1 above, and completes variance analysis as noted below.
- Evaluates costs incurred against project milestones or line-item budgets and conducts a variance analysis, evaluating the reimbursement request as follows:
  - Percent of funds expended versus percent of tasks completed
  - Percent of funds expended versus percent of calendar year elapsed
  - Requests for reimbursements for tasks completed
  - Cumulative amount charged by budget line item versus contract budget line item
- Questions and resolves the following:
  - When costs incurred do not track with project performance;
  - When budget line items have been exceeded, or when it can be reasonably forecasted that funds will be expended well in advance of the end of the fiscal year;
  - When the costs incurred include labor categories, rates, or indirect rate percentages not included in the contract budget.
  - Additional documentation may need to be submitted by the subrecipient.
- Resolves all invoice/voucher issues, documents problems and variances found, and includes these in the approval request.
- Submits the reviewed reimbursement request to the Fiscal Services Manager.
- The Fiscal Services Manager includes all variance analysis and reimbursement request problems in each subrecipient file and forwards package to the Transit Program Manager for review.
- The Transit Program Manager reviews and forwards the package to the Fiscal Analyst for processing.
- The payment invoice/reimbursement request is opened and logged and given to each Unit for the project manager to review for eligible expenses.
- The reviewing Manager logs all Pay Requests to ensure payment is issued within the 30 day –Prompt Pay regulation as set forth by the Federal Accounting Regulations (FAR) and forwards to the Fiscal Analyst.
- If the payment request cannot be processed due to computational or other related issues, the Project Manager communicates this to the subrecipient and either holds the request for additional information or returns the packet, where required, and logs the date with appropriate comments and courtesy copies.

Fiscal Analyst Responsibilities:
- Reviews submitted invoices for accuracy and cost limits.
- Prepares payment requests in FAS and links payment to contract and grant.
- Assembles Batch of Payments.
- Assigns next Batch Number and totals Payments for Batch.
- Initiates FAS session and enters Batch Header information.
- Enters Payment Information and executes Payment Batch Reports.
- Validates Payment Batch and makes needed corrections.
- Executes Batch Payment Vouchers and Reviews for Accuracy.
- Stamps each Payment Invoice/Reimbursement Request and Recipient Request Letter with the –Blue Invoice Stamp (or the –Red Invoice Stamp, if the invoice is a copy).
- Assembles the pay packet, which includes the 1678 Voucher, Recipient Letter and Invoice with back-up documentation.
- Submits payment packet with Batch Report to the Contracts & Fiscal Services Manager for Review.
- Reviews payment package and prepares it for transit review and Intermodal management approval. Once approved, the payment package is returned to the Fiscal Analyst and prepared for submission to Contracts Payable for entry into PeopleSoft. Two copies of the payment request package are made: one for Intermodal files and one for forwarding to the Office of General Accounting/Contracts Payable Unit.
- Contracts Payable posts to Contracts Payable Ledger (CPL) and PeopleSoft within 3-5 business days.
- GDOT, through the PeopleSoft system, issues a payment to the subrecipient via check or Electronic Funds Transfer (EFT), usually within 4 days.
- The Fiscal Analyst updates the –Check date field in FAS upon receiving confirmation from PeopleSoft and the paid receipt from Contracts Payable.
- The Fiscal Analyst runs the –ECHO Report in FAS before the end of the month to verify all the requested payments have been made and submits the ECHO report to the Grants Administrator for entry into TEAM.

Grants Administrator Responsibilities:
- The Grants Administrator reviews ECHO for accuracy and validity and prepares the ECHO form for entry into the Federal ECHO Report System. This information is then forwarded
through the Contracts and Fiscal Services Manager to Intermodal Management for approval. If no corrections are required, it is returned to the Grants Administrator for entry into the Federal ECHO System. The entry includes a request for the total amount of the payments made so that FTA releases the amount to GDOT electronically as required by the FTA. Final ECHO approval is provided by the Division of Intermodal Director.

- An ECHO receipt is generated for attachment to the ECHO report listing the amount requested with signature and the actual amount received through the GDOT Revenue unit. The GDOT Revenue Unit submits cash receipts transmittals, noting funds received by Electronic Funds Transfer (EFT) for ECHO reimbursements requested by Intermodal. The information is attached to the receipt when posted and is maintained in the ECHO reporting folder.
- At the end of the fiscal year, when subrecipients submit their final reimbursement request, the Fiscal Analyst tracks this final payment in FAS.

Subrecipient Responsibilities:

- Submits reimbursement request forms using the Sample Operating Assistance Reimbursement Form to the Transit Planner or Public Transportation Coordinator, no later than the end of the following month. For reimbursement requests of construction and Architectural & Engineering invoices (including those related to NEPA), subrecipients are required to submit reimbursement requests monthly for all transit programs regardless of the project type (i.e. operating, capital, planning).
  - This information can be transmitted electronically, but the subrecipient must print the form, sign the copy, and transmit the hard-copy information by mail in order for the invoice to be processed for payment by GDOT.
  - Subrecipients must provide a sufficient amount of detail when submitting payroll salary information. This information should include, at a minimum:
    - Detailed payroll records including hours worked by staff member
    - Extent and explanation of overtime worked
    - Explanation of the basis of any indirect markup such as fringe or health benefits
    - The exact salaries and markups for staff as noted on the subrecipient’s application

Refer to the Division of Intermodal Programs Financial Accounting System (FAS) procedures for additional information on FAS.

2.3.10. Monthly Accounting Systems Reconciliation Procedures

Fiscal Services Responsibilities:

Part I – Reconcile PS & CPL

- The Senior Financial Manager will run and balance the Ledger Monthly Balance Detail Report by account code, after the month closes in PS using the following steps:
  - Run the Ledger Monthly Balance by Detail Report on fund sources 707013 & 707020.
  - Verify PS & CPL month end total purchase order obligation and payment balances.
  - Verify payment & obligation transactions that occurred within that monthly period.
  - If transactions balance, type –PO is in balance and move to step (f) below.
  - If the balances do not match, research, provide documentation, and then correct the out of balance.
  - Obtain approval signatures from the Senior Financial Manager, the Division Director in Intermodal Programs, and then obtain signatures from either the
Part II – Reconcile FAS to PAS

- The Contracts & Fiscal Services Manager receives the PeopleSoft and CPL Accounts Payable Reports for review and forwards them to the Fiscal Analyst.
- The Fiscal Analyst reviews for type and validity and collates with Hold Payment Documents.
- The Fiscal Analyst initiates the PeopleSoft Financial Accounting Session and performs the following:
  - Access the ‘Accounts Payable’ module
  - Click on ‘Vouchers’
  - Enter VENDOR ID# in applicable area to generate a listing of payments made to that vendor
  - Select appropriate payment or payments
  - Confirm correct payment information relative to fund code and amounts.
- The Fiscal Analyst prints Voucher Screens for back-up documentation.
- The Financial Analyst initiates the Financial Accounting System (FAS) session and performs the following:
  - Selects Payments for Date period
  - Enters Check Date for all Hold Payment Documents
  - Selects Administrative Reports
  - Selects ECHO Reports
  - Executes ECHO Report and Check Date
  - Reviews for accuracy
  - Forwards to Contracts & Fiscal Services Manager for review.
- The Fiscal Analyst reports all account discrepancies in spreadsheet format to the Fiscal Services Manager for review, and this information is forwarded to the General Accounting Section for correction.
- The Fiscal Analyst will follow-up on corrective action within 10 days after submission, confirm corrections in PeopleSoft Accounting, and make necessary adjustments to the Financial Accounting System (FAS) where required.
- The Fiscal Analyst obtains approval signatures from the Senior Financial Manager; the Division Director in Intermodal Programs then obtains signatures from either the Assistant Accounting Director or the Accounting Director.
- The Fiscal Services Manager submits an ECHO report to Grants Administrator.
- The Grants Administrator prepares an ECHO form, reviews for accuracy, and forwards it to the Fiscal Services Manager.
- The Fiscal Services Manager initials, obtains approvals from the Intermodal Administrator and forwards it to Grants Administrator.
- The Grants Administrator transmits to ECHO for Federal Reimbursement, makes necessary copies for the submission of pay copies to General Accounting and Budget Services, and files in the appropriate Intermodal file drawers.

Subrecipient responsibilities:
- None

2.3.11. Financial Reporting Procedures

Fiscal Services Responsibilities:
- The Fiscal Services Manager completes the SF425 that includes program outlays and program income (if any) on modified accrual basis. GDOT must use Standard Form SF425 Federal Financial Reporting Form (FFR), to report the status of funds for
grants to FTA
- The Fiscal Services Manager submits these reports on a quarterly basis, and at the expiration or termination of grant support. Reports are due within thirty (30) days after the reporting period and within ninety (90) days after the expiration or termination of grant support.
- In this report, capital outlays will be shown as accrued costs while operating costs will be shown on a cash basis. This is due to the fact that capital costs are accrued via Purchase Order commitments for vehicles, while subrecipients are paid on a cash basis for all operating costs. Notation of the two bases of cost accumulation will be provided in the report.
- FTA Regional Office Staff will review FFRs on a quarterly basis to verify that appropriate information is included, provide comments or remarks, and will notify GDOT by email for clarification if there are discrepancies. The Common Rule (49 CFR Part 18) and 0111111111111115010.1D detail the information that at a minimum must be included in the FFR by GDOT.

Subrecipient responsibilities:
- Use the **Monthly Financial Reporting Form** to report the status of funds for grants. These requests must include program outlays and program income (if any) on a cash or accrual basis as prescribed by the GDOT Fiscal Services Manager.
- Submit monthly reports to the Transit Planner or Public Transportation Coordinator, and at the expiration or termination of grant support. Reports are due within thirty (30) days after the reporting period and within ninety (90) days after the expiration or termination of the GDOT – Subrecipient contract.

### 2.3.12. Milestone Progress Reporting Procedures

Transit Planner or Public Transportation Coordinator responsibilities:
- Manage project of programs and submit **Quarterly (or monthly if required) Milestone Progress Reports** for each open Section 5303, 5307, 5309, 5311, 5316, 5317 grant (due the 3rd of each quarter) to their Manager for via MPR forms and Microsoft Word.
- Send a reminder to subrecipients three weeks before the report is due.
- Notify the subrecipient upon receipt of the **Milestone Progress Reports** (MPR) so subrecipients have confirmation of their submittal of the report.
  - The Transit Program Manager submits **Milestone Progress Reports** to FTA in TEAM by the 30th of the month they are due.
  - Milestone Reports should include
    - Current Status of each open Activity Line Items (ALI) including budget and schedule changes.
    - Narrative describing project status as well as any problems relating to the ALI.
    - Comparison of actual accomplishments to the objectives established for the period.
    - The reasons for slippage if established objectives were not met.
    - Revised estimated completion dates including explanations if original milestone dates were not met.
    - Completion dates for completed milestones.
    - Additional information such as exploration of large delays in time or large savings in costs incurred.
    - Problems, delays, or adverse conditions that may materially impair the ability to meet the objective of the grant award.
• Favorable developments that may reduce the time it will take to implement the grant or implement it at a lower projected cost.

  ▪ The Transit Program Manager must notify FTA of any event that may have a significant impact upon the grant or subrecipient contract. FTA should be informed when:
    - Problems, delays or adverse conditions may materially impair the ability to meet the objective of the grant award such as delayed vehicle shipments and natural disasters.
    - Favorable developments may reduce the time it will take to implement the grant or enable the grant to be implemented at a lower projected cost, such as reduced vehicle pricing or improved maintenance procedures.

Subrecipient responsibilities:

  ▪ Notify GDOT of any events that may significantly impact the grant or subrecipient contract.
  ▪ Submit the **Preventive Maintenance Annual Report for Equipment** on an annual basis to the Transit Planner or Public Transportation Coordinator. This report is due within thirty (30) days from the end of each grant year.

### 2.4. Financial Management

**Requirements**

GDOT’s Division of Intermodal manages financial expenditures of FTA programs in Georgia. This includes state and federal funds allocated to it as required by laws, rules, and GDOT policies governing the expenditure and accounting of federal and state funds. GDOT’s financial management system controls the financial expenditures of programs to establish that such funds have not been used in violation of federal and state requirements.

Specific requirements are summarized below:

#### 2.4.1. Flexible Funds

Federal highway and public transportation statutes include provisions that permit certain categories of funds to be used for either highway or transit purposes. These flexible funding provisions facilitate a multimodal approach to meeting transportation needs at both the statewide and local levels.

Flexible fund programs include:

  ▪ Surface Transportation Program (STP), 23 USC 133
  ▪ Equity Bonus Program, 23 USC 105
  ▪ Highway Bridge Replacement and Rehabilitation Program, 23 USC 144
  ▪ National Highway System Program, 23 USC 104(c)
  ▪ Substitute Highway Program, 23 USC 103(d)
  ▪ Congestion Mitigation and Air Quality (CMAQ) Improvement Program, 23 USC 149

Although these Federal Highway Administration (FHWA) programs have intermodal flexibility, there are limitations on the uses of some funding. For example, recipients may not use STP funds for operating assistance on public transportation projects; however, recipients may use STP funds for any public transportation capital project. Further, recipients may only use CMAQ funds for public transportation or highway projects that are likely to result in emissions reductions.
Operating assistance is limited to new transit services, intermodal facilities, and travel demand management strategies (including traffic operation centers); and the incremental cost of expanding existing transit services.

In using CMAQ funds for operating assistance, the intent is to help start up viable new transportation services that can demonstrate air quality benefits and eventually cover their costs as much as possible. Other funding sources should supplement and ultimately replace CMAQ funds for operating assistance, as these projects no longer represent additional, net air quality benefits but have become part of the baseline transportation network.

Operating assistance includes all costs of providing new transportation services, including, but not limited to, labor, fuel, administrative costs, and maintenance. When CMAQ funds are used for operating assistance, non-Federal share requirements still apply. With the focus on start-up costs only, operating assistance under the CMAQ program is limited to three years.

Generally, flexible funds transferred to FTA require the same non-Federal matching share that such funds would require if used for highway projects administered by FHWA. Consistent with FHWA matching requirements, the Federal share may exceed 80 percent for some projects and for projects in some States. If the FTA share would be greater than the FHWA share, such as for equipment and facilities to comply with the ADA and Clean Air Act (CAA), the FHWA share is applicable. Flexible funds transferred to FTA are administered and managed under the same requirements of the Section 5303, 5307, 5309, 5311, and 5316/17 programs and must be obligated in a separate grant.

Public transportation projects funded under an FHWA flexible funding provision must be identified in the metropolitan transportation planning process and included in an approved TIP and STIP. Approval of the TIP by the Governor for inclusion in the STIP constitutes a State’s commitment to funding programmed projects with the identified FHWA funds.

To facilitate project delivery, flexible funds for eligible public transportation and public transportation-related projects may be administered by FHWA, rather than transferring the funds to FTA. When a project is eligible for flexible funding, the recipient should base its decision to have funds administered by FHWA or FTA on the nature of the project, the agencies involved in implementation, and the recipient’s preference to follow either FHWA or FTA administrative procedures and requirements. However, a transit project is subject to 49 USC 5333(6) transit employee protection requirements regardless of which agency administers the funding.

When an applicant seeks funding for transportation-related planning activities under a flexible funding provision, it is not necessary to transfer STP, CMAQ, or NHS funds from FHWA to FTA, as the FHWA programs and Section 5303, 5307, 5309, 5311, and 5316/17 programs have identical eligibility criteria for planning activities.

Flex funds transferred for capital purposes in the Formula Grants programs that are lapsing or that have lapsed will be credited to the State Governor’s apportionment balance to benefit the entire state for later approved transit projects not be solely the original recipient urbanized area. The Governor will have the authority to decide transit projects for which the lapsed funds will be used. The FTA Regional Office will notify the appropriate State DOT by letter that lapsed funds have been credited. The Governor or his designee must inform the Regional Office in writing of his/her decision on the use of the funds. The Governor may elect to direct that the funds be used for the project or in the urbanized area for which they were originally transferred, or he/she may direct that the funds be made available for a different project or urbanized area.

2.4.2. Eligible Expenses
To be allowable for reimbursement from state and federal grants, costs must meet the following general criteria:

- Be necessary and reasonable for proper and efficient performance and administration of the project.
- Be an eligible expense.
- Be treated consistently: A cost may not be assigned to the grant as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to a grant as an indirect cost.
- Be determined in accordance with generally accepted accounting principles.
- Not be included as a cost or used to meet cost sharing or matching requirements of any other Federal award in either the current or a prior period.
- Be the net of all applicable credits.
- Be adequately documented.

A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost.

2.4.3. Operating Expenses

The operating budget for each local recipient’s TIP and/or RTIP is largely based on the previous year’s budget and increased up to five percent for inflation in line items where permitted under GDOT budgetary guidelines.

Subrecipients must develop a realistic budget to include an estimate of actual administrative and operating costs, rather than basing their budget on known funding sources and amounts. Subrecipients should use the Sample Operating Budget Form when completing their operating budget.

2.4.4. Indirect Cost Eligibility

The division will not approve indirect costs charged to grants that are not supported by an indirect cost plan approved by a federal cognizant agency.

It is allowable to charge a prorate share of direct administrative costs to grants. In this case, a narrative cost allocation methodology should be developed, documented, maintained for audit, or submitted, if requested, to the Transit Planner or Public Transportation Coordinator for review, negotiation, and approval.

2.4.5. Program Income

Program income is defined as gross income directly generated by a grant funded project. Examples include fares, Business Energy Tax Credit Pass-Through program, service contract revenue, and income from advertising on buses. There are many source of program income. Subrecipient must maintain records of program income earned and spent.

Subrecipients may use program income as match, with the following exceptions:

- The income from contract services may not be used as match if the original source of payment for the contract is another FTA grant program.
- Fares may not be used as match. The eligible expenses are the net expenses after the
subtraction of the fares from the total eligible expenses.

- In the 5311 program, there is a limit to the amount of in-kind contributions that may be used as match: in-kind contributions may not exceed more than one-half of the local matching share.

### 2.4.6. Internal Controls

Internal controls are the responsibility of the subrecipient agency. Internal control procedures for subrecipients will reflect the culture and size of the agency. Smaller agencies may have less formal structure, but will emphasize integrity and communication. Smaller agencies may rely on compensating controls due to low numbers of employees. Internal controls are defined as reliability of financial reporting and compliance with applicable rules and laws. There are generally five elements of internal control: control environment, risk assessment, control activities, information and communication, and monitoring.

Internal control procedures should address the following: cash management, fixed assets, procurement, accounts payable, payroll, overhead, budget controls, grants management, project management and information technology.

With respect to information technology, subrecipients should have controls in place that insure that hardware and software are protected against misuse; access to sensitive information is restricted; there is an ability to prevent and detect unauthorized transactions; and ensure critical data is protected in the event of an emergency.

### 2.4.7. Budget Revisions and Amendments

GDOT is required to officially notify FTA of any change within the scope that has impact on budget allocations of the original grant. GDOT subrecipients must notify the Transit Planner or Public Transportation Coordinator of the need to modify or amend the budget, the duration of a project, the scope of the project, the quantity of assets to be acquired, and for other administrative reasons. As required, programs requiring changes to the POP are submitted to FTA for approval.

Budget revisions may be made as long as there is no change in the grantee purpose, scope codes, and Federal funding of the grant, regardless of the fiscal year when the funds were appropriated. Budget revisions are generally changes to ALIs in amounts or descriptions. Budget revisions must be consistent with the activities contained in an approved Transportation Improvement Program (TIP) and Statewide Transportation Improvement Program (STIP) and satisfy applicable National Environmental Policy Act (NEPA) requirements. Useful life of new activities must be addressed in the budget revision, as applicable.

Budget amendment is a change to an existing budget. It involves a fundamental change in the scope of an existing budget so much so that a supplemental contract has to be executed. A budget amendment involves a change in the amount previously approved. It also alters the federal and local amount. The Intermodal Programs office takes the request for budget amendment very seriously since it involves multiple processes. All requests for budget amendment must be submitted through the appropriate Public Transportation Coordinator or Transit Planner using the standardized format.

Public Transportation Coordinator CANNOT approve requests for budget amendment. The request can only be approved by the Atlanta Office. For a budget amendment or supplemental budget to be considered, the request must be at 90 days before the end of the contract period. Rural Public Transportation Coordinator may approve budget revisions. The Intermodal
Programs will not consider any change to an approved budget without its prior written approval nor will it consider for reimbursement any request which is not an expense under an approved budget without its prior written approval. Budget amendments and budget revisions are approved on a case by case basis.

**Procedures**

**2.4.8. Financial Management Procedures**

Upon receipt of an approved FTA grant agreement, GDOT Intermodal processes and sets up Subrecipient funding. Responsibilities for this process are as follows:

**Transit Group Leader, Transit Planner or Public Transportation Coordinator Responsibilities - Funding Setup:**

- The Transit Planner or Public Transportation Coordinator gives the grant award agreement to the Fiscal Services Manager, who sets up the Subrecipient funding. The Fiscal Service Manager reviews and forwards to the Grant Administrator, and if discrepancies are found, returns to the Transit Planner or Public Transportation Coordinator for necessary adjustments.

- The Grant Administrator is then:
  - Contacts the Office of Financial Management to ensure fund sources are loaded into the TPro system.
  - Assigns a fund source number and enters into TPro to generate a Project ID Number for all grants and to establish the Grant Sum Bank.
  - Manually codes new project/accounting fund source number to upper right hand corner of grant award agreement.
  - Generates an Accounting Notice Change form and Fund Source Table indicating necessary information pertaining to the new grant and project/accounting fund code and CFDA information and forwards to Office of Budget Services and the Office of Financial Management.
  - Establishes a Grant File folder which consists of the Grant Agreement and Accounting Notice.
  - Submits to the Fiscal Manager for review.

- The Fiscal Manager then reviews for accuracy and returns to the Grants Administrator for corrections as needed, and returns to the Grant Administrator for grant processing.

- Upon receipt, the Grant Administrator:
  - Submits Accounting Notice to Office of Budget Services and Office of Financial Management (OFM).
  - Prepares Grant Ledger Spreadsheet.
  - Establishes Grant file folder and initiates FAS session.
    - Selects Grants from the sub-menu and enters Grant data.
    - Selects Grants Reporting and generates a Balance Report
    - Reviews for accuracy.
  - Maintains Grant File Folder.

- Follows up with Office of Budget Services and OFM to ensure that grant is set up in PeopleSoft with the correct grant information.

- Next, the Office of Financial Management (OFM) staff verifies all funding availability in PeopleSoft and TPro prior to any 1625 approvals for funding. Upon approval of the 1625 Form funding request, OFM assigns funds from the Master Grant for each project account and forwards 1625 copies to Office of Budget Services for allotment.
The Office of Budget Services is then responsible to post all Federal Funds codes and State Fund codes to the budget tree in PeopleSoft enabling the PeopleSoft system to expense funds under grants that are received.

Office of Budget Services staff then allots funds to the project account which gives approval and ability to generate a correct Project Financial Report (PFR).

Once the grant has been approved, the funds have been set up in the accounting system (PeopleSoft), and the funds have been confirmed:

- The Fiscal Services Manager utilizes the TPro system.
- The Transit Planner or Public Transportation Coordinator notifies the subrecipients by email of grant award and provides instructions on next steps.

**Transit Planner or Public Transportation Coordinator Responsibilities - Contracts Setup:**

Per FTA requirements, GDOT Intermodal Programs must execute the grant within the allowable time period of 90 days.

The Transit Planner or Public Transportation Coordinator, after approval from appropriate Transit Group Leader /Manager:

- Reviews and transmits subrecipient agreements or contracts for projects where the subrecipient has provided a complete application and distributes the agreements within approximately 30 days of the availability of funds.
- Approves the subrecipient application letter request

The Contracts Manager is responsible to:
- Review the approved request and forwards the documents to the Grant Administrator.
- Review and updates all contract boiler plates for each program and ensures that the legal policy set forth by the Office of Legal Services is applied with correct language and proper presentation of information.
- Receive Sponsor Applications/ Grant Summary Report and Letter of Request that have been approved by the Division of Intermodal Transit Program Manager.
- Review and forwards to the Grant Administrator.

The Grants Administrator is responsible for reviewing the application request and determining the type and validity. The Grants Administrator must:
- Enter in TPro to program funds for subrecipient projects and to generate Project ID Numbers.
- Enter subrecipient information and amounts into the Grant Ledger spreadsheet.
- Prepare the web-based 1625 Form for each subrecipient for Department approval.

The web-based 1625 Form goes through the following electronic approval process:
- Requisitioner,
- Budget Analyst (verifies the availability of funds and balances the new request against that fund balance)
- Chief Engineer (for federal projects), Deputy Commissioner (for local projects) and/or Intermodal Administration
- OFM, and Treasurer
- Prepare the Contract and reviews for accuracy.
- Prepare the Contract Ledger sheet and the Contract folder.
- Update the Program of Projects identifying specific projects to be contracted.
- Submit to the Contracts and Fiscal Services Manager for approval.

- The Contracts then reviews the documentation for accuracy, returns to the Grant Administrator for Contract execution to assemble Contract copies, exhibits and appendices, and then sends to the Transit Planner or Public Transportation Coordinator to review and note any discrepancies relative to the application requests. Any discrepancies are communicated to the Contracts Manager or the Grants Administrator.

- The Transit Planner or Public Transportation Coordinator is then responsible to:
  - Review the contracts and prepares Memos of execution and directives of contract handling regarding execution (Exhibits, Appendices, Federal ID information) and local cash share for capital vehicle purchases.
  - Distribute contracts to subrecipients for signature.
  - After the subrecipient signs the contract, the Transit Planner or Public Transportation Coordinator forwards the contract to the Contracts Manager.

- The Contracts Manager then reviews and approves the signed agreements or contracts for proper execution and forwards to the Grants Administrator.

- The Grants Administrator:
  - Assembles the Resolution, PFR, Budget Comparison Report (BCR) and Local Cash Check (when required).
  - Properly codes the charging information in the upper right hand corner of the contract for Contracts Payable to expense the funds.
  - Enters Contracts data into the Contracts Authorization Tracking System (CATS) for GDOT execution and approval. (This is an electronic process that requires several levels of approval from the Office of the Commissioner.).
  - Obtains Contract ID number from Contracts Payable, a unit of General Accounting.
  - Upon approval and execution of contracts at GDOT through CATS, Office of Legal Services forwards one copy to Contracts Payable for entry into PeopleSoft and the Contracts Payable Ledger (CPL) system and returns 2 executed copies to the Contracts and Fiscal Services for distribution to the subrecipients.
  - Notifies the Transit Planner or Public Transportation Coordinator of contract execution.
  - Prepares a transmittal memo for the Transit Planner or Public Transportation Coordinator and forwards to Contracts and Fiscal Services Manager for approval.
  - Resolves discrepancies (if any) and returns memo to the Transit Planner or Public Transportation Coordinator for distribution to the subrecipients.
  - Places the remaining executed copy in the contract file folder and forwards to the Fiscal Analyst.

- The Fiscal Analyst is then responsible to:
  - Review the executed contracts to determine type and validity
  - Prepare the contract entry form and assembles into Contract Batch.
  - Assign Batch number and initiates FAS session.
  - Assign Contract ID to each contract being entered in the FAS Contract Processing Module.
  - Contract entries in the Financial Accounting System (FAS) – the cross referencing of the contracts database is achieved by using the contract number and its supplement
for the collective Section 5309 contracts.
- Add contracts for Batch and executes the Contract Batch Report.
- Verify contract data entry and makes corrections as needed.
- Re-run any Batch Reports if needed.
- Submit Contract Batch reports to the Contracts and Fiscal Services Manager.
- File the Contract Ledger Sheet and Contract Folder in the appropriate file area.

- The Contracts and Fiscal Services Manager reviews the contract batch report and forwards to the Grant Administrator.

  - The Grant Administrator reviews the approved contract batch report, verifies balances and executes both the Grant Balance and Contract Type Reports. The Grant Administrator then verifies data on both reports.

Subrecipient Responsibilities - Contracts Setup:

After the Transit Planner or Public Transportation Coordinator distributes the contract to the subrecipients for signature, the subrecipient:

- Reviews the contract or agreement and agrees with the terms, as the subrecipient grant agreement represents a contractual obligation between GDOT and the subrecipient to perform in accordance with federal and state guidelines.
- Signs the contract and forwards to the Transit Planner or Public Transportation Coordinator.

2.4.9. Flexible Funds Procedures

- Division of Intermodal submits letter to the GDOT’s Office of Financial Management requesting flex funds on behalf of the subrecipient. GDOT’s Office of Financial Management submits that letter to FTA.

2.4.10. Budget Revision Procedures

Transit Planner or Public Transportation Coordinator responsibilities:

- GDOT may request a budget revision either before or after incurring costs, depending on the nature of the request. If the budget revision meets the criteria outlined below, FTA concurrence is required before incurring costs associated with the proposed change. If the revision falls within GDOT’s authority, up to 20% of the total cumulative project cost not to exceed $100,000, does not involve quantity changes, or the addition/deletion of Scopes and Activity Line Items, the revision need not be approved by FTA.

  (TEAM cannot differentiate between a required revision and ones that fall within the grantee’s authority; therefore, the revision is still reviewed by the FTA Regional Office staff to verify that all items in the revisions are complete and accurate and that FTA approval is granted where necessary before costs are incurred).

- GDOT requires approvals of other budget revisions from FTA, managed by the Transit Program coordinator as described below:
  - The subrecipient may submit a request for a budget revision to any Activity Line Items (ALIs) within the grant by filling out the budget revision request form and sending a cover letter detailing the justification for the request.
− The Transit Planner or Public Transportation Coordinator will make a recommendation to approve or deny the request.
− After the Transit Planner or Public Transportation Coordinator has made the recommendation, it is then forwarded to the Transit Program Manager for approval or denial.
− If approved by the Transit Program Manager, the Transit Planner or Public Transportation Coordinator submits the proposed budget revision in TEAM for approval before incurring costs associated with the budget revision. If FTA determines the proposed budget revision does not meet the criteria for a budget revision, alternate methods for modifying the grant, such as a grant amendment, may be recommended.
− Prior FTA approval must be obtained if the proposed budget revision meets any of the following criteria:
  • The Federal share of the grant exceeds $100,000 and the change in the cumulative amount of funds allocated to each scope from the originally approved scope exceeds 20 percent.
  • Federal funds are transferred between ALIs with different Federal matching ratios, such as moving funds from a capital activity with a match ratio of 80/20 to an operating activity with a match ratio of 50/50. This activity also requires a financial purpose code (FPC) transfer.
  • Changing the Federal share of an existing ALI, such as changing an ALI from 80/20 to 83/17 to account for compliance with ADA or CAA requirements.
  • The budget revision changes the size or physical characteristics of the items in the ALIs without changing the project scope.
  • The addition or deletion of an ALI to an existing scope included in the grant, provided that the request does not change the amount of Federal funds awarded in the original grant or change the scope of the project contained in the grant. The addition of an activity within an approved scope requires that the grantee affirm in the budget revision request that the new activity is consistent with the approved STIP and, if applicable, has satisfied NEPA requirements.
  • Subrecipient request for Budget Revision:
    − Changes to Activity Line Items (ALI) budget that do not affect the overall amount requested and that are less than 20% of the total amount for the Fiscal Year of project.
      • The subrecipient submits a request to the Transit Planner or Public Transportation Coordinator that includes all the required information to justify the requested changes.
      • The Transit Planner or Public Transportation Coordinator reviews and obtains concurrence from the Transit Group Leader makes revision recommendations to the Transit Program Manager.
      • The Transit Program Manager or the Group Transit lead must approve all budget revisions.
      • If approved, the Fiscal Services Manager makes any necessary changes in FAS.
    − All other changes that affect the overall amount requested must be separately
approved:

- The Transit Planner or Public Transportation Coordinator reviews and provides the Transit Group Leader/Transit Program Manager the request made by the subrecipients.
- The Transit Group Leader makes recommendations and the Transit Program Manager either approves or denies it.
- If the request is approved, the Transit Planner or Public Transportation Coordinator shall make the necessary changes to the budget for that subrecipient in AMIS.

- The Transit Planner submits a budget revision in TEAM using the –Revise Project Budget screen.
  - Budget revision requests must include a reason for the revision.
  - For each ALI being adjusted, either by quantity or dollar amount, a brief explanation and impact to the project or grant must be included in the details section for the change being requested.
  - If necessary, additional information can be provided by using the attachments feature in TEAM.
  - Incomplete budget revisions will be returned to GDOT by the FTA reviewer for inclusion of additional information.
  - GDOT should contact the FTA Regional Office for assistance with completing budget revisions, if needed.

- In addition to entry into TEAM, the Transit Planner or Public Transportation Coordinator should notify the appropriate FTA Regional Office staff by email or telephone when they enter a budget revision in TEAM.
- The Transit Program Manager executes the revised TEAM grant on behalf of GDOT (if it is a grant amendment request) and provides the Contracts and Fiscal Services Manager with the revised TEAM budget.
- The Contracts and Fiscal Services Manager reviews the revised budget and prepares the DOT Form 1625 Project Allocation Funds Report for approval.

Subrecipient responsibilities:

- Submit a request to the Transit Planner or Public Transportation Coordinator that includes all the required information to justify the requested changes. See the Example of Line Item Budget Revision.

### 2.5. Audits

#### Requirements

The purpose of this procedure is to provide guidance to GDOT Intermodal staff on the submission and coordination of single annual audit reports (A-133) to FTA. The objective of this procedure is to establish a standard methodology and process that will be followed by GDOT Intermodal to achieve compliance with FTA requirements with regards to A-133 Audits.

Grantees that receive $500,000 or more in a year in Federal funds from all sources must have a single audit conducted, except when they elect to have a program-specific audit conducted. The audit must be completed within nine months of the end of GDOT's fiscal year (FY). GDOT
Intermodal must ensure that each subrecipient receives an A-133 Audit by an independent auditor and submits audit results to GDOT.

Subrecipients are responsible for conducting and submitting an annual audit under the Single Audit Act of 1984, as amended, following the guidelines set forth in OMB Circular A-133.

The audit should be performed by an independent certified public accountant and should include:

- A report of Federal financial assistance
- The auditor's report on the study and evaluation of internal control systems
- Compliance with applicable laws and regulations
- A report of any findings or questioned costs

The subrecipient has nine (9) months to file notice of corrective action it has taken upon notification of any findings or questioned costs from the A-133 audit.

The annual single audit is performed by an independent auditor who is required to determine and report on whether the grantee has internal control systems that reasonably assure it is managing Federal assistance programs in compliance with applicable laws and regulations.

GDOT is required to determine whether subrecipients are spending Federal assistance funds in accordance with applicable laws and regulations. Audit judgment concerning the subrecipient's determination is left to the independent auditor.

**Audit Procedures**

Transit Planner or Public Transportation Coordinator /Internal Audit Office Responsibilities:

- Keeps one copy of the data collection form and one copy of the audit reporting package on file for three (3) years from the date of submission to the Federal clearinghouse. Pass-through entities shall keep subrecipients' submissions on file for three years from date of receipt.

- Responsible for the prompt resolution of all audit findings and recommendations. This responsibility requires that the Transit Planner, Public Transportation Coordinator, Transit Group Leader and the Transit Program Manager:
  - Promptly evaluate the report and findings;
  - Determine the appropriate follow-up/corrective action plans and establish a date for their completion; and
  - Ensure subrecipients complete all required actions within established period of time.

- Deficiencies or opportunities for improvement identified in an audit must be resolved by the subrecipients with assistance from the Transit Planner or Public Transportation Coordinator, the Transit Program Manager and Internal Audit.
  - The resolution of audits begins with FTA's report to GDOT and continues until GDOT and the subrecipient correct identified deficiencies, implement needed improvements, or demonstrate that the findings or recommendations are not valid or do not warrant management action.
  - The audit cannot be closed until FTA concurs with the documentation of steps taken to implement any needed corrective actions.
  - The status of outstanding audit findings and recommendations should be monitored and reported monthly to the TPM by Transit Group Leaders in quarterly progress reports.
reports and, where appropriate, significant events reported.

- Intermodal Management and staff shall review the A-133 for any material findings and forwards the report to the Fiscal Services Manager, who then receives the audit and forwards it to the Fiscal Analyst. The Fiscal Analyst inputs the submission into the FAS system and forwards to the GDOT Internal Audit Group for review. The IA Group reviews the audit report and enters findings into the CATS program.

- Reviews the information inputted into CATS and notifies the Transit Planner or Public Transportation Coordinator if there are any material findings. If material findings are identified, the CPA responsible for the A-133 Audit of the subrecipient will recommend corrective action to the subrecipient. The Division of Intermodal s is responsible to issue management decisions within six weeks on subrecipient audit findings and ensure that subrecipients take corrective action.

- After subrecipients submit proposed correction plan to the Transit Planner or Public Transportation Coordinator, the Transit Planner or Public Transportation Coordinator reviews the corrective action plans and time frames and forwards to the Transit Program Manager and Internal Audit for review and acceptance.

- The Transit Planner or Public Transportation Coordinator and the Transit Program Manager must manage subrecipient corrective actions until satisfactory resolution has been reached.

Subrecipient Responsibilities:

- Submits one copy of annual single audit report to the GDOT Internal Audit Office if the audit report contains any findings and recommendations related to the FTA program or other Department of Transportation (DOT) program findings.
  - If the audit report does not contain any FTA findings or recommendations, a copy of only Federal Clearinghouse transmittal sheet "the Data Collection Form for Reporting on Audits of States, Local Governments, and Non-Profit Organizations, OMB Form SF-SAC" should be submitted to the FTA regional or metropolitan office.

- Responsible for the prompt resolution of all audit findings and recommendations.

- Deficiencies or opportunities for improvement identified in an audit must be resolved by the subrecipients with assistance from the Transit Planner or Public Transportation Coordinator, the Transit Program Manager and Internal Audit.
  - The resolution of audits begins with FTA's report to GDOT and continues until GDOT and the subrecipient correct identified deficiencies, implement needed improvements, or demonstrate that the findings or recommendations are not valid or do not warrant management action.
  - The audit cannot be closed until FTA concurs with the documentation of steps taken to implement any needed corrective actions.
  - The status of outstanding audit findings and recommendations should be monitored and reported by the Transit Program Manager in quarterly progress reports and, where appropriate, significant events reported.

- Subrecipients will submit its annual A-133 audit report to the Transit Planner or Public Transportation Coordinator within thirty (30) days of its completion and not later than nine (9) months from the fiscal period covered by the audit.
• If the Transit Planner or Public Transportation Coordinator and Internal Audit Group identify material findings, then the subrecipients must provide a corrective plan and time frames for completion in writing to the Transit Planner or Public Transportation Coordinator or Transit Group Leader.

2.6. Procurement/Contracting

Procurement and contracting guidelines are set forth to establish a standard methodology and process for purchasing goods and services in a cost effective manner and in compliance with state and federal requirements.


Requirements

Grantees must conduct procurement transactions in a manner that provides for full and open competition, and are prohibited from restricting competition in federally-supported procurement transactions. In general, all procurements require independent cost estimates, cost/price analysis and contract modifications.

2.6.1. Procurement Thresholds & Methods

In general, more expensive projects require a more formalized procurement process to ensure fair competition and the best value, while vendors for less expensive projects may be selected through a relatively informal basis. The following table summarizes the procurement methods required by the FTA and GDOT based upon the size and type of procurement. FTA requirements are based on the financial value of the project:

<table>
<thead>
<tr>
<th>Financial Value</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Under $3,000</td>
<td>Procurement by Micro-Purchases: No competitive process is required if grantee determines that the price is fair and reasonable. Documentation should include the determination that the price is fair and reasonable, and how the determination was derived. These purchases are exempt from FTA's buy America requirements.</td>
</tr>
<tr>
<td>$3,000- $100,000</td>
<td>Procurement by Small Purchase Procedures: Small purchase procedures are those relatively simple and informal procurement methods for securing services, supplies, or other property. FTA requires price or rate quotations obtained from an adequate number of qualified sources.</td>
</tr>
</tbody>
</table>

Aside from these requirements, subrecipients must follow their own adopted local procurement policies. Often these are city or county procurement policies. Subrecipients should obtain a copy of these procurement policies, and keep them updated and on file for reference in any procurements conducted with FTA funding. Alternative procurement methods recognized by FTA include:
• **Procurement by Sealed Bids/Invitation For Bid (IFB):** To be feasible, this method of procurement requires several conditions. It should be possible to develop a complete, adequate, and realistic description or specification of the goods or services in question. There are two or more responsible bidders willing and able to compete effectively, and the procurement lends itself to a firm fixed price contract, and the selection can be made principally on price.

• **Procurement by Competitive Proposal/Request for Proposals (RFP):** Normally conducted with more than one likely proposer, this method is used when the goods or services being sought are difficult to fully specify or describe completely, when there are multiple evaluation factors, and when the award will be made to the firm whose proposal is most advantageous with price and other factors considered. Subrecipients using this method should have a means of conducting technical evaluations of the proposals.

• **Procurement by Noncompetitive Proposals (Sole Source/Single Bid):** In this case, a proposal is solicited from only one source, or if after solicitation from a number of sources competition is found to be inadequate. This can be used only when the award of a contract is infeasible under other procurement strategies (IFB or RFP), and the item is available only from a single source, or the public requirement will not permit a delay from a competitive procurement process. A cost analysis verifying proposed cost data and evaluating specific elements of costs and profits is required.

• **Procurement Resulting in Single Bid:** If there is only one reasonable, reliable and responsible bid, the procuring agency will have the discretion to decide whether to accept the bid or rebid. A single bid may suggest that the procurement specifications may be too restrictive or unclear. Subrecipients must still analyze the single bid and document that the process used was open and competitive. A price analysis is required for the single bid.

• **Qualifications-Based Selection:** Architecture, engineering and related services leading to construction require qualifications-based selection pursuant to the Brooks Act, 40 U.S.C. Sections 1101 through 1104.

These procurement methods should be used for purchases in the $3,000(and above), depending on the goods or services being purchased. Subrecipients considering use of any of these methods should read all of the relevant sections of FTA Circular 4220.1F, and contact GDOT staff for assistance in conducting an open, fair, and competitive procurement process. Local grantees must maintain a contract administration system that ensures that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders. Local grantees must also maintain records detailing the history of each procurement. All FTA-funded contracts must contain all required FTA clauses, which are available on the FTA website [http://www.fta.dot.gov/12831_6195.html](http://www.fta.dot.gov/12831_6195.html).

2.6.2. **Procurement of Architectural and Engineering (A & E) Services**

When contracting for A&E services, subrecipients must use qualifications-based competitive proposal procedures. Services subject to this requirement are program management, construction management, feasibility studies, preliminary engineering, design, architectural, engineering, surveying, mapping, and related services.
Qualifications-based competitive proposal procedures require that:

- An offeror’s qualifications are evaluated;
- Price be excluded as an evaluation factor;
- Negotiations be conducted with only the most qualified offeror; and
- Failing agreement on price, negotiations with the next most qualified offeror are conducted until a contract award can be made to the most qualified offeror whose price is fair and reasonable to the grantee.

These qualifications-based competitive proposal procedures can only be used for the procurement of the services listed above. This method of procurement cannot be used to obtain other types of services even though a firm that provides A&E services is also a potential source to perform other types of services. (See link to the FTA Circular 4220.1F.)

2.6.3. Procurement of Real Estate for Construction Projects

Acquisition of real property for a project in which there will be Federal funds must be carried out in accordance with the requirements in the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (the Uniform Act), as amended. The Uniform Act is implemented by regulation 49 CFR part 24. Additional guidance for property acquisition is provided in FTA Circular 5010.1C, chapter II, paragraph 2.

The acquisition of any property valued at more than $250,000 requires previous FTA approval. A copy of both the appraisal and the review appraisal for the parcel(s) to be acquired must be submitted to the FTA Regional Office for review and approval. Fair market appraisals and review appraisals are to be carried out following the environmental determinataion.

Upon receipt, the Transit Planner or Public Transportation Coordinator must evaluate the solicitation according to the requirements of FTA Circular 4220.1F to ensure that the following aspects are included:

- Complete specifications or statement of work
- Appropriate use of brand-name products
- Evaluation criteria listed in order of importance
- Appropriate procurement method
- Appropriate type of contract
- FTA-mandated flow down of clauses
- Adequate lead time for receipt of proposals or bids
- FTA-mandated bid, performance, and labor bonding (construction and rolling stock)
- Appropriate instructions-to-offerors
- Less than five years for performance period for rolling stock
- Intention to validate options and option prices
- Financial Resources (FAR 9.104-3(a)-Ability to Obtain Resources
- Performance Schedule
- Performance Record (FAR 9.104-3(b)-Satisfactory Performance Record
- Organization and Skills (FAR 9.104-3(a)-Ability to Obtain Resources)
- Equipment and Facilities (FAR 9.104 –(a)- Ability to Obtain Resources)

The Transit Planner or Public Transportation Coordinator must use the Solicitation Review Checklist to demonstrate complete and thorough review.
2.6.4. Subrecipient Purchases

Subrecipients purchase vehicles or other types of equipment through the State, as appropriate and allowed by the State Purchasing Division, Department of Administration Services. All other purchases are the responsibility of the local subrecipients. Typical procurements include contracts with service operations, contracts with maintenance providers, computer hardware and software, office equipment, and communications equipment (mobile radios).

Eligible capital expenses include the following:

- Vehicles
- Communication equipment
- Surveillance equipment
- Wheelchair lifts
- Equipment installation costs
- Computer equipment and purchase of software (laptops are not an eligible capital expense and monthly software maintenance or lease fees are an operating expense)
- Office equipment
- NEPA and Architectural and Engineering Services
- Construction

All purchases and contracts made with federal funding must comply with FTA and state procurement requirements, as appropriate to the size and type of the purchase. Purchase of unnecessary or duplicative items must be avoided. GDOT must analyze procurements and must implement alternatives that will result in an economical approach (such as consolidating or breaking out purchases) (See FTA Circular 4220.1F).

Subrecipients must maintain a contract administration system that ensures that contractors perform in accordance with the terms, condition, and specifications of their contracts or purchase orders.

All FTA-funded contracts must contain all required FTA clauses and certifications.

2.6.5. Purchases of Vehicles and Related Equipment

Vehicles may be purchased to replace existing transit vehicles that have reached the end of their useful life based on GDOT useful life standards, or for service expansion.

- **Lift-equipped vehicles:** GDOT and Subrecipients must follow all applicable ADA requirements. GDOT requires that systems must have, at a minimum, one wheelchair equipped vehicle for service. GDOT also requires that each provider must meet the current demands of the disabled population, and if one lift-equipped vehicle is not sufficient to meet that demand, then additional lift-equipped vehicles are required.

  In general, public transit systems must purchase only accessible vehicles meeting the standards set forth in 49 CFR Part 38. However, systems that offer only demand-responsive service may purchase non-accessible vehicles... “if the system, when viewed in its entirety, provides a level of service to individuals with disabilities, including individuals who use wheelchairs, equivalent to the level of service it provides to individuals without disabilities, it may purchase new vehicles that are not readily accessible to and usable by individuals with disabilities.” Equivalent service is evaluated with respect to the following service characteristics:
- Response time
- Fares
- Geographic area of service
- Hours and days of service
- Restrictions on trip purpose
- Availability of information and reservations capability
- Capacity constraints

GDOT requires that subrecipients be able to provide equivalent service with their current level of fleet accessibility before allowing the subrecipient to order a non lift-equipped vehicle. If a local applicant is requesting capital funding for the purchase of a non-accessible vehicle they must demonstrate compliance with the above by signing the **Certification of Equal Access for Persons with Disabilities**, and attaching a completed **GDOT Equivalency Analysis for Demand-Responsive Public Transportation** as part of the application.

- **Matching:** Local funding for capital acquisition must be at a minimum 10% of the vehicle cost, with an up to 10% match provided by GDOT with state funds. There is a minimum 10% local match for purchases of other capital equipment such as computers. Local participation can be greater depending upon the availability of State and Federal funds.

- **Service expansion:** Additional vehicles for service expansion may be requested for purchase when the existing fleet of vehicles meet or exceed the following criteria:
  - Vehicles are utilized to produce 500 one-way passenger trips (OWPT) per vehicle month, or
  - Be operated a minimum of 120 hours per month, or
  - 1,000 vehicle miles per vehicle per month, on average over a 12 month period.

Applicants seeking to expand service and fleets should describe new markets to be served. Vehicle needs, fleet size, projected ridership, operating cost, revenues, and spare ratios should also be documented. More detailed analysis may be requested.

- **GDOT concurrence:** GDOT reserves the right to review and concur with Subrecipient solicitation documents prior to the initiation of the procurement process for all items or services purchased with capital funds. This includes approval of bid specifications for equipment and requests for proposal for any contracts. GDOT must also concur in writing with the recommendation for award prior to the execution of a Subrecipient contract or purchase order.

- **Eligibility of Components for Funding:** The applicant may purchase spares of major components and replacement vehicles if they can demonstrate it is cost-effective under the Capital Program. This would apply when vehicles are purchased for new transit systems, or when existing systems and operations are being extended so that the vehicle fleet size will be greater than it was previously.

- **Buy America:** Applicants are required to comply with Buy America Provisions in 49 CFR 661, and summarized in Section 4.4 of this manual.

- **Warranties:** A warranty that is an industry standard is an eligible capital cost as part of the acquisition of a bus or any other capital asset.
  - Complete Bus - Is warranted and guaranteed for one year or 50,000 miles, whichever comes first.
  - Subsystems and Components - Specific subsystems and components that are warranted and guaranteed to be free from defects are outlined in the table below per number of years and mileage:
<table>
<thead>
<tr>
<th>Item</th>
<th>Years</th>
<th>Mileage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Engine</td>
<td>2</td>
<td>200,000</td>
</tr>
<tr>
<td>Transmission</td>
<td>2</td>
<td>100,000</td>
</tr>
<tr>
<td>Drive axle</td>
<td>2</td>
<td>100,000</td>
</tr>
<tr>
<td>Brake system (excluding friction material)</td>
<td>2</td>
<td>50,000</td>
</tr>
<tr>
<td>Air conditioning system</td>
<td>2</td>
<td>n/a</td>
</tr>
<tr>
<td>Basic body structure</td>
<td>3</td>
<td>150,000</td>
</tr>
<tr>
<td>Structural integrity</td>
<td>7</td>
<td>350,000</td>
</tr>
</tbody>
</table>

9. **Bus Testing:** Any new model bus or ones with significant model changes must be tested at the FTA-sponsored test facility in Altoona, Pennsylvania before Federal funds can be used. Vehicles are tested for maintainability, reliability, safety, performance, structural integrity, fuel economy and noise. Bus testing is not required for unmodified, mass produced vans.

10. **Pre-Award and Post Delivery Review of Buses:** Grantees must undertake reviews of rolling stock before award of the bid, during manufacture and following vehicle delivery. The reviews are intended to improve compliance with Buy America requirements, bid specifications, and Federal Motor Vehicle Safety Standards. Staff or a contractor may conduct reviews. (Supporting documentation resulting from these reviews must be submitted to GDOT and a copy retained on file for future inspections).

2.6.6. **Piggyback Procurements:**

Piggyback procurement of goods and services is allowed under FTA and state of Georgia procurement rules. Entities seeking to use a piggyback procurement method are required to review the original contract to ensure compliance with state and federal requirements, to verify the price is fair and reasonable, and to ensure the quantities being purchased are covered under the contract. Any changes in specification must be covered in the scope of the original contract.

2.6.7. **Options**

Contracts may include options, but all prices for exercise of options must be evaluated at the outset of the contract either as a specific price or as a percentage increase above the base price. Exercise of an option must be in compliance with the terms and conditions of the original contract. Subrecipients are required to analyze prices at the time of the original procurement in order to have the ability to exercise options.

2.6.8. **Revenue Contracts**

When entering into an agreement with third parties to provide access to public transit facilities for revenue generating activities (such as advertising) GDOT and its subrecipients must exercise a competitive and open process when multiple competitors exist.

2.6.9. **Prohibitions & Restrictions**
Common Grant Rules prohibit cost plus a percentage of cost contracts and imposes restrictions on time and materials contracts. Additional detail is provided in FTA Circular 4220.1F.

2.6.10. Ethical and Professional Conduct

Ethics standards followed by the Division of Intermodal are defined in the Georgia Department of Administrative Services procurement rules.

Applicable Procedures

2.6.11. General Procurement Procedures

Transit Planner or Public Transportation Coordinator Responsibilities:

- Comply with state and federal procurement requirements.
- Include in grant agreements all federally-required certifications, assurances, and clauses for procurements as appropriate to the type of purchase and price.
- Review subrecipient procurement procedures and spot check procurements during site reviews for procurements over $100,000.00.
- Review subrecipient request for vehicles lease within 30 days of submittal, and prior to executing a grant agreement. In some instances, FTA approval may be required.
- Provide technical assistance in the preparation of requests for proposals, vehicle and construction specifications, bid documents, and subcontracts. Respond within 30 days of request.
- Transit Planner or Public Transportation Coordinator receives the request for purchase (if over $3,000) and if approved, submits to the Division of Intermodal Programs for review and approval.
- For third party or consulting services requests, the Transit Planner or Public Transportation Coordinator should forward such requests to the Intermodal Office for review and approval. Upon approval, GDOT will be at the evaluating table when interviews are conducted and must convey approval in writing prior to any third party or consulting services being procured. FTA third party clauses shall be included in the contracts.

Subrecipient Responsibilities:

- Follow the appropriate procurement requirements. For public agencies, comply with the Common Rule (CFR Part 18), plus five basic federal requirements for procurements defined by FTA C 4220.1F 3. For private nonprofits, comply with the provisions of FTA C 4220.1F and 49 CFR Part 19.
- Develop written procurement policies and procedures, including a process for handling protests regarding procurements.
- All subrecipients must follow State of Georgia laws, regulations and procedures regarding procurement thresholds (dollar amounts) unless federal requirements are more restrictive—then federal requirements apply.
- Submit vehicle lease cost comparison to Transit Planner or Public Transportation Coordinator for review and approval prior to signing a lease agreement.
- If subrecipients would like technical assistance, including review of RFPs prior to advertising, they may request help.
- Submit all solicitations for purchases above $100,000 for GDOT approval (purchases under
All requests for Third party or consulting services must be submitted in writing to the appropriate Transit Planner or Public Transportation Coordinator. The request must show the need or reason(s) for the request, the justification and necessity for such services. Payment and contract duration must be specified in the letter.

2.6.12. GDOT Purchases Using GDOT - Established Contracts

Transit Planner or Public Transportation Coordinator responsibilities:

- The GDOT Procurement Office establishes annual contracts for vehicles or recommends the use of the State-wide contracts for rolling stock in accordance with FTA Circular 4220.1F (as revised).
- The Transit Procurement Specialist requests updates on the Procurement Office’s plan every year to ensure that GDOT-specific or state-wide contracts are in place for use during the following fiscal year.
- The Procurement Office communicates the effective date for use of all GDOT-specific or State Contracts prior to the beginning of each fiscal year.
- The Procurement Office must also complete all purchases in accordance with FTA requirements. The Office must complete the Vehicle Procurement Checklist for State-wide or GDOT-wide contract when completing all procurements.
- For Section 5311 only: Once the State or GDOT-specific contract is in place for vehicles, GDOT staff may issue Purchase Order for vehicles.
- GDOT Procurement and Intermodal Programs Staff must comply with GDOT Policy No. 2255-9 regarding conflicts of interest and the acceptance of gifts, honoraria, or private compensation. Staff must also sign the Conflict of Interest Form on an annual basis or in accordance of the review of contractor bids or proposals (See form at the end of the section).

2.6.13. Subrecipient Purchases Procedures

Transit Planner or Public Transportation Coordinator /GDOT responsibilities:

- Upon receipt, the Transit Planner or Public Transportation Coordinator must evaluate the solicitation according to the requirements of FTA Circular 4220.1F to ensure that the following aspects are included:
  - Complete specifications or statement of work
  - Appropriate use of brand-name products
  - Evaluation criteria listed in order of importance
  - Appropriate procurement method
  - Appropriate type of contract
  - FTA-mandated flow down of clauses
  - Adequate lead time for receipt of proposals or bids
  - FTA-mandated bid, performance, and labor bonding (construction and rolling stock)
  - Appropriate instructions-to-offerors
  - Less than five years for performance period for rolling stock
  - Intention to validate options and option prices
- The Transit Planner or Public Transportation Coordinator must use the Solicitation Review Checklist to demonstrate complete and thorough review.
- The Transit Planner or Public Transportation Coordinator directs the subrecipients to make any required changes and then forwards the revised document to the Transit Program Manager for review and approval.
- The Transit Program Manager reviews the Transit Planner or Public Transportation
Coordinator request for approval after reviewing the completed checklist and any accompanying notes.

- The Transit Program Manager advises the Transit Planner or Public Transportation Coordinator of approval or provides the basis for rejection by e-mail.
- The Transit Planner or Public Transportation Coordinator provides approval or rejection to the subrecipient by e-mail.
- The Transit Planner or Public Transportation Coordinator reviews the request with the required FTA data and recommends acceptance or rejection to the Transit Program Manager.
- The Transit Program Manager reviews the Transit Planner or Public Transportation Coordinator’s request and notifies the Transit Planner or Public Transportation Coordinator by e-mail of acceptance or rejection.
- The Transit Planner or Public Transportation Coordinator notifies the subrecipient of acceptance or rejection by e-mail.

Subrecipient responsibilities:

- Provide a copy of solicitation documents to the Transit Planner or Public Transportation Coordinator for all participated capital procurements valued at more than $100,000. This information should be submitted before the award is made.
- Complete the procurement documenting the history of the procurement in the procurement file. The required documentation includes:
  - Method of procurement
  - Type of contract
  - Basis for award
  - Basis for contract price
- Submit a request for GDOT’s concurrence to the Transit Planner or Public Transportation Coordinator on the placement of contracts or purchase orders exceeding $2,500 but less than $100,000.00 using. This request must include all of the information related to the history of the procurement noted above.
- Undertake the review of vehicles (rolling stock) prior to the award of the contract, during manufacture, and following delivery, in accordance with Buy America requirements. (Refer to the Pre-Award and Post-Delivery Review / Buy America Checklist.) Supporting documentation resulting from these reviews must be submitted to the Transit Planner or Public Transportation Coordinator and a copy returned for future inspections.
- Certify that it will comply with the pre-award and post-delivery review requirements when purchasing revenue service rolling stock.
- Complete and provide to the Transit Program Manager copies of the Pre-Award and Post-Delivery Certifications.
- Monitor purchases and deliveries of revenue vehicles and follow-up with recipients if certifications are not provided prior to contract award or within 30 days post delivery.
- For Piggyback procurements, subrecipients review the original contract and submit written evidence that the original contract prices remain fair and reasonable, the contract contains the appropriate clauses meeting federal requirements, and quantities and scope are covered in the existing contract. A cost analysis must be completed to ensure the piggyback procurement is appropriate.

2.6.14. Protest Procedures
Protest Procedures followed by the Division of Intermodal are defined in the Georgia Department of Administrative Services procurement rules.

### 2.7. Grantee Self-Certification

As part of the annual certifications and assurances submitted with the grant application, all grantees must "self-certify" that their procurement system meets FTA requirements and that the grantee has the technical capacity to comply with Federal procurement requirements. GDOT will monitor compliance with FTA, GDOT, and local procurement requirements as part of local compliance reviews. If GDOT becomes aware of circumstances that might invalidate a grantee's self-certification, GDOT will investigate.

### 2.8. Public Involvement

**Requirements**

States are required to maintain a documented public involvement process for development of the statewide transportation plan and STIP.

**Applicable Procedures**

GDOT's Public Involvement Program is divided into two sections: a Statewide Transportation Plan (SWTP) and a State Transportation Improvement Program (STIP) Public Involvement Process. Both were adopted in May 2007.

#### 2.8.1. Statewide Transportation Plan (SWTP) Public Involvement Process

There shall be a minimum of three meetings with the interested parties (citizens, affected public agencies, representatives of public transportation employees, representatives of public transportation users, private providers of transportation, representatives of pedestrian walkway users, representatives of bicycle facility users, representatives of the disabled, providers of freight transportation services).

At the beginning of the SWTP update, the Department shall host a series of "kick-off" meetings with the interested parties. The purpose of the "kick-off" meeting is to inform the interested parties of the purpose and importance of developing the SWTP; and assist in setting goals for the SWTP.

A meeting(s) shall be held with the interested parties at the mid-point of the development of the SWTP to solicit input and provide information to the interested parties.

At the conclusion of the SWTP development, and prior to State Transportation Board adoption of the SWTP, a meeting(s) shall be held with the interested parties to inform the group of the SWTP findings and recommendations. All comments provided by the interested parties shall be considered and responded to by the Department. All comments and GDOT responses to the comments shall be made available to the interested parties at meetings and on the GDOT website.

The list of "interested parties" will be updated periodically as appropriate. Adding and subtracting interested parties from the list will not constitute opening the 45 day public comment period, required in 23 CFR 450.210(a)(2).
The interested parties shall be notified in advance of all meetings by a letter from the State Transportation Planning Administrator transmitted via the U.S. Postal Service. Meetings will be held at convenient and accessible locations and times, visualization techniques (such as: presentations, posters, handouts, etc.) will be utilized in the meetings to help facilitate the interested parties' understanding of the SWTP's disseminated information.

The SWTP and documents used in developing the SWTP (such as: meeting minutes, handouts, posters, presentations, etc.) will be posted on the GDOT website to help facilitate the interested parties' understanding of the SWTP's disseminated information.

Prior to beginning the SWTP update, a methodology by which to reach out to environmental justice groups (minority, low income) will be developed and utilized throughout the development of the SWTP.

The effectiveness of the SWTP Public Process Involvement will be reviewed following adoption of a SWTP by the State Transportation Board. As a result of this review; minor process changes will be automatically incorporated into the process, major changes will result in a 45 day public review period of the proposed changes, prior to revising the process.

This process is separate and discrete from the Department's "Consultation Process With Local Officials in Non-Metropolitan Areas of the State" (TOPPS 3145-I), which is in compliance with 23CFR Part 450.210(b).

2.8.2. Statewide Transportation Improvement Program (STIP)

The Department develops, and the State Transportation Board adopts, a STIP annually. Development of the STIP typically begins in the spring when the GDOT District Planning and Programming Engineers meet with rural elected officials in non-metropolitan areas of the state to discuss the "proposed project list" which ultimately develops into the STIP. Following these meetings, the Draft STIP is developed and presented to the State Transportation Board for their review. Following presentation of the Draft STIP to the State Transportation Board, GDOT Office of Planning staff provides the Draft STIP to the GDOT District Planning and Programming Engineers in order to commence the public involvement portion of the STIP development.

The District Planning and Programming Engineers are assisted in their public involvement endeavors by technical staff (presently a consulting firm, hired by the GDOT Office of Planning assists the District Planning and Programming Engineers, previously the Office of Planning contracted with the state's Regional Development Centers (RDCs) to provide technical assistance for the District Planning and Programming Engineers).

The District Planning and Programming Engineers and public involvement consultants schedule multiple public meetings throughout the non-MPO areas of the state, at convenient and accessible locations and times, in order to solicit substantive, meaningful comments. Invitations are mailed to each member listed in the GDOT Office of Planning's "Family of Partners Database". The Family of Partners Database lists over 5,600 individuals, elected officials, governmental agencies, special interest groups and others. The Department also places notices in local newspapers throughout the state to reach the public. Furthermore, the GDOT Office of Communications and GDOT District Communications Officers contact local newspapers in an effort to encourage the newspapers to publish articles concerning the upcoming meetings and the opportunity for the public to attend the meetings and voice their concerns and support.

At the public meetings, information is presented visually on poster sized maps depicting project locations within the counties.
The Draft STIP is also placed on the Department's website providing open and continuous access to the information. Notices are also mailed to each library in the state, requesting the library to post the on-line Draft STIP address in a public location, so the general public can access the Draft STIP if desired.

Great effort is made to conduct all STIP public meetings at locations along ADA compliant bus routes, where appropriate. Efforts are also made to conduct STIP public meetings in and/or near environmental justice populations in order to ensure meaningful participation from these populations as required under Executive Order 12898 and the Civil Rights Act of 1964 and its subsequent amendments.

All comments received by the GDOT STIP Project Manager, GDOT District Planning and Programming Engineers, and public involvement consultants, are forwarded to the appropriate office within GDOT for response. Each comment and response is documented and included in the STIP Public Involvement Report.

Every three years, the effectiveness of the STIP Public Involvement Process will be reviewed following adoption of the STIP by the State Transportation Board. As a result of this review; minor process changes will be automatically incorporated into the process, major changes will result in a 45 day public review period of the proposed changes, prior to revising the process.

This process is separate and discrete from the Department's "Consultation Process With Local Officials in Non-Metropolitan Areas of the State" (TOPPS 3145-I), which is in compliance with 23CFR Part 450.210(b).

2.9. Planning and Coordination

Requirements

At the state level, the Division of Intermodal coordinates the program policy and funding objectives for the administration of FTA programs. GDOT public outreach and agency staff participate in the development of the overall vision for transportation in Georgia, which leads to the development of general goals for the State.

Specific requirements are listed below.

2.9.1. Statewide Transportation Improvement Program (STIP)

Annually, FTA provides funds for the development of Statewide Transportation plans and Statewide Transportation Implementation Plans (STIPs). The STIP identifies projects financed by FTA 5303, 5307, 5309, 5311, 5316, 5317, STP funds transferred to 5307 for mass transit vehicle replacements, and STP funds for innovation and transportation options projects. The STIP is a four-year document that identifies highway, bridge, transit and other projects committed for federal funding by GDOT.

The STIP lists Federally-funded transportation projects that are located outside Metropolitan Planning Organization (MPO) boundaries. Each MPO develops its own Transportation Improvement Program (TIP). The TIPs are included in the STIP by reference without modification once approved by the MPO and the Governor, or his designee.

GDOT and its subrecipients must be active participants in the development of the TIP and the STIP to receive Capital Program funds for urbanized and non-urbanized area projects. These projects must be included in the STIP and the Long-Range Statewide Transportation Plan.
Specific requirements for MPOs are listed in the Section 5303 program manual.

2.9.2. Program of Projects (POP)

The Program of Projects is developed by GDOT based on the local TIPs. The POP reflects GDOT’s estimated program activities for the upcoming fiscal year. The POP also identifies the subrecipients and projects which GDOT is applying for financial assistance, and indicates the total project costs and the federal share for each project. FTA requires this information to award grants and to compile reports. Information includes local plans, identifying anticipated project funding needs, compiled by GDOT to develop a statewide Program of Projects (POP).

2.9.3. Coordination with Other Human Service Transportation Agencies at the State Level

GDOT works with other State agencies to encourage coordination at the local level. Through the state’s Intergovernmental Consultation Process, projects are coordinated with all relevant state and local agencies. This assures that the scope and all interested individuals know the nature of the proposed project and they can comment on how the project complements other activities. The Department also encourages coordination with other programs that require or provide transportation for clients or other consumers. At the state level, the Department works with the DHS regarding its Coordinated Transportation Program. As part of this program, DHS administers the FTA Section 5310 Transportation for Elderly Persons and Persons with Disabilities. DHR utilizes all Section 5310 funding to purchase service for eligible persons. Section 5311 providers are among the entities contracted to provide this service. The Department also maintains contacts with the Department of Community Health (DCH) and its Medicaid Non-Emergency Transportation (NET) program. Again, the net program includes a number of Section 5311 operators among its Medicaid transportation contract providers. Joint efforts are under way to create a more formal coordination body as part of the state’s response to the federal – United We Ride - coordination effort. Also at the State staff level, the Department participates in the DHR Coordinated Transportation Program through representation on planning and study efforts such as the Transportation Coordination Group. District Public Transportation Coordinators are members of the DHR Regional Transportation Coordinating Committees, and they participate in all meetings at the regional level.

2.9.4. Coordination at the Project Level

The Georgia Section 5311 program and application reflect a perspective that many local projects will be coordinated with other programs, as can be seen in the policies addressing POS revenue which can be used as local match or as revenue, at local discretion. Similarly, the GDOT monthly reporting forms collect data on utilization of Section 5311 vehicles by clients of particular agencies. Many Section 5311 funded vehicles, owned by counties and cities, are operated by TPOs who also provide client transportation under other state programs. In 2002, approximately half of overall Section 5311 ridership consisted of clients of other agencies, and approximately two-thirds of Section 5311 providers served other client groups. About ten percent carry non-emergency Medicaid trips for the DCH under its brokerage program. GDOT provides guidance in the application in how the applicant can assess whether or not POS revenues cover the fully-allocated operating cost of the service provided. GDOT policy is that such services should cover their fully-allocated operating costs.

Applicable Procedures

Transit Planner or Public Transportation Coordinator:

- The Transit Planner or Public Transportation Coordinator will review the federal
register, and identify what funds are available for local government use.

- Consult with subrecipients to determine if service expansions are planned which would necessitate additional funding or capital.
- MPOs prepare or update a local UPWP and TIP for each urban transit agency within their area, which are then submitted for inclusion in the STIP. MPOs must ensure that:
  - The budget for each subrecipient’s TIP is largely based on the previous year's budget.
  - Projects proposed in the TIP for Federal funding must be consistent with the area’s metropolitan long-range transportation plan
  - Only projects or identified segments/ phases of a project for which the entire amount of Federal and non-Federal funding can reasonably be anticipated to be available within the time period contemplated for completion of the project will be included.
- For subrecipients that are within a Metropolitan Planning Organization (MPO) area:
  - The Transit Group Leader, Transit Planner or Public Transportation Coordinator coordinates with subrecipients and MPOs in developing and presenting plans for review and comment by the public and various planning committees.
  - Subrecipients are required to include local capital requests within the MPO's Transportation Improvement Program (TIP).
  - The Transit Planner or Public Transportation Coordinator reviews and provides comments on UPWPs, TIPs, and Long-Range Plans, and provides feedback to the MPOs.
- The Transit Planner or Public Transportation Coordinator prepares and updates transit project status, budget, and other information in the STIP, ensuring all data is accurate and complete.
- Prepare or update a local TIP for each of their subrecipients every year, which are then submitted for inclusion in the statewide TIP. Once the TIP and the budgets have been approved by subrecipient Board of Commissioners or equivalent, they are submitted to the Transit Planner or Public Transportation Coordinator as the final budget for the year.
- Ensure that specific Section 5303, 5307, 5309, 5311, 5316 and 5317 projects (both in non-urbanized and urbanized areas) are included in the STIP.
- Upon receipt of projects from subrecipients, the Transit Group Leader, Transit Planner or Public Transportation Coordinator approves all subrecipient projects to be included in the STIP.
- Division of Intermodal will include this information in the POP which is then submitted as a separate attachment in TEAM.
- Must ensure that the POP:
  - Indicates total number of subrecipients
  - Identifies each subrecipient and indicates whether they are governmental authorities, private non-profit agencies, or private providers of transportation services
  - Includes a brief description of each project, which includes the counties served by the project
  - Shows, for each project, the total project cost and the Federal share
- Provide FTA with the following information for each subrecipient:
  - The name of the entity to receive the award
  - The amount of the award
  - The location of the entity to receive the award
  - The primary location of performance under the award, including the City, State and
district.

- After GDOT Intermodal submits the POP and other application requirements, FTA will review, approve, and obligate funds for the total amount of funds available.

### 2.10. Labor Protection

#### Requirements

Compliance with fair labor practices is required for the Section 5307, 5309, and 53011 programs. All applicants must agree in writing to accept the standard terms and conditions of the special Section 5333(b) Labor Warranty. Though FTA has incorporated the Labor and Protection Certification/Assurances into their comprehensive certification and assurance checklist, the Department of Labor still requires that the labor protection documents be signed and be reported to their Department before a contract is executed. Signed agreement (Exhibit 3) must be in the Division of Intermodal Programs by the annual due date.

### 2.11. Environmental Protection

#### Requirements

The National Environmental Policy Act requires evaluation of impacts and alternatives for federal actions that have a potential to significantly impact the natural or human environment. Per 23CFR 771.117, the majority of investments made using GDOT managed FTA funds are categorically excluded from NEPA review.

The following procedure is used to screen applications for impacts that would trigger higher-level NEPA review.

#### Procedures

- Although FTA's NEPA procedures categorically exclude most projects funded by GDOT's Division of Intermodal, FTA reserves the right to review GDOT documentation of CEs in conducting program evaluations to ensure that approvals are being properly applied and documented.
- The Transit Planner or Public Transportation Coordinator screens potential projects when they are first identified to make an initial determination as to which projects clearly meet the FHWA/FTA criteria for CEs and which projects may require additional documentation.
- Projects requiring additional documentation should be coordinated with the FTA regional office early in project development so that any necessary environmental analysis and review will not delay implementation.
- Any project involving new construction of a facility or substantial rehabilitation of an existing facility must be discussed with FTA to determine the need for information supporting a CE and the applicability of any additional environmental requirements.
- A proposed action by the subrecipient may be categorically excluded from a detailed environmental analysis if it meets certain criteria which GDOT or FTA has previously determined as having no significant environmental impact.
  - Per 23CFR 771.117, Categorical Exclusions (CEs) include:
    - Routine procurements
• Day-to-day administrative and management activities
• Real estate acquisition, disposal, or leasing where resulting land use does not change
• Routine movement and use of hazardous materials when conducted in accordance with applicable environmental standards
• Support services, including health care, home ownership assistance, day care, rental assistance
• Construction of facilities less than 10,000 SF and consistent with surrounding land use
• Rolling Stock
• Preventive Maintenance
• Certain Facilities

- If the Transit Planner or Public Transportation Coordinator determines that a proposed action is a categorical exclusion based upon the evaluation process outlined previously, the Transit Planner or Public Transportation Coordinator documents that the project has been classified as a CE, the type of CE that applies, and the date the approval was made.

- If an Environmental Assessment or Environmental Impact Statement is required, the Transit Planner or Public Transportation Coordinator works with the subrecipient and MPO in the submission and approval of reports and analysis (see NEPA Requirements). The Transit Planner or Public Transportation Coordinator should contact the FTA Regional Office. The Transit Planner or Public Transportation Coordinator ensures that the recipient and MPO fully comply with the requirements of the Georgia Environmental Policy Act (GEPA). GEPA compliance is required when a project uses state-aid funds.

- Subrecipients often use specialized consultants to complete the environmental requirements. The Procurement section of this procedures guide should be referenced for the required procedures concerning the procurement of consultant services.

2.12. Civil Rights, Title VI

Requirements

GDOT is committed to ensuring compliance with Title VI of the Civil Rights Act of 1964 and all related regulations and directives. GDOT assures that no person shall, on the grounds of race, color, national origin or sex, as provided by Title VI of the Civil Rights Act of 1964 and the Civil Rights Restoration Act of 1987 (P.L. 100.259) be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity receiving federal financial assistance.

GDOT further assures every effort will be made to ensure non-discrimination in all of its programs, whether or not those programs and activities are federally funded. GDOT will take reasonable steps to provide meaningful access to services for persons with Limited English Proficiency.

Specific requirements are summarized below.

2.12.1. Annual Certifications and Assurances
Subrecipients are required to submit their Title VI assurance as part of their annual Certification and Assurance submission to FTA. GDOT will submit the assurances as part of its standard submission of completed Certifications and Assurances.

2.12.2. Complaints

GDOT has developed procedures for investigating and tracking Title VI complaints filed against them and makes their procedures for filing a complaint available to members of the public upon request (FTA Office of Civil Rights Complaint Form). GDOT encourages its subrecipients to adopt its Title VI complaint investigation and tracking procedures.

2.12.3. Investigations

GDOT has developed and maintains a list of any active investigations conducted by entities other than FTA, lawsuits, or complaints naming the recipient and/or subrecipients that allege discrimination on the basis of race, color, sex or national origin that includes the date of the investigation, lawsuit, or complaint was filed; a summary of the allegation(s); the status of the investigation, lawsuit, or complaint; and actions taken by the recipient or subrecipient in response to the investigations.

2.12.4. Access to Services by Persons with LEP

Georgia DOT is taking reasonable steps to remove barriers for LEP individuals and it has developed a Language Implementation Plan pursuant to the recommendations in Section VII of the DOT LEP Guidance. Georgia DOT’s LEP outreach plan is determined on a case by case basis at the program level. Any LEP individual directly impacted or benefiting from Georgia DOT programs, services, or activities should be offered translation services proactively. See Appendix D of the Plan, which is a copy of the agency's plan for providing access to meaningful activities and programs for persons with limited English proficiency.

2.12.5. Notifying Beneficiaries of their Rights Under Title VI

Georgia DOT has developed a statement for the provision of information to the public regarding their Title VI obligations and to apprise members of the public of the protections against discrimination afforded to them by Title VI.

2.12.6. Provide Additional Information on Request

GDOT and subrecipients must be able and equipped to submit additional information to the FTA, in writing, to help resolve concerns about possible noncompliance with Title VI.

2.12.7. Title VI Program

Submission of certain information to determine compliance with Title VI constitutes a Title VI Program. GDOT's Title VI Program is administered by the GDOT Equal Employment Opportunity Office.

2.12.8. Environmental Justice Analysis of Construction Projects

Integrate an environmental justice analysis into their National Environmental Policy Act (NEPA) documentation of construction projects. (Recipients are not required to conduct environmental
justice analyses of projects where NEPA documentation is not required.) Recommended components to be included in the environmental assessment (EA) or environmental impact statement (EIS) are listed in the Title VI Circular 4702.1A.

2.12.9. Inclusive Public Participation

As part of the department wide plan Georgia DOT has developed outreach and involvement activities for public outreach and involvement.

Follow up responses to comments submitted during Georgia DOT's public information hearings are mailed directly to the respondent from the appropriate office of responsibility (i.e. Right of Way, Planning, Urban Design). All data pertinent to public outreach is submitted to the Title VI/Environmental Specialist. A detailed report involving all public outreach and involvement activities is submitted to the appropriate federal agency annually.

2.12.10. Disadvantaged Business Enterprise (DBE) Program Plan

Disadvantaged Business Enterprise Goals

Public Participation and Establishment of DBE Goals

The establishment of Disadvantaged Business Enterprise Goals for GDOT will be made in consultation with minority, women, and general contractor groups, community organizations, and other officials or organizations that could be expected to have information concerning the availability of disadvantaged and non-disadvantaged businesses, the effects of discrimination on opportunities for DBEs, and a grantee's efforts to establish a level playing field for the participation of DBEs. GDOT will publish notice announcing the proposed overall goal, informing the public that the proposed goal and its rationale are available for inspection during normal business hours at its office for 30 days following the date of the notice, and informing the public that comments on the goals will be accepted for 45 days from the date of the notice.

How the Program Works

DOT DBE regulations require recipients of DOT Federal financial assistance, namely, state and local transportation agencies, to establish goals for the participation of disadvantaged entrepreneurs and certify the eligibility of DBE firms to participate in their DOT-assisted contracts. Each DOT assisted State and local transportation agency is required to establish narrowly-tailored DBE goals. Then these DOT-assisted agencies evaluate their DOT assisted contracts throughout the year and establish contract specific DBE subcontracting goals where there goals are needed to ensure nondiscrimination in federally-assisted procurements. The level of DBE subcontracting goals may vary from their approved DBE goal however, at the end of the year the amount or contract/subcontract award to DBE’s should be consistent with the overall goal. GDOT will establish the state DBE goal on an annual basis.

Policy Statement

It is the policy of the Georgia DOT to implement the provisions of 49 CFR Part 26 with the following objectives:

- To ensure nondiscrimination in the award and administration of FTA assisted contracts in the DOT's highway, transit, and airport financial assistance programs.
- To create a level playing field on which DBE's can fairly compete for DOT assisted contracts.
- To ensure that DOT’s DBE Program is narrowly tailored in accordance with applicable law.
- To ensure that only firms that fully meet the eligibility standards specified in 49 CFR Part 26 are permitted to participate as DBE’s.
• To help remove barriers to the participation of DBE’s in DOT-assisted contracts.
• To assist the development of firms that can compete successfully in the marketplace outside the DBE Program.

**Limited English Proficiency (LEP)**

Individuals who do not speak English as their primary language and who have a limited ability to read, speak, write, or understand English can be limited English proficient, or "LEP." These individuals may be entitled language assistance with respect to a particular type of service, benefit, or encounter.

In accordance with the Executive Order 13166, the U.S. Department of Transportation issued Policy Guidance Concerning Recipient's Responsibilities to Limited English Proficient (LEP) Persons. DOT recipients are required to take reasonable steps to ensure meaningful access to their programs and activities by LEP persons. The guidance applies to all DOT funding recipients, which include state departments of transportation, state motor vehicle administrations, airport operators, metropolitan planning organizations, and regional, state, and local transit operators, among many others. Coverage extends to a recipient’s entire program or activity, i.e., to all parts of a recipient’s operations. This is true even if only one part of the recipient receives the Federal assistance. For example, if DOT provides assistance to a state department of transportation to rehabilitate a particular highway on the National Highway System, all of the operations of the entire state department of transportation—not just the particular highway program or project—are covered by the DOT guidance. The DOT guidance outlines four factors recipients should apply to the various kinds of contacts they have with the public to assess language needs and decide what reasonable steps they should take to ensure meaningful access for LEP persons:

1. The number or proportion of LEP persons eligible to be served or likely to be encountered by a program, activity, or service of the recipient or grantee.
2. The frequency with which LEP individuals come in contact with the program.
3. The nature and importance of the program, activity, or service provided by the recipient to people’s lives.
4. The resources available to the recipient and costs.

The greater the number or proportion of eligible LEP persons; the greater the frequency with which they have contact with a program, activity, or service; and the greater the importance of that program, activity, or service, the more likely enhanced language services will be needed. Smaller recipients with more limited budgets are typically not expected to provide the same level of language service as larger recipients with larger budgets. The intent of DOT’s guidance is to suggest a balance that ensures meaningful access by LEP persons to critical services while not imposing undue burdens on small organizations and local governments. After completing the above four-factor analysis, recipients and grantees can determine the appropriate “mix” of LEP services required. Recipients and grantees have two main ways to provide language services: oral interpretation either in person or via telephone interpretation service and written translation. The correct mix should be based on what is both necessary and reasonable in light of the four-factor analysis. For instance, a motor vehicle department or an emergency hazardous material cleanup team in a largely Hispanic neighborhood may need immediate oral interpreters available and decide to hire full-time bilingual staff. In contrast, there may be circumstances where the importance and nature of the activity and number or proportion and frequency of contact with LEP persons may be low and the costs and resources needed to provide language services may be high in which pre-arranged language services for the particular service may not be necessary. The languages spoken by the LEP individuals with
whom the recipient has frequent contact often determine the languages into which documents will be translated and the types of interpreters provided.

2.12.11. Equal Employment Opportunity

All Sections 5310 and 5311 subrecipients are required to submit to GDOT assurances indicating their compliance with FTA's Equal Employment Opportunity objectives, as detailed in FTA Circular 4704.1.

If any subrecipient meets the threshold specified in that Circular (receipt of $1,000,000 or more in the previous federal fiscal year, and 50 or more public transit related employees), they will submit an EEO program documenting their nondiscrimination on the basis of race, color, creed, national origin, sex, age, or disability. These will be forwarded by GDOT to the Federal Highway Administration, the designated federal agency to receive EEO programs.

Copies will be made available to the FTA upon request.

2.12.12. Audits

All applicants for Program funds must complete civil rights program information as required in FTA Circular 9040.1F. Title VI updates must be submitted to the Transit Planner or Public Transportation Coordinator annually as part of the grant application process. Title VI Resources and Technical Assistance products are available as a resource to assist subrecipients in compliance with Title VI requirements.

Title VI compliance is monitored through the use of Internal Audit spot audits with a subset of Subrecipients, in addition to the comprehensive audit done every three years of all subrecipients by GDOT staff. These reviews follow the FTA SMR guidelines for Civil Rights. A site visit will be done by Internal Audit and/or GDOT Intermodal staff. The assigned GDOT Intermodal staff will complete the form and will follow-up as required either via telephone or on-site. The assigned Transit Planner or Public Transportation Coordinator will review submitted service reports for completeness and appropriateness.

Planned changes in services, facilities, and policy must not result in discrimination against any segment of the community protected under Title VI of the Civil Rights Act of 1964. The subrecipient must ensure that no person is discriminated against on the grounds of race, color, or national origin. Service and facilities planning must take into consideration the potential impact on minority populations.

Subrecipients shall provide an annual summary of the level of service provided to minority populations as compared to the total population. This information is an aggregation of data reported to GDOT on a monthly per-vehicle basis (see link to FTA Circular C 4702.1). The subrecipient’s Title VI Compliance Checklist and Title VI Self-Survey should reflect the local subrecipient's policy of planning and providing services in a manner that does not discriminate against any segment of the community protected under Title VI. Updated information should be provided to the GDOT Intermodal Programs Office as conditions warrant, but at a minimum, Part I of the form should be submitted annually.
Applicable Procedures

GDOT's Equal Employment Opportunity Office is responsible for initiating and monitoring Title VI activities, preparing required reports and other GDOT responsibilities as required by 23 CFR Part 200 and 49 CFR Part 21.

The GDOT Civil Rights officer oversees all EEO, DBE and Civil Rights requirements and procedures.

The Transit Planner or Public Transportation Coordinator is responsible for administering the Title VI program and preparing the Title VI Program submissions and updates to the FTA.

Transit Planner or Public Transportation Coordinator Responsibilities:

- Ensure submission of the subrecipients' annual Title VI assurances to GDOT as part of their annual Certification and Assurance Submission.
- Monitor each subrecipient through site visits and/or desk audits to assure that each subrecipient is in compliance with Title VI requirements. These compliance checks should be conducted annually using the **Title VI Compliance Questionnaire**.
- Require subrecipients to forward a written evaluation of their program within two (2) weeks of a site visit/desk audit and review the reports for completeness and appropriateness. If it is determined that any subrecipient is in non-compliance, determine course of action to be taken such as withholding funds until corrections are made.
- Include a non-discrimination clause in all state-local grant agreements.
- Ensure the division's project evaluation selection processes are non-discriminatory.
- Review all informal complaints received by the division that may be a civil rights issue and provide technical assistance to agencies or individuals.
- Disadvantaged Business Enterprise
  - The Transit Program Manager submits the semiannual DBE report to FTA within thirty (30) days from the close of each reporting period.
- Equal Employment Opportunity
  - Refer information on active lawsuits or complaints to GDOT's Equal Employment Opportunity Office.
  - Ensure that subrecipients comply with the EEO Act.
  - Ensure that the subrecipients have an EEO plan on file with GDOT.
  - Assist where needed to address EEO complaints.
- Reviews the information provided by assigned subrecipients in conjunction with the GDOT EEO Office using the **Title VI Compliance Checklist**.
- The Transit Planner or Public Transportation Coordinator, the Transit Program Manager, and the GDOT EEO should review subrecipient compliance in relation to the requirement of FTA oversight as noted on the FTA website.
- Forward copies of final reports to the EEO Title VI/Environmental Coordinator.

Copies of complaints and final reports of desk audits/on-site audits should be forwarded to the EEO Title VI/Environmental Coordinator.

Subrecipient Responsibilities:

- Must have completed civil rights program information as required in FTA Circular 4702.1.
• Include the Title VI Status Report and Monitoring Plan in the grant application.
• At a minimum, required information must be updated annually.

- Information must be relevant to the organizational entity actually submitting the application, not necessarily the larger agency or department of which the entity is a part. (link to Title VI Data Collection and Reporting Form) The information submitted by the subrecipient to the Transit Planner or Public Transportation Coordinator includes:
  - Complete the Annual Certifications and Assurances.
  - Title VI Compliant Procedures
  - Record of Title VI Investigations, Complaints, or Law Suits
  - Access to Services by Persons with LEP
  - Notifying Beneficiaries of their Rights Under Title VI
  - Provide Additional Information on Request
  - A Title VI Program
  - Environmental Justice Analysis of Construction Projects
  - Inclusive Public Participation

- Disadvantaged Business Enterprise
  - Provide a copy of their DBE programs and plans to the Transit Planner or Public Transportation Coordinator, indicating how they will carry out their DBE program until all funds from FTA financial assistance have been expended.
  - Provide a signed and dated policy statement to the Transit Planner or Public Transportation Coordinator that expresses subrecipient commitment to their DBE program, states its objectives, and outlines responsibilities for its implementation. The statement should be circulated throughout the subrecipient organization and to the DBE and non-DBE business communities that perform work on any FTA-assisted contracts (See Sample DBE Policy Statement).

- Equal Employment Opportunity
  - Maintain and abide by an EEO plan. File plan with GDOT.
  - Appropriately address and file EEO complaints

- Submit an annual summary report of the level of service provided to minority populations as compared to the total population. GDOT uses the FTA recommended level of service methodology:
  - Level of Service Methodology: This methodology will examine the subrecipients, minority community, service policy and standards. Census breakdowns must be obtained from the latest U.S. Census report, which is available at any RDC, MPO, or County Commissioner’s Office.
    • Select Cities/Counties that have a minority population which can be monitored and analyzed when collecting data (service should be monitored at a minimum of one month).
      • Select City/County where Section 5307 transportation is provided.
      • Look at each City/County area where service is provided and determine the percentage of minority population to total population.
    • Using the criteria listed below; provide an overview of the transit service:
      • Type of service
      • Days and hours of operation
      • Number of vehicles
      • Number of wheelchair equipped vehicles
• Total seating capacity
• Service area

• Conduct a survey using the criteria listed below to determine the performance of rural transit in the area:
  • Total number of trips
  • Total number of trips provided to minorities
  • Percentage total (minority trips / total number of trips)
• Review the transit service provided and the provider’s standards and policies.
• Make sure all State, Federal, Civil Rights and Title VI mandates and requirements are met. Also, in cases where there are findings, give recommendations for corrective actions.
• Compare the average performance for each City/County transit system to the subrecipient’s service policies and standards. If there are findings, give recommendations for corrective actions.

• Submit the following information in the reports (refer to the **Title VI Compliance Checklist**):
  − A list of any active lawsuits or complaints naming the applicant 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; and
    • The status of the lawsuit or complaint.
  − A description of all pending applications for financial assistance, and financial assistance currently provided by other federal agencies.
  − A summary of all civil rights compliance review activities conducted in the last three years. The summary should include:
    • The proposed 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; and
    • A report on the status and/or disposition of such findings and recommendations.
• Quality of Service Methodology - This section will determine whether the quality of service is consistent among different user groups and the degree to which transit service is responsive to minority needs (service should be monitored at a minimum of one month). The subrecipients must complete the following method to assess the Quality of Service.
  − Select Cities/Counties where rural transit service is provided.
  − Conduct a survey and identify the users travel pattern (shopping trips, work trips, medical trips).
  − Conduct a survey and identify the travel pattern for minorities and non-minorities (shopping trips, work trips, medical trips).
  − Give a transit cost analysis using the survey results which identify the minority and non-minority travel pattern. Select the top three most traveled destinations and respond to the questions listed below:
    o Cost per hour for transit service
    o Total cost of trip destination
    o Cost per mile of trip to destination
    o In using this methodology, the subrecipient must compare the overall quality of service of minorities with non-minorities and take action on the
An EEO Plan is only required if there are Fifty (50) or more transit-related employees, and; receives capital or operating assistance in excess of 1 million, or; receives planning assistance in excess of $250,000.

### 2.13. Americans with Disabilities Act

#### Requirements

The Americans with Disabilities Act (ADA) is a civil rights law enacted by the US Congress in 1990. The Federal Transit Administration (FTA) enacted regulations in support of the ADA that defined the delivery of transportation services. The regulations require specific actions on the part of transit providers. The FTA regulations are found in the US Department of Transportation 49 CFR Parts 27, 37 and 38: *Transportation for Individuals With Disabilities; Final Rule, Friday September 6, 1991*. These regulations apply to all providers of public or private transportation services whether or not they receive state or federal funding assistance. These rules are available on the Federal Transit Administration’s website [http://www.fta.dot.gov/civilrights/civil_rights_2360.html](http://www.fta.dot.gov/civilrights/civil_rights_2360.html).

As a condition of grant funding, subrecipients must demonstrate compliance to the ADA and the FTA’s regulations. Agencies will demonstrate compliance through their day-to-day operating procedures, their planning and management of transit services, public involvement and information, vehicle procurement and other activities.

Each transit agency will have written policies and procedures designed to meet the requirements. For example, the vehicle maintenance policy will include maintenance of the ADA accessible features (the lift, etc.); the employee-training plan will include ADA topics. If the agency contracts out any or all of the service, the agency must be knowledgeable about how the contractor maintains compliance. ADA compliance is not a one-time effort and compliance must be consistently maintained by the agency over time. New employees or changing services are not an excuse for lack of compliance.

GDOT Division of Intermodal staff will routinely evaluate each subrecipient program for compliance to the ADA. Oversight will include site reviews, desk audits, review of policies and procedures, information from substantive complaints, and other means. Intermodal staff will also provide technical assistance upon request.

The regulation is divided into compliance areas primarily associated with the following terms: Public, Private, Fixed-route and Demand-response.

- **Public** means any state or local government and any department, agency, special purpose district, or other instrumentality of one or more state or local governments.
- **Private** means any entity other than a public entity.
- **Fixed route system** means a system of transporting individuals on which a vehicle is operated along a prescribed route according to a fixed schedule.
- **Demand responsive system** means a system of transporting individuals that is not a fixed route.

Contractors must comply with the same ADA requirements as the subrecipient. The only exception is where a public entity receives funds on behalf of a private non-profit entity. When the public entity on its own would not operate the transit service, and the service design,
implementation and management is entirely the responsibility of the other entity, then the relationship between the two is defined as “passthrough” and the compliance does not apply.

2.13.1. ADA Service Provisions

Public and private subrecipients providing either fixed-route or demand responsive services must comply with the following service provisions. This is a simplified list: review the specifics for each requirement found at 49 CFR Part 37, subpart G.

- Maintenance of accessible features
- Procedures to ensure lift availability
- Lift and securement use
- Announcements on vehicles of stops on fixed routes
- Vehicle identification systems
- Service animals
- Use of accessible features
- Public information/communications
- Lift deployment at any designated stop
- Service to persons using respirators or portable oxygen
- Adequate time for boarding/deboarding
- Training

Receipt of 5307, 5311, 5316, and 5317 funds require a private entity that is operating a fixed route service to provide complementary paratransit.

Prior to initiation of fixed route service operated by a federal grant award, subrecipients will submit to Transit Planner or Public Transportation Coordinator written documentation of compliance that addresses each of the service provisions.

2.13.2. Requirements for Public Providers

The ADA has separate sets of requirements for public fixed-route and public demand-responsive services.

Fixed-Route:

- Public operators of fixed-route services open to the general public are required to provide “complementary paratransit service” to persons with disabilities that is comparable to individuals without disabilities who use the fixed-route system.
- Commuter bus service does not require complementary paratransit service. Commuter bus service is defined as “fixed-route bus service, characterized by service predominantly in one direction during peak period, limited stops, use of multi-ride tickets, and routes of extended length, usually between the central business district and outlying areas. And may also include other service characterized by limited route structure, limited stops and a coordinated relationship with another mode of transportation.
- Service design strategies such as route-deviation, point-deviation, or point-to-point (and other hybrid strategies) are by definition “demand-response” only if they deviate to pick up the general public. If the service limits its deviations to specific individuals, including persons with disabilities, the service does not meet the intent of the demand-response definition and the service must conform to fixed-route rules.
- GDOT requires, as a condition of funding, that each new or revised public fixed-route service have written documentation that discusses how comparable service that meets the requirements of 49 CFR 37.123 – 37.133 will be delivered. Documentation will
include descriptions of:
− The planned service delivery;
− Each of the defined service criteria;
− Eligibility criteria and processes, and;
− Public participation and outreach activities.

- Full conformance to the ADA regulations on the first day of service to the public is required by federal law.
- ADA service documentation must be submitted to the Division of Intermodal for review prior to service startup, if the project is funded in any part through GDOT-source funds.
- Paratransit compliance documentation must be approved by the operator's governing board, reviewed regularly and amended as needed.
- When new services requiring complementary paratransit planning impact existing service through overlapping or contiguous boundaries, it is the responsibility of the new service provider to coordinate the development of an ADA strategy that provides for coordinated paratransit services with neighboring jurisdictions.
- Requests for undue financial burden waivers will not be considered.

Demand Response:

- Public operators of demand responsive services must conform to requirements defined as “equivalency service standard,” §37.77 (a) – (e).
- Equivalency means that the system when viewed in its entirety, provides equivalent service if the service available to individuals with disabilities, including individuals who use wheelchairs, is provided in the most integrated setting appropriate to the individual and is equivalent with respect to the following service characteristics. These characteristics are in addition to the service provisions.

- Equivalent Service Standards for public demand responsive systems:
  − Response time
  − Fares
  − Geographic area of service
  − Hours and days of service
  − Availability of information
  − Reservations capability (if the system is demand responsive)
  − Any constraints on capacity or service availability
  − Restrictions priorities based on trip purpose
- Service strategies that are designed as route-deviation, point-deviation, or point-to-point (and other hybrid strategies) are by definition “demand-response” only if they deviate to pick up the general public.

2.13.3. Requirements for Private Providers

- Per §37.105, private providers conform to requirements defined as “equivalency service standard”. The equivalency service standard applies whether the service is fixed-route or demand responsive. Private providers with a fixed-route system are not required to provide complementary paratransit.
- Equivalency means that the system when viewed in its entirety, provides equivalent service if the service available to individuals with disabilities, including individuals who use wheelchairs, is provided in the most integrated setting appropriate to the individual and is equivalent with service provisions.
- Equivalent Service Standards for private demand responsive or fixed route systems:
  − Schedules/headways (if the system is fixed-route)
  − Response time (if the system is demand-responsive)
- Fares
- Geographic area of service
- Hours and days of service
- Availability of information
- Reservations capability (if the system is demand responsive)
- Any constraints on capacity or service availability
- Restrictions priorities based on trip purpose (if the system is demand responsive)

- Private operators are divided into two subgroups by the ADA: Private not-primarily in the business of transportation and private primarily in the business of transportation.
  - **Private not primarily**: Fixed route system with vehicles over 16 passengers plus driver must have accessible vehicles. Fixed route system with vehicles under 16 must have accessible vehicles unless the system when viewed in its entirety meets the standard for equivalent service provisions.
  - **Private primarily**: Fixed route system with vehicles over eight passengers (excluding over-the-road vehicles) must ensure that the vehicles are accessible.

University Service:
The Triennial Review Workbook states that “Review documentation to ensure that university service is operated under formal arrangement with a public or private institution of higher education, or that the funding provided by the grantee is specifically intended to provide such service. 49 CFR 37.25 specifies that “university transportation systems” are operated by public or private institutions of higher education. Most transit operators are not institutions of higher education and, by definition, would therefore not be operating “university service.” In order for routes operated by a transit provider to be covered by this provision, an institution of higher education would have to have a formal arrangement with the transit operator. In some cases, the grantee may provide funding directly to an institution of higher education for purposes of providing university transportation service. The grantee must ensure that services described as commuter or university service provided by subrecipients have the characteristics specified in the DOT ADA regulations.”

2.13.4. Passenger Facilities

Facilities that are built using federal funds must meet ADA regulations for accessibility. Facilities that are altered using federal funds must meet ADA regulations for accessibility unless the cost of making the facility accessible is disproportionate to the overall cost of the project. Disproportionate is defined as the cost to make the facility accessible exceeds 20 percent of the total cost of alteration. Failure to make the facility ADA accessible as required will cause Transit Planner or Public Transportation Coordinator require the subrecipient to make the modifications to bring the facility into compliance, and failure to make the required modifications will result in repayment of grant funds.

- Passenger facilities include, and are not limited to, passenger waiting areas, shelters and transfer stations. The guidelines for the accessibility of facilities are provided by the United States Access Board, [http://www.access-board.gov/ada-aba/final.pdf](http://www.access-board.gov/ada-aba/final.pdf).
- Bus Stops: Where new bus stop pads are constructed in areas where a lift or ramp is to be deployed, they will have a firm, stable surface. The stop will have a minimum clear length of 96 inches (measured from the curb or vehicle roadway edge) and a minimum clear width of 60 inches (measured parallel to the vehicle roadway) to the maximum extent allowed by legal or site constraints; and will be connected to streets, sidewalks or pedestrian paths by an accessible route.
• Shelters: Where bus shelters are provided, the shelter shall be installed or positioned to permit a wheelchair or mobility aid user to enter from the public way and to reach a location, having a minimum clear floor area of 30 inches by 48 inches, entirely within the perimeter of the shelter. An accessible route will connect the shelter to the boarding area.

• Accessible route: At least one accessible route will be provided from public transportation stops, accessible parking, and accessible passenger loading zones, and public streets or sidewalks to the accessible building entrance they serve. The accessible route will, to the maximum extent feasible, coincide with the route for the general public. An accessible route with a running slope greater than 1:20 is a ramp. The least possible slope will be used for any ramp. The maximum slope of a ramp in new construction shall be 1:12. A cross slope of an accessible route will not exceed 1:50.

2.13.5. Maintenance of Accessible Features

Subrecipients must maintain the accessible features of vehicles and facilities. The accessible features must be inspected, kept in operating condition, and repaired promptly.

2.13.6. Complaints and Grievances

The subrecipient shall ensure compliance with the Americans with Disabilities Act as found in the Title II ADA and Section 504 of the Rehabilitation Act.

The Title II regulation covers “public entities”. “Public entities” include any State or local government and any of its departments, agencies, or other instrumentalities.

If a subrecipient project includes pedestrian facilities, the facility must provide pedestrian access for persons with disabilities in compliance with ADA Title II. Federal, State and local governments must provide pedestrian access for persons with disabilities whenever a pedestrian facility exists in compliance with Section 504 standards. Information regarding the design of transportation facilities and compliance may be found at ROADS-Repository for Online Access to Documentation and Standards http://www.dot.state.gov/doingbusiness/PoliciesManuals/roads/Pages/default.aspx All activities, services, and programs of public entities are covered and must ensure that individuals with disabilities are not excluded from services, programs and activities because buildings are inaccessible. State and local governments must ensure effective communication with individuals with disabilities. Where necessary to ensure that communications with individuals with hearing, vision, or speech impairments are as effective as communications with others, the public entity must provide appropriate auxiliary aids. Unlike Section 504 of the Rehabilitation Action of 1973, which only covers programs receiving Federal financial assistance, Title II extends to all the activities of State and local governments whether or not they receive Federal funds.

Complaints: Any individual who believes that he or she is a victim of discrimination prohibited by the regulation may file a complaint. Complaints on behalf of classes of individuals are also permitted. Complaints should be in writing, signed by the complainant or an authorized representative, and should contain the complainant’s name and address and describe the public entity’s alleged discriminatory action. Complaints may be sent to— Disability Rights Section Civil Rights Division U.S. Department of Justice P.O. Box 66738 Washington, DC 20035-6738 Local Government Administered Project Manual Page 49
Complaints may also be sent to agencies designated to process complaints under the regulation, or to agencies that provide Federal financial assistance to the program in question.

Transit Planner or Public Transportation Coordinator Responsibilities:

- Obtain certifications of compliance from all subrecipients;
- Include ADA requirements in all grant agreements;
- Request documentation of ADA policies on a regular basis;
- Monitor subrecipient compliance during the compliance review every three years, or during the site visits associated with the annual vehicle or inventory inspections;
- Ensure that the following questions are answered:
  - Is the vehicle ADA accessible?
  - Are the lifts being cycled before service is provided?
  - Have you denied service over the last six months? How much? Why?
  - Have you refused service animals?
  - How do you ensure that service animals are allowed?
  - How are you meeting ADA regulations?
- Review subrecipient ADA policies and procedures and other supporting documentation, and follow up with the agency regarding compliance issues, if needed;
  - Review specific ADA service requirements – type of service provided, advance reservation requirements, fares, and no show policy;
- Award vehicle purchases for accessible vehicles and monitor vehicle purchases for accessibility. Obtain Certificates of Equivalent Service, if applicable;
- Review ADA compliance, including service, maintenance and facilities, during on-site program reviews;
- Offer PASS training to transit agencies;
- Provide subrecipients annual written reminders of ADA requirements and provision of service. Review and act upon ADA complaints and forward information to FTA if warranted.

Subrecipient Responsibilities:

- Sign certifications of compliance pertaining to ADA requirements;
- Establish service policies and procedures in accordance with the ADA, and submit the policies upon request to Transit Planner or Public Transportation Coordinator;
- Comply with ADA service provisions for fixed route and demand-response, as appropriate to the service;
- Subrecipients are required to submit information about formal ADA complaints to Transit Planner or Public Transportation Coordinator, and report regularly until the complaint is resolved. Transit Planner or Public Transportation Coordinator will submit the information to FTA region office.
- Prior to initiation of a fixed route service funded by §5311, prepare appropriate policies and procedures to implement complementary paratransit and other associated ADA service requirements. Submit the documentation to Transit Planner or Public Transportation Coordinator for review and approval;
- Purchase vehicles in compliance with ADA requirements, or sign and submit a Certification of Equivalent Service to Transit Planner or Public Transportation Coordinator prior to purchase of the vehicle. Update the certification annually (keep in own files);
- Include appropriate ADA information in all public information brochures and route schedules;
- New and remodeled facilities will be ADA accessible. If the facility is built or remodeled
with a grant award, subrecipient will submit documentation to ensure that the required ADA accessible features are included;

- Include ADA requirements in all service agreements;
- Take advantage of PASS training as needed; and
- Inform Transit Planner or Public Transportation Coordinator of any ADA complaints.

### 2.14. Grant Protest Procedures

#### Requirements

The Division conducts an appeals process to resolve protests of funding or other decisions made by the Transit Planner or Public Transportation Coordinator.

#### Applicable Procedures

Within 30 days of notification of a decision, the affected agency may file an appeal of the decision.

- The agency will address the appeal to the division administrator.
- The appeal will identify the project or proposed project affected by a fundraising decision; or, will identify the action taken by the division that is being appealed. The appeal will include the recipient or proposed recipient affected by the decision, any arguments pertaining to the appeal, and the requested remedy.

The division will investigate the appeal and will make a written statement of finding within 30 days.

### 2.15. Charter Service

#### Requirements

As part of its annual grant application, GDOT requires Section 5307, 5309, 5311, and 5316/7 applicants to certify that they will not perform any charter service by signing the Certification of No Intent of Charter Service Form.

The exception to this certification is the conveyance of Government Officials, not to exceed eighty (80) hours of use in a given fiscal year. Each subrecipient must apply for this exception by contacting GDOT with a request.

#### Applicable Procedures

The Transit Planner or Public Transportation Coordinator shall report the information from the subrecipient to the Transit Program Manager. Transit Planner or Public Transportation Coordinator reports the conveyances in TEAM.

The subrecipient must inform the Transit Planner or Public Transportation Coordinator each time the subrecipient decides to use the exception; subrecipients must submit a quarterly report indicating the use of exceptions using the format provided in the FTA Charter Exceptions Quarterly Reporting Form within 10 days after the end of the quarter.
2.16. School Transportation

Requirements
Grantees seeking to provide school bus service must agree not to engage in exclusive service to students and school personnel in competition with private school bus operators.
This prohibition does not apply to “Tripper Service,” defined as regularly scheduled transit service that is open to the public and that is designed or modified to accommodate the needs of school students and personnel, using various fare collection and subsidy systems. In some cases, exemptions to regulatory limitations shall be allowed.

Applicable Procedures
To ensure that subrecipients comply with school bus transportation regulations, subrecipients must complete the Certifications and Assurances to agree that it shall:

- Engage in school transportation operations in competition with private school transportation operators only to the extent permitted by an exception provided by 49 U.S.C. 4323 (f) and implementing regulations, and
- Comply with requirements of 49 CFR part 605 before providing any school transportation using equipment or facilities acquired with Federal assistance awarded by FTA and authorized by 49 U.S.C. Chapter 53 or Title 23 U.S.C. for transportation projects.
- Understand that the requirements of 49 CFR part 605 will apply to any school transportation it provides, that the definitions of 49 CFR part 605 apply to any school transportation agreement, and a violation of this agreement may require corrective measures and the imposition of penalties, including debarment from the receipt of further Federal assistance for transportation.

2.17. Lobbying

Requirements
Recipients of federal grants and contracts exceeding $100,000 annually must certify that they have not and will not use federally appropriated funds for lobbying. State agencies administering federal programs certify to FTA; subrecipients certify to the state. State agencies and subrecipients must impose lobbying restrictions on their third-party contractors and must obtain certifications. The regulations are found in 49 CFR Part 20.

Applicable Procedures
Contracts, grants and cooperative agreements are actions covered by the restrictions on lobbying. For example, activities such as submitting grant applications, status inquiries, and professional and technical services are not lobbying and do not need to be disclosed. Efforts to influence Federal officials about specific grants and contracts or to ask Congressional representatives for support of a particular application must be disclosed. Lobbying restrictions do not apply to activities that might influence policy issues.

Transit Planner or Public Transportation Coordinator Responsibilities:

- Obtain Standard Form-LLL from any subrecipient and/or its subcontractor(s) who used non-federal funds to support lobbying.
- Send the forms to GDOT Governmental Affairs office, who prepares the quarterly reports.
to FTA.

- Assure GDOT submits Standard Form-LLL to FTA, as required. Currently, subrecipients certify to Transit Planner or Public Transportation Coordinator through the grant agreements and the annual certifications and assurances.

Subrecipient Responsibilities:

- Sign a certification of compliance pertaining to lobbying activities.
- Where third party contractors are involved, subrecipients must obtain a signed certification of compliance from the contractor.
- If non-federal funds have been used to support lobbying activities in connection with a grant from Transit Planner or Public Transportation Coordinator, and the subrecipient receives federal grants exceeding $100,000, fill out Standard Form-LLL and submit it to TPC.
- If contractors received more than $100,000 in federal funds and used non-federal funds to support lobbying, subrecipients must obtain the completed Standard Form-LLL from the contractor and submit it to Transit Planner or Public Transportation Coordinator.

### 2.18. Debarment and Suspension

#### Requirements

To prevent fraud, waste and abuse in federal transactions, persons or entities that, by defined events or behavior, potentially threaten the integrity of federally-administered programs are excluded from participation in FTA-assisted programs. GDOT will not enter into any third-party contract or grant agreement with any party included in the “US General Service’s Administration’s List of Parties Excluded from Federal Procurement or Non-procurement Programs”, or Excluded Parties Listing System (EPLS).

This pertains to all FTA-funded programs. Reference: FTSA C 2051.1; FTA Annual Certifications and Assurances Subrecipients receiving more than $25,000 through a grant from TPC must certify they are not debarred or suspended from any Federal agency. This is accomplished through the grant agreements and the annual certifications and assurances.

#### Applicable Procedures

**GDOT Transit Planner or Public Transportation Coordinator Responsibilities:**

- Assure that all subrecipients are not excluded from participation in FTA-assisted programs by checking the EPLS database.
- Assure that subrecipients verify that their third-party contracts are not disqualified.
- Obtain certifications of compliance from subrecipients prior to execution of grant agreements.
- When GDOT lets a third-party contract exceeding $25,000 that uses any amount of FTA funding, the contractor will be required to submit a completed integrity certification prior to awarding the final contract.

**Subrecipient Responsibilities:**

- Sign a certification of compliance pertaining to debarment and suspension.
- Verify that a third-party contractor is not disqualified by a Federal agency. Obtain a signed certification or add a clause or condition to the contract or subcontract regarding
debarment and suspension.

3.0 SATISFACTORY CONTINUING CONTROL

3.1. Management of Equipment and Real Property

Requirements

GDOT has management standards that apply to equipment, supplies, and rolling stock purchased with federal funds. Equipment, supplies, and rolling stock are to be used by the subrecipient for the purpose it was acquired as long as needed, whether or not the program or project continues to be supported by federal funds.

3.1.1. Tracking

Fixed assets must be tracked in the RMIS system by Intermodal Programs and must be recorded as an asset by subrecipients in their own fixed asset accounting system. This procedure indicates the tasks to be completed for inventory, tracking, auditing, transferring, and disposing of fixed assets. Fixed assets also include security and other equipment for buses, computers, and software. In cases where real estate has been acquired for construction projects, fixed assets may also include real property.

3.1.2. Incidental Use

Equipment and real property may be incidentally used with FTA approval. Incidental use is defined as the authorized use of real property and equipment acquired with FTA funds for purposes of transit, but which also has limited non-transit purposes due to transit operating circumstances. Such use must be compatible with the approved purposes of the project and not interfere with intended public transportation uses of project assets. FTA encourages subrecipients to make incidental use of real property when it can raise additional revenues for the transit system, or at a reasonable cost, enhance system ridership.

GDOT must approve any incidental use of FTA funded equipment or facilities in advance of its occurrence.

3.1.3. Vehicle Useful Life

Useful life is determined as follows:

- **5311, 5316 & 5317 Funded Vehicles:** The District Public Transportation Coordinator, using any or all of the evaluation criteria listed below as a general guidance, will make an evaluation of a vehicle’s condition and useful life. In the event the District Public Transportation Coordinator concludes that the vehicle should be surplused, then a recommendation will be made to the Division of Intermodal Programs. Counties may purchase vehicles back by following DOAS disposition procedures. Criteria for Replacement of Vehicles:
  - 100,000 miles or five years by the end of the application year.
  - The vehicle is unserviceable and rehabilitation is not cost effective
  - Vehicle utilization and productivity meets current GDOT operating criteria.
• **5307 & 5309 Funded Vehicles:** GDOT's useful life standards for all other programs adhere to FTA useful life policies, which are:
  - Large, heavy-duty transit buses including over the road buses (approximately 35’–40’, and articulated buses): at least 12 years of service or an accumulation of at least 500,000 miles.
  - Small, heavy-duty transit buses (approximately 30’): at least ten years of service or an accumulation of at least 350,000 miles.
  - Medium, medium-duty transit buses (approximately 25’–35’): at least seven years of service or an accumulation of at least 200,000 miles.
  - Medium, light-duty transit buses (approximately 25’–35’): at least five years of service or an accumulation of at least 150,000 miles.
  - Other light-duty vehicles used as equipment and in transport of passengers (revenue service) such as regular and specialized vans, sedans, demo models, light-duty buses and all bus models exempt from testing in the current 49 CFR part 665: at least four years of service or an accumulation of at least 100,000 miles.

Additional useful life guidelines for ferries, trolleys and rail vehicles are defined in FTA Circular 9030.1D.

### 3.1.4. Inventory/Inspection

GDOT intermodal staff and the PTC's shall conduct vehicle inventory every two years using GDOT’s RMIS vehicle inventory data as a benchmark for reconciliation to actual vehicles on location. The inventory should including the following information:

- GDOT assigned four-digit vehicle number
- Subrecipient’s name
- Vehicle identification number (VIN) (iv)
- Cost of vehicle
- Vehicle type
- Year of manufacture
- Seating capacity
- Date of purchase/delivery
- Vehicle Make
- Grant/contract number under which vehicle was purchased.

- Date of inventory
- Signature of person(s) performing inventory
- a description of the asset,
- identification number,
- source of property (the grant project number under which it was procured),
- acquisition date,
- cost,
- percentage of Federal participation in the cost,
- location,
- use and condition,
- useful life,

GDOT's staff or its designees will conduct annual vehicle inspections, including the categories defined in the **Vehicle Inspection form.**
GDOT recommended pre-trip inspection forms require daily cycling of the ADA lift, and both the compliance review and site visits will include a review of these files for completed pre-trip inspections. Logs showing dates when accessible vehicles were put out-of-service due to failures and repairs (of any type) or maintenance should demonstrate that no accessible vehicle was operated for more than five days with an inoperative lift.

### 3.1.5. Continuous Control and Vehicle Monitoring/Storage

In order to maintain continuous control of all FTA funded equipment at all times, it is GDOT’s policy not to allow any FTA funded property to be removed from its designated location without GDOT’s prior approval. Under very limited circumstance must a section 5311 vehicle(s) be taken or driven home without prior written approval from Georgia Department of Transportation.

All vehicles must be stored in a lighted, safe, fenced and patrolled or controlled area. Requests to allow a vehicle to be taken away from the storage area must be in writing addressed to the appropriate District Public Transportation Coordinator. The District Public Transportation Coordinator shall forward the request including justification to the Atlanta office for consideration. GDOT recommends that requests be submitted thirty (30) days prior to the proposed scheduled date and at the minimum, should include the following:

- Justification for exception
- Mileage from the transit office to proposed initial stop
- Mileage from driver’s home to transit office
- Mileage from driver’s home to initial passenger pick up stop
- Mileage driven each day
- Time of initial passenger pick up
- Driver’s home address including phone number
- Additional insurance coverage

Transit providers must demonstrate how they intend to monitor the use of the vehicle when not stored within transit locations.

GDOT may request driver(s) to include vehicle in his/her home insurance policy to protect both GDOT and FTA’s interest in case of any loss therein. Failure to comply with this policy may result in the denial of future funding by FTA and Georgia Department of Transportation and may include denial of any reimbursement. Should providers have any questions on this policy, they should contact their respective District Public Transportation Coordinator, or the Atlanta office for guidance.

### 3.1.6. Bus Replacement Policies

- Replacement at End of Minimum Normal Service Life - Vehicles to be replaced should have achieved the minimum normal service life. The age of the bus is its years of service or mileage at the time the new bus will be put into service.
- Early Disposition Policy - If a vehicle is replaced before it has reached the minimum normal service life, the grantee has the option of returning the Federal interest to FTA or placing the remaining Federal interest into the new vehicle (like-kind exchange policy).
- Like-Kind Exchange Policy - Under this policy, the trade-in value or sales proceeds from a vehicle replaced before the end of its normal service life are not returned to FTA but rather applied towards the purchase of a “like-kind” replacement vehicle. Like-kind replacement is defined as a vehicle for a vehicle with a similar service life.
- Rebuilding Policies - Buses to be rebuilt should be at the end of the minimum normal service life and in need of major structural or mechanical rebuilding. The age of the bus is its years of service at the time the rebuilding work begins.
  - Rehabilitation - Rehabilitation efforts are focused on mechanical systems and vehicle interiors. The goal for standard, heavy-duty transit buses is to provide at least five years of additional service through rehabilitation and for smaller buses, make the rehabilitation extend the minimum normal service life by at least 40 percent.
  - Remanufacturing - Main emphasis is placed on structural restoration of a standard, heavy-duty bus in addition to rehabilitation (above). Eight years of additional service life should be provided through this rebuilding process.

- Vehicle Overhauls - Federal capital assistance of up to 20% of annual vehicle maintenance is eligible for vehicle overhaul work. This eligibility also applies to leasing and contracted service.

- Spare Ratio Policies - The number of spare buses in the active fleet for grantees operating 50 or more revenue vehicles should not exceed 20% of the number of vehicles operated in maximum service. Spare ratio is defined as the number of spare vehicles divided by the vehicles required for annual maximum service, and should be reasonable for all agencies. Local circumstances may be considered in determining a reasonable spare ratio for individual grantees.

- Contingency Fleet - Vehicles may be placed in an inactive contingency fleet, or "stored" in preparation for emergencies. No vehicle may be placed in this inactive contingency fleet unless the vehicle has reached the end of its minimum useful life.

- Vehicles held in a contingency fleet must be properly stored, maintained, and documented in a contingency plan, updated as necessary, to support the continuation of a contingency fleet. A contingency plan is not an application requirement, although FTA may request information about the contingency fleet when reviewing grant applications. Contingency plans are also subject to review during FTA’s oversight reviews, including the triennial reviews required for recipients of the Urbanized Area Formula Program (49 U.S.C. 5307). Any rolling stock not supported by a contingency plan will be considered part of the active fleet. Since vehicles in the contingency fleet are not part of the active fleet, they do not count in the calculation of spare ratio.

3.1.7. Requirements Related to Buses in Service

- Commercial Driver’s License (CDL) - All drivers and mechanics of vehicles designed to transport more than 15 people must have a CDL.
- Charter Bus Operations - see SMP
- School Bus Operations - see SMP

3.1.8. Bus Facilities

- FTA will assist building facilities that support transit operations and provide passenger amenities and park-and-ride lots. FTA also supports facilities that are transit-related and will participate in those portions of facilities physically or functionally connected to transit. FTA will participate on a pro rata basis in intermodal facilities, based on the transit portion of the project.
  - Facility Size - FTA’s general policy is to provide assistance for facilities that are adequate for the grant applicant’s present needs and that will realistically meet future needs.
  - Project Staging - Applicants must be able to fully describe the project and estimate the cost of the facility.
Planning Justifications - There must be a planning basis for every project, therefore, appropriate planning studies should be undertaken in support of projects to acquire, install, or construct major transit facilities.

- **Passenger Amenities**
  - **Passenger Shelters** – Bus shelters are eligible for FTA assistance at certain locations, such as load and transfer points, park-and-ride stations, employment concentrations, and housing concentrations for the elderly and persons with disabilities.
  - **Transfer Facility or Transportation Center** – The basis for a new transfer facility or transportation center should be documented in a planning study.
  - **Park-and-Ride Facilities** – The basis for a new park-and-ride lot should be documented in a planning study.

- **Maintenance and Administrative Facilities** – The basis for new maintenance and administrative facilities or major expansions or renovations of existing facilities should be documented in a planning study.

### Applicable Procedures

**Transit Planner or Public Transportation Coordinator Responsibilities:**

- Conduct a physical inventory of each recipient's Fixed Assets every two years in compliance with FTA regulations. The **Vehicle Inventory Form** summarizes the areas evaluated. A copy of the vehicle inventory report upon completion should be forwarded to the Risk and Fleet Manager for reconciliation. Any discrepancy should immediately be investigated and reported accordingly.

- Assist subrecipients in processing forms related to lost, stolen, and damaged equipment.

- Manage and forward change in location requests to the Transit Program Manager for approval. Transit Program Manager will review the request and provide approval or rejection by email.

- Notify FTA when property is removed from the service originally intended at a grant approval and if property is put to additional or substitute uses. If FTA funded property is no longer needed for any transit purpose, the Transit Planner or Public Transportation Coordinator is required to prepare or update an excess real property utilization plan that identifies and explains the reason for excess property (FTA Circular 5010.1D has a list of what the plan should include; 49 CFR Part 18 has requirements for removal). Excess real property inventory and updated excess property utilization plan should be retained by the Transit Planner or Public Transportation Coordinator.

- The Transit Program Manager will receive a disposal request letter from subrecipients, and the Manager will provide approval or rejection to the request by letter of concurrence.

- Forward any location of vehicles/equipment requests from the subrecipient using a justification to the Transit Program Manager for approval.

- The Transit Program Manager will review the request and provide approval or rejection by email.

**Subrecipient Responsibilities:**

- Submit inventory listings to the Transit Planner or Public Transportation Coordinator that properly identify all discrepancies disclosed by physical inventory and signed by the designated subrecipient official indicating that the physical inventory was completed on a given date, and that official property records were found to be in agreement with the physical inventory, except for reported discrepancies. The listing will be furnished with a minimum of delay after the completion of the physical inventory.
• Submit a monthly vehicle utilization report, updated on the vehicle module of RMIS.
• Submit certifications that equipment and real property is being used for project purposes.
• Get inspected by GDOT annually.
• Record and place new rolling stock into the subrecipient inventory system at the time of delivery. The subrecipient shall maintain a subsidiary Fixed Assets Ledger Accounting System with the following required information:
  – Description – Tag Number/VIN
  – Date in service
  – Cost of Asset
  – Funding Source(s)
  – Depreciation
  – Location
  – Condition
  – Disposal date – when applicable
• a description of the asset,
• identification number,
• source of property (the grant project number under which it was procured),
• acquisition date,
• cost,
• percentage of Federal participation in the cost,
• location,
• use and condition,
• useful life,
• Maintain all support documentation for lost, stolen and damaged equipment.
• Record the location of each fixed asset item in its accounting or property records.
• Maintain current records as to movement of equipment in such a manner that any item can be located for inspection or inventory purposes within a reasonable time frame.
• Must obtain written approval from GDOT for any change in location. Requests and justifications must be made in writing to the Transit Planner or Public Transportation Coordinator.
• Retain and provide access to program records and other records that are maintained as part of the program regulations/grant agreement, or otherwise pertinent to the program. Records must be retained for three years after the disposition of the equipment.
  – Must send a letter to the Transit Planner or Public Transportation Coordinator requesting disposition of equipment.
• Record the location of each fixed asset item in its accounting or property records.
• Maintain current records as to movement of equipment in such a manner that any item can be located for inspection or inventory purposes within a reasonable time frame.
• Must obtain written approval from the GDOT for any change in location. Requests and justifications must be made in writing to the Transit Planner or Public Transportation Coordinator.

3.2. Maintenance of Equipment and Real Property

Requirements

Subrecipients must have the technical and managerial capability to maintain FTA-funded vehicles, major equipment and facilities. Project equipment and facilities must be maintained at a high level of cleanliness, safety, and mechanical soundness. All accessibility features and
equipment must be kept in operating condition. Subrecipients must have procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections in a timely manner.

Vehicles must be maintained in good working order. Subrecipients are required to follow the manufacturer’s recommended maintenance schedule for federally-funded property—including vehicles, wheelchair lifts, and other accessibility equipment.

Each system should have a documented, up-to-date Maintenance Policy and Plan, for its fleet, major equipment and facilities with goals and objectives, and should implement the planned program. The adherence to the Maintenance Plan and the condition of vehicles, including accessibility equipment, will be monitored through GDOT reviews and inspections conducted by the District Public Transportation Coordinators each year. The PTC will ensure the fleet, equipment and facilities are consistent with the Maintenance Plan Guidance addressing the use, purchase, maintenance, insurance, and disposition of vehicles is provided in a separate memorandum available from GDOT. This separate document also includes model forms for pre- and post-trip inspections, a recommended maintenance schedule, a model of an agency maintenance policy and GDOT’s Sample Fleet Maintenance Plan. (See Exhibit 4)

Vehicle maintenance involves two major components: preventive maintenance (PM) and the repair function, both of which should be monitored and evaluated through a maintenance management information system (MIS), which could range from a reliable, complete, and centralized paper file on each vehicle to a computerized program utilizing specialized vehicle maintenance software. Preventive maintenance activities include daily pre-trip inspections by the vehicle operators, including daily cycling of wheelchair lifts and associated accessibility equipment.

Maintenance and repair services may be provided in-house or under contract. If the system contracts for maintenance, it must monitor the contractor to ensure compliance with FTA/GDOT requirements. If the vehicles are operated by a TPO, the subrecipient must monitor their maintenance activities to ensure that the public investment in the vehicle fleet is protected.

This PM program should be described in a written maintenance policy that incorporates the GDOT recommended maintenance standards at a minimum. Subrecipients may wish to add additional services based on local experience or conditions (for example, more frequent air filter changes in a dusty environment, or checking mirror mounts at each service, etc.). Local procedures regarding maintenance records should also be included in the maintenance policy (who keeps the records, are they part of a computerized system, what is kept on file, etc.). A sample of written PM policy statement is provided in the separate guidance memorandum regarding vehicles, and an electronic version can be obtained from the District PTC to serve as basis for a local written maintenance policy.

Subrecipients must have a pre-trip inspection program that addresses vehicle condition, appearance, cleanliness, and safety. Deficiencies noted in a pre-trip inspection must be repaired in a timely manner and properly reviewed by management. Include some detail of your pre-trip inspection or checklist. GDOT may provide separate guidance on vehicle maintenance, including recommended pre-trip inspection forms.

3.2.1. Requirements Regarding Lift Maintenance and Maintaining Accessible Service

Subrecipients must repair accessibility features promptly and take reasonable steps to continue service to persons with disabilities while repairs are made. Subrecipients must maintain a file on
each FTA funded vehicle that contains daily logs, pre-trip inspection checklists, and repair records.

GDOT maintenance requirements include a mandate that subrecipients promptly repair any accessibility defects noted during the required pre-trip inspection, and that pre-trip inspection forms and procedures require that a lift be cycled before leaving the storage yard. An operator with an inoperable lift must report it immediately. If during the daily inspection the lift is found to be inoperable, the vehicle is ordered out-of-service as soon as a lift-equipped replacement vehicle is available and it remains out-of-service until repairs are made and the vehicle is re-inspected. In these cases, the Public Transportation Coordinator or Transit Planner works with the subrecipient to obtain a replacement accessible vehicle from the state’s lease fleet until the vehicle is repaired, inspected, and returned to service. The accessible replacement lease vehicle should be placed in service as soon as possible. In some cases it may take a day or two to obtain the spare vehicle, so these rural systems may use the vehicle with the inoperable lift until an accessible replacement vehicle is available, but no longer than five days, as allowed by FTA regulations (49 CFR 37.163 (e)). The same situation applies if an accessible vehicle has a breakdown of some other type, or must be removed from service for maintenance - an accessible vehicle must be obtained from the state lease fleet as soon as possible, and the system’s own accessible vehicle repaired and returned to service. In no case should an accessible vehicle with a broken lift be in service for more than five days.

Once the agency’s own accessible vehicle is removed from service for repair, GDOT gives the subrecipient seven days to repair the lift. Then the agency must notify the Public Transportation Coordinator or Transit Planner prior to returning it to service. The accessible replacement vehicle from the GDOT statewide spare lease fleet must remain in service until the agency’s own vehicle has been repaired, inspected and returned to service.

GDOT is providing subrecipients with a form to document the dates of every incident in which an accessible vehicle must be removed for service.

**Applicable Procedures for Maintenance Oversight**

**GDOT Responsibilities:**

- District PTCs conduct vehicle inspections, including examination of the condition of vehicles and accessibility equipment.

As part of the Compliance Monitoring Review, GDOT’s maintenance oversight is conducted by the TP’s and PTC’s and includes a review of the Maintenance plan, a check for plan consistency with the fleet, major equipment and facilities. In addition, GDOT’s Intermodal Division/Transit will institute at minimum yearly joint program meetings between each subrecipient to discuss each program including capital projects, fleets, facilities and major equipment. Compliance site visits by the PTC’s, TP’s, RFM and/or the TPM will occur at a minimum every 3 years. The Review will be documented with the August 2012 updated “Summary of Compliance Monitoring Review Form” (Exhibit 5)

**Subrecipient Responsibilities:**

- Agrees to maintain project property in good operating order and in compliance with any applicable federal regulations or directives that may be issued.
- Agrees to keep satisfactory records pertaining to the use of project property, and to submit to FTA upon request such information as may be required to assure compliance with Federal requirements.
- The subrecipient is required to have a written facility/equipment maintenance plan, with goals and objectives.
- These plans should describe a system of periodic inspections and preventive maintenance to be performed at certain defined intervals.
- The subrecipient is responsible for implementing the planned maintenance program.

### 3.3. Disposition of Equipment and Real Property

Subrecipients are required to contact the division of intermodal when vehicles have reached the end of their useful life and can no longer use them, the original purpose for the vehicle changes, the service is terminated, or the project ends. Titles are released to the owner when requested once useful life standards have been met for replacement/disposal, or when the vehicle is being transferred to another agency for similar service. When disposing of a vehicle that has met useful life standards, the agency may sell the vehicle and keep the sales proceeds, but must reinvest the funds for a vehicle purchase in the transit program for which the disposed vehicle was purchased.

Local public agencies may adopt their own rules and procedures for disposing of federally-funded surplus property as long as the disposal or sale is conducted in an open, public process. The revenues from the sale of property must be reinvested in the transit program for the same purpose (for instance, proceeds from a vehicle sold are used for purchasing a replacement vehicle; proceeds from office equipment would go towards purchase of new equipment).

Transit Planner or Public Transportation Coordinator Responsibilities:
- Provide technical assistance on all aspects of vehicle disposition.
- Review vehicle information provided on quarterly reports.
- The Transit Program Manager will review requests for disposition of equipment and provide approval or rejection to the request by letter of concurrence.

Subrecipient responsibilities:
- Contact the Transit Planner or Public Transportation Coordinator for technical assistance regarding all aspects of vehicle disposition.
- Notify the Transit Planner or Public Transportation Coordinator if equipment has not been used for 90 days. This should be reported on the quarterly report. The Division has the option to transfer the vehicle to another agency that can use the vehicle.
- The subrecipient must send a letter to the Transit Planner or Public Transportation Coordinator requesting disposition of equipment.

### 3.4. Buy America Provisions

**Requirements**

Buy America provisions are federal "domestic content" regulations. Buy America provisions affect vehicle and equipment purchases and construction contracts valued at $100,000 or more. FTA’s Buy America requirements at 49 CFR part 661 differ from Federal Buy American regulations at 48 CFR part 25. The former applies to third party contracts funded by FTA. The latter applies to direct Federal procurements. With certain exceptions, FTA may not obligate funds for a public transportation project unless the steel, iron, and manufactured goods used in the project are produced in the United States (49 CFR part 661). Exceptions to the requirement are made in four situations (see 49 CFR Part 661; 49 CFR Part 663). FTA reviews requests for
waiver of the Buy America requirements on a case-by-case basis. If a waiver is required, the appropriate time for a subrecipient to seek FTA approval is after bids have been accepted, but before the bid has been awarded. GDOT staff will receive requests for Buy America waivers and forward them to FTA.

Pre-award and post-delivery certifications: Procurements for vehicles must be in accordance with “Pre-Award and Post-Delivery Audits of Rolling Stock Purchases” (49 CFR Part 633; Federal Register March 31, 1992). The rule requires that any subrecipient who purchases rolling stock certify to the FTA that it has conducted a pre-award and post-delivery audit to assure compliance with its bid specifications, Buy America requirements and Federal Motor Vehicle Safety Standards. Rolling stock must have 60-percent domestic content and assembly must take place in the United States. Refer to the Pre-Award and Post-Delivery Review/Buy America Checklist.

Subrecipients are required to have an in-plant inspector throughout the manufacturing process if it:

- Purchased any number of rail vehicles
- Are in urbanized areas that purchase more than 10 buses
- In areas with populations of 200,000 or less than purchase more than 20 buses

**Applicable Procedures**

**Transit Planner or Public Transportation Coordinator Responsibilities:**

- Include Buy America, pre-award and post-delivery certifications and New Model Testing requirements in applicable grant agreements.
- Review requests for waivers to Buy America requirements and forward them to FTA.
- Review agency procedures regarding Buy America, pre-and post-delivery certifications and bus testing requirements during on-site program reviews.
- Review and approve all documentation and certifications provided by the subrecipients prior to making reimbursements on grant agreements.

**Subrecipient Responsibilities:**

- Review the manufacturer’s Buy America certification and supporting documentation before a contract is awarded to purchase vehicles (pre-award audit). The documentation review should include vehicle sub-components (place of origin, cost and place of final assembly). Subrecipients must determine to their own satisfaction that the manufacturer can meet the Buy America requirements.
- Perform a post-delivery audit after vehicles have been delivered. This post-delivery audit assures that the manufacturer complied with Buy America, the Federal Motor Vehicle Safety Standards, and the subrecipient’s specifications. Subrecipients must complete the post-delivery audits before they accept the vehicles and pay the vendor.
- Submit all documentation and certifications to Transit Planner or Public Transportation Coordinator. Documentation must be received by the division prior to final payment to the grantee.
- Contact the division for technical assistance if needed.
3.5 Project Management Plan

Requirement

The FTA and GDOT require that a Project Management Plan be completed by a subrecipient that intends to construct a facility using FTA funding. At a minimum the plan should contain:

(1) A description of adequate recipient staff organization, complete with well-defined reporting relationships, statements of functional responsibilities, job descriptions, and job qualifications;
(2) A budget covering the project management organization, appropriate consultants, property acquisition, utility relocation, systems demonstration staff, audits, and such miscellaneous costs as the recipient may be prepared to justify;
(3) A construction schedule;
(4) A document control procedure and recordkeeping system;
(5) A change order procedure which includes a documented, systematic approach to the handling of construction change orders;
(6) A description of organizational structures, management skills, and staffing levels required throughout the construction phase;
(7) Quality control and quality assurance programs which define functions, procedures, and responsibilities for construction and for system installation and integration of system components;
(8) Material testing policies and procedures;
(9) Plan for internal reporting requirements including cost and schedule control procedures; and Criteria and procedures to be used for testing the operational system or its major components;”

The Project Management Plan is a “living document”. The Department requires that subrecipients send updates to this document on a monthly basis.

Applicable Procedure

Subrecipients should submit a program management plan to the appropriate program manager for the FTA funding program containing the project they intend to construct, prior to the start of Preliminary Engineering (PE). Reports should be submitted on a monthly basis.

4.0 OTHER PROVISIONS

4.1. Drug and Alcohol Testing

Requirements

GDOT has a zero tolerance drug and alcohol testing policy and requires each subrecipient to have the same. GDOT provides a template for subrecipients to use when drafting and approving their policies. Grantees for the 5307, 5309, and 5311 are responsible for having the drug and alcohol testing program in place.

Grantees must establish programs designed to prevent accidents and injuries resulting from misuse of alcohol or the use of prohibited drugs by employees who perform safety sensitive functions either directly or under contract. Two regulations have been published: one for drugs and one for alcohol, which contain the details of the program requirements. Each regulation

1 OP 20 Project Management Plan Review Rev. 2, May 2010
requires that FTA recipients follow the drug and alcohol-testing procedures found in the USDOT regulation. Annual MIS* (Management Information System) reports are required.

*Annual reports that must be submitted to FTA to comply with the Drug and Alcohol Program. They are submitted either on an electronic version or hardcopy format and the report is known as a “data collections form.”

Applicable Procedures

Subrecipients must submit annual Drug and Alcohol reports on safety sensitive employees and contractors covered by FTA regulations. Reports must be submitted to the Transit Planner or Public Transportation Coordinator each year by January.

4.2. Drug-Free Workplace

Georgia’s Drug-Free Workplace Act is located in the Georgia State Codes 50-42-1 to 50-24-6. The code includes requiring contractors and subcontractors to enforce a drug-free workplace, as well as notify employees.

Grantees are required to maintain a drug-free workplace for all employees and to have an anti-drug policy and awareness program. This includes, among other things, a written policy statement, notification to all employees of the program, and an ongoing awareness program.

4.3. Safety and Security

GDOT Division of Intermodal procedures for Section 5307 and 5311 programs are defined in the individual program manuals.

4.4. ITS Architecture

The stakeholders of Georgia, led by the Georgia Department of Transportation (GDOT), created the Georgia Regional Intelligent Transportation Systems (GRITS) Architecture in February 2005 to provide a roadmap for intelligent transportation systems (ITS) in the state. The goals of the GRITS Architecture include:

1. Create a view of all existing and planned ITS deployments in the state.
2. Provide a framework to incorporate new ITS projects with existing systems.
3. Incorporate National ITS standards for interoperability, interchangeability and expandability.
4. Coordinate ITS architectures throughout the state and across state borders.
5. Create partnerships between ITS stakeholders.

The GRITS Architecture is a comprehensive document that provides statewide ITS standardization. The GRITS Architecture uses the service areas identified in the National ITS Architecture to describe the planned operation of ITS in Georgia.

The GRITS Architecture was developed using Version 5.0 of the National ITS Architecture. The GRITS Architecture database may be accessed and manipulated by Turbo Architecture Version 3.0, a software program provided by the US DOT.
Since the GRITS Architecture was completed, many changes have occurred, including:

1. The National ITS Architecture has been updated from Version 5.0 to 6.0.
2. Turbo Architecture has been updated from Version 3.0 to 4.0 to support Version 6.0 of the National ITS Architecture.
3. The status of some projects in the 2005 GRITS Architecture has changed.
4. New projects may be planned that have not been added to the architecture.

GDOT determined that enough time had passed since the original development of the architecture to justify a complete update. The update process began in September 2008, and was completed in February 2009.

The update of the GRITS Architecture was completed in three steps.

1. The existing GRITS Architecture database was converted to Version 6.0 of the National ITS Architecture.
2. The stakeholders were invited to participate in workshops to modify and add to the architecture. The changes made during these steps are documented in the current version of the GRITS Architecture database.
3. All identified projects were completely updated within the architecture database.

The document is titled Georgia Regional Intelligent Transportation Systems Architecture, 2009 Update. The document number is NAV01-186 and can be found at the website address www.511ga.org.

4.5. ARRA

ARRA funded projects are subject to the same requirements as other FTA funded programs. Reporting requirements differ slightly, and include ARRA-specific reporting requirements which include:

- Section 1512 Reports: GDOT is required to submit one Section 1512 report for each open grant by the 10th day after the end of each calendar quarter.
- Section 1201 Reporting: Section 1201 reports include cumulative data on funds committed, funds expended and contracts that have been put to bid, are awarded, or are underway or completed, as well as jobs created or retained.
- Section 1589 Reporting: Section 1589 reports include monthly employment data for ARRA funded activities.

Procedures

- Section 1512 Reports are completed by the Department
- Section 1201 reports are completed by the Division of Intermodal
- Section 1589 reports are completed by subrecipients and submitted to the Division of Intermodal for processing.

5.0 Maintenance Plan

The maintenance will be for all FTA funded projects.

6.0 EXHIBITS

The following exhibits are included below.
Exhibit 1: Standard Definitions

Administrative Amendment: A minor change in a Grant Agreement normally initiated by FTA to modify or clarify certain terms, conditions, or provisions of a grant.

Americans with Disabilities Act (ADA): The Americans with Disabilities Act of 1990 prohibits discrimination and ensures equal opportunity and access for persons with disabilities.

Applicant: An agency applying for Section 5309 Federal Assistance. See also new applicant and recurring applicant.

Authorizing Federal and State Legislation: Legislation authorizing the Section 5307 program are: Transportation Equity Act for the 21st Century (TEA-21); 49 U.S.C. Section 5307; FTA Circular 9030.1C; Georgia Statutes; and the Georgia Administrative Code.

Budget Amendment: Any change within the scope that has impact on budget allocations and results in an amendment of the original grant. This is a procedure for requesting supplemental funds to cover unanticipated expenses related to a contract, usually for operating assistance.

Budget Revision: Any change within the scope that has impact on budget allocations of the original grant. A budget revision may be a transfer of funds within a project scope or between existing activity line items (ALIs) within an approved grant. It could also include the addition or deletion of an ALI.

Bus Rapid Transit (BRT): A series of coordinated improvements in a transit system's infrastructure, equipment, operations, and technology that give preferential treatment to buses on urban roadways. The intention of BRT is to reduce bus travel time, improve service reliability, increase the convenience to users, and increase transit ridership.

Capital Asset: Facilities or equipment with a useful life of at least one year, which are eligible for capital assistance.

Capital Investment Project: A project eligible under 49 U.S.C. 5309, including new fixed guideway systems and extensions to existing fixed guideways; fixed guideway modernization; replacement, rehabilitation and purchase of buses and related equipment and the construction of bus-related facilities; and corridor improvements.

Capital Lease: Any transaction whereby the recipient acquires the right to use a capital asset without obtaining ownership.

Categorical Exclusion (CE): A category of actions which do not individually or cumulatively have a significant effect on the human environment and which have been found to have no such effect in procedures adopted by a Federal agency in implementation of these regulations (Sec. 1507.3) and for which, therefore, neither an environmental assessment nor an environmental impact statement is required.

Clean Diesel Bus: A passenger bus with a diesel engine certified to meet the Environmental Protection Agency’s (EPA’s) heavy-duty engine emissions standards for model years 2007 and later.
**Clean Fuel Bus:** A passenger bus used to provide public transportation that is powered by compressed natural gas (CNG), liquefied natural gas, biodiesel fuels, batteries, alcohol-based fuels, hybrid electric, fuel cell, clean diesel (to the extent allowed under 49 U.S.C. 5308), or other low or zero emissions technology that the Administrator of EPA has certified sufficiently reduces harmful emissions.


**Congestion Mitigation and Air Quality (CMAQ):** A federal program to provide federal funding for transportation projects to improve air quality and reduce traffic congestion in counties classified as air quality non-attainment and maintenance areas for the federal criteria pollutant ozone.

**Contract:** A legally binding agreement between the Department of Transportation and a local sponsor of a transportation project, defining a project and the Department’s participation. Contracts are typically established for one year but may be for multiple years at the discretion of the Department.

**Department of Labor (DOL):** The administrative agency of the federal government that enforces and administers laws and regulations affecting employees at work.

**Designated Recipient:** For the Clean Fuels Grant Program, a designated recipient as defined in 5307(a)(2) for an urbanized area over 200,000 in population, and a State for an urbanized area with a population of less than 200,000, for an area that is designated as a nonattainment area for ozone or carbon monoxide under Section 107(d) of the Clean Air Act (CAA) (42 U.S.C. 7407(d)); or is a maintenance area for ozone or carbon monoxide (49 U.S.C. 5308(a)(4)). All designated recipients are public entities.

**Direct Recipient:** Any entity that directly receives funds from FTA.

**Discretionary Funding:** Grant funds distributed at the discretion of the agency as distinct from formula funding.

**Disadvantaged Business Enterprise (DBE):** A for-profit small business concern that is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.

**Drug and Alcohol (D&A):** FTA policy on Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations.

**ECHO Control Number (ECN):** A control number assigned and used by FTA for submission of data.

**Elderly Persons And Persons With Disabilities:** Those individuals who by reason of illness, injury, age, congenital malfunction, or other permanent or temporary incapacity or disability, including persons using wheelchairs and those with semi-ambulatory capabilities, are unable, without special facilities or special planning or design, to utilize mass transportation facilities and services as effectively as persons who are not so affected.

**Electronic Clearing House Operation (ECHO):** A personal computer (PC) based application that processes draw down requests from and makes payments to FTA and FAA grantees.
Eligible Applicant: For capital investment grants, eligible applicants are States or local governmental authorities, including municipalities and other political subdivisions of a State; Indian tribes; public agencies and instrumentalities of one or more States; and certain public corporations, boards, and commissions established under State law.

Equal Employment Opportunity (EEO): The Federal Transit Laws, 49 U.S.C. 5332(b), provide that "no person in the United States shall on the grounds of race, color, religion, national origin, sex, or age be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any project, program or activity funded in whole or in part through financial assistance under this Act." This applies to employment and business opportunities and is considered to be in addition to the provisions of Title VI of the Civil Rights Act of 1964.

Equipment: An article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost which equals or exceeds the lesser of the capitalization level established by the governmental unit for financial statement purposes, or $5,000. This includes rolling stock and all other such property used in the provision of public transit service.

Expanded Service: Adding a new service to an already existing system.

Facilities: All or any portion of a building or structure including roads, walkways, and parking lots.

Feeder Service: The coordination of rural connections between small transit operations and intercity bus carriers may include the provision of service that acts as a feeder to intercity bus service, and which makes meaningful connections with scheduled intercity bus service to more distant points. The feeder service is not required to have the same characteristics as the intercity service with which it connects, as defined in defined in paragraph 7, above. For example, feeder service may be demand-responsive, while intercity service is by definition fixed route. Examples of eligible costs include marketing and extended hours of service in order to connect with scheduled intercity service. Where feasible, intercity bus feeder service may also provide access to intercity connections with rail or air service. Rural transit providers operating feeder service with destinations across State lines are required to comply with the Federal Motor Carrier Safety Administration (FMCSA) regulations. Intrastate feeder service may also trigger compliance with FMCSA regulations if inter-lining is involved (issuing a single ticket for the feeder service and the trip provided by an interstate carrier) Section 5311(f) funds may be used for expenses incurred by a public transit operator as a result of FMCSA requirements triggered by the provision of feeder services.

Federal Highway Administration (FHWA): An agency of the U.S. Department of Transportation, FHWA carries out the Federal highway programs in partnership with the State and local agencies to meet the Nation's transportation needs.

Federal Transit Administration (FTA): An operating administration of the U.S. Department of Transportation, the FTA provides stewardship of combined formula and discretionary programs totaling more than $10B to support a variety of locally planned, constructed, and operated public transportation systems throughout the United States.

Federally Recognized Indian Tribal Government: The governing body or a governmental agency of any Indian tribe, band, nation or other organized group or community certified by the Secretary of the Interior as eligible for the special programs and service provided through the Bureau of Indian Affairs.

Financial and Accounting System (FAS): A legacy application, the FAS system tracks contracts, invoices and other administrative actions required by Federal and State clients.
Financial Capability: This refers to the stability and reliability of revenue sources needed to meet future annual capital and operating and maintenance costs.

Financial Capacity Assessment (FCA): FTA’s determination of financial capacity of grantees as required under 49 U.S.C. 5309 (including major capital projects costing $1 billion and above) and in reviewing Transportation Improvement Plans (TIPs).

Financial Condition: This includes historical trends and current experience in the financial ability of the grantee to operate and maintain its transit system at present levels of service.

Financial Management Oversight (FMO): FTA’s oversight program consisting of Full Scope Financial Management System Reviews, Follow-up Reviews, Indirect Cost Allocation Plan Reviews to assess grantee financial management of federal grant funds.

Finding of No Significant Impact (FONSI): A document that is issued when environmental analysis (EA) and interagency review during the EA process find a project to have no significant impacts on the quality of the environment. The FONSI document is the EA modified to reflect all applicable comments and responses.

Fixed Asset: All tangible, nonexpendable, personal property that has a useful life of more than one year and an acquisition cost that exceeds $1,000 per unit. Includes rolling stock and all other such property used in the provision of public transit service. While FTA allows a $5,000 threshold for Fixed Assets, in order to better control GDOT’s resources and maximize the items eligible as grant funded capital assets, GDOT has elected to use a $1,000 threshold.

Fixed Guideway: Any transit service that uses and occupies a separate right-of-way or rails for the exclusive use of public transportation and other high occupancy vehicles, or uses a fixed catenary system and a right-of-way usable by other forms of transportation. The term includes, but is not limited to, heavy rail, commuter rail, rapid rail, light rail, trolleybus, streetcars, aerial tramway, inclined plane, cable car, automated guideway transit, ferryboats, that portion of motor bus service operated on exclusive or controlled rights-of-way, and high-occupancy vehicle (HOV) lanes.

Fixed-Route System: Public transportation service provided in vehicles operated along predetermined routes according to a fixed schedule.

Formula Funding: Grant funding allocated using factors that are specified in the law, or in an administrative formula developed by FTA.

Full Funding Grant Agreement (FFGA): A document that defines the scope of a project, the Federal financial contribution, and other terms and conditions for funding a New Starts project as required by 49 U.S.C. 5309(d)(1) and (g)(2).

GDOT Control Number: Number assigned by the District once a vehicle has been purchased, received and titled to the recipient with the Department of Transportation as the first lien holder.

Government Accountability Office (GAO): An independent, nonpartisan agency that works for Congress. Often called the "congressional watchdog," GAO investigates how the federal government spends taxpayer dollars.

Grant: An award of financial assistance, including Cooperative Agreements, in the form of money, or property in lieu of money, by the Federal Government to an eligible grantee or recipient. Used interchangeably with Grant Agreement.

Grant Amendment: The modification of a grant that includes a change in scope and/or change in Federal funds.
Grant Scope: The broad purpose or objectives of a grant. The scope of a grant may encompass one or more specific projects identified by scope codes in each grant project budget.

Grantee: An entity to which a grant is awarded directly by FTA to support a specific project in which FTA does not take an active role or retain substantial control, as set forth in 31 U.S.C. 6304. In this circular FTA uses the term —grantee‖ interchangeably with grant recipient and recipient.

Incurred: Commitment or obligation to spend funds for goods to be received or services to be rendered.

Intelligent Transportation Systems (ITS): ITS refers to the use of electronics, communications, or information processing used as a single component or in combination to improve efficiency or safety of a transit or highway system.

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


Local Governmental Authority: Includes (A) a political subdivision of a State; (B) an authority of at least one State or political subdivision of a State; (C) an Indian tribe; or (D) a public corporation, board, or commission established under the laws of a State.

Local Match: Can be a cash match, human services transportation contract or in-kind. Income from contract to provide human service transportation may be used either to reduce the net project cost or to provide local match.

Local Sponsor: A county, city or vendor/consultant sponsoring the contract with local match requirements. The Federal match for planning and/or capital assistance under Section 5307 is 80% of the net project cost. The Federal match for operating assistance will not exceed 50% of the net project deficit.

Maintenance Area: Any geographic region of the United States that EPA previously designated as a nonattainment area for one or more pollutants pursuant to the Clean Air Act (CAA) Amendments of 1990, and subsequently redesignated as an attainment area subject to the requirement to develop a maintenance plan under Section 175A of the CAA, as amended (42 U.S.C. 7401 et seq).

Master Agreement: The official FTA document containing FTA and other crosscutting Federal requirements applicable to the FTA recipient and its project. The Master Agreement is typically revised annually in October. The Master Agreement is incorporated by reference and made part of each FTA grant, Cooperative Agreement, and amendment thereto.

Metropolitan Planning Area (MPA): The geographic area determined by agreement between the Metropolitan Planning Organization (MPO) for the metropolitan area and the Governor, for which the metropolitan transportation planning process is carried out.

Metropolitan Planning Organization (MPO): Regional planning entity responsible for transportation planning and approval of federal transportation funding for the region.
**National Ambient Air Quality Standard (NAAQS):** Those standards established pursuant to Section 109 of the Clean Air Act (42 U.S.C. 7401 et seq).

**National Environmental Policy Act (NEPA):** A regulation requiring federal agencies to integrate environmental values into their decision making processes by considering the environmental impacts of their proposed actions and reasonable alternatives to those actions.

**New Fixed Guideway Capital Project:** A capital project for a new fixed guideway system or extension to an existing fixed guideway system.

**New Applicant:** An applicant for Section 5307 assistance that has not received an award in the last two fiscal years.

**New Start:** A new fixed guideway capital project for which the Federal assistance provided or to be provided under Section 5309 is $75 million or more, or that has a total project cost of $250 million or more, both in year of expenditure dollars.

**New Service:** A first time applicant starting a new service.

**Non-Ambulatory:** A person who has a mobility impairment that prevents them from being able to walk or move about freely.

**Non-profit Organization:** A corporation or association determined by the Secretary of the Treasury to be an organization described by 26 U.S.C. 501(c) which is exempt from taxation under 26 U.S.C. 501(a); or one which has been determined under State law to be non-profit and for which the designated State agency has received documentation certifying the status of the non-profit organization.

**Non-Urbanized Area:** The area outside of an urbanized area. An urbanized area is defined as a core area and the surrounding densely populated area with a population of 50,000 or more, with boundaries fixed by the United States Census Bureau or extended by State and local officials. For the purpose of Section 5307, the term non-urbanized area includes rural areas and urban areas under 50,000 in population not included in an urbanized area. (See also Urbanized Area)

**Office of Inspector General (OIG):** An investigative agency reporting to the Secretary and to Congress, established to protect the integrity of Department of Health and Human Services (HHS) programs, as well as the health and welfare of the beneficiaries of those programs.

**Office of the Secretary of Transportation (OST):** Part of the U.S. Department of Transportation, OST oversees the formulation of national transportation policy and promotes intermodal transportation.

**One-Way Passenger Trips (OWPT):** The movement of a person or a vehicle from a point of origin to a destination. The return trip is considered a second one-way trip. Together, these two one-way trips comprise one round trip.

**Oversight Tracking System (OTRAK):** The official record system for FTA's oversight program. OTRAK is designed to assist in planning, tracking and monitoring the follow-up activities for Post-Award reviews on FTA recipients.

**Piggyback Procurement:** Piggyback procurement occurs when one entity assigns contracted purchasing rights to another entity under an assignability clause in the purchasing contract.

**Preventive Maintenance:** All maintenance costs related to vehicles and non-vehicles. Specifically, it is defined as all the activities, supplies, materials, labor, services, and associated costs required to preserve or extend the functionality and serviceability of the asset in a cost effective manner, up to and including the current state of the art for maintaining such an asset.
**Program of Projects (POP):** A list of projects to be funded in a grant application submitted to the Federal Transit Administration by the Georgia Department of Transportation. The program of projects lists the subrecipients and indicates whether they are private non-profit agencies, public bodies, or private providers of transportation service, designates the areas served (including Congressional Districts), and identifies any tribal entities. The program of projects also identifies intercity and TIP projects. In addition, the program of projects includes a brief description of the projects, total project cost and the Federal share for each project, and the amount of funds used for program administration from the fifteen percent (15%) allowed. The program of projects shall indicate whether the employees of a subrecipient are represented by a union and if so by which union.

**Project:** For the purposes of the FTA program, public transportation improvement activities funded under an executed grant.

**Project Construction Grant Agreement (PCGA):** An instrument that defines the scope of a project, the Federal financial contribution, and other terms and conditions for funding Small Starts projects as required by 49 U.S.C. 5309(e)(7).

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

**Public Transportation:** A surface transportation by a conveyance that provides regular and continuing general or special transportation to the public, but does not include school bus, charter, or intercity bus transportation or intercity passenger rail transportation provided by AMTRAK. The terms transit, mass transportation and public transportation are used interchangeably in transit law.

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

**Recipient:** As used in this circular, recipient includes any entity that receives funds from FTA, whether as a designated recipient, eligible applicant, or subrecipient.

**Recurring Applicant:** An applicant for Federal Assistance who applies every year.

**Small Start:** A capital project that either (a) meets the definition of a fixed guideway for at least 50 percent of the project length in the peak period or (b) is a corridor-based bus project with 10 minute peak/15 minute off-peak headways or better while operating at least 14 hours per weekday, which has at least three of the following four elements: substantial transit stations; traffic signal priority/pre-emption, to the extent, if any, that there are traffic signals on the corridor; low-floor vehicles or level boarding; and branding of the proposed service. The Federal assistance provided or to be provided under Section 5309 must be less than $75 million and the project must have a total capital cost of less than $250 million, both in year of expenditure dollars.

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

**TEAM-Web:** Web-based application used to apply for, administer, and manage FTA grants most commonly referred to as —TEAM. TEAM stands for Transportation Electronic Award and Management (TEAM) system.
**Urbanized Area:** A core area and the surrounding densely populated area with a population of 50,000 or more, with boundaries fixed by the Census Bureau.

**Useful Life:** The expected lifetime of project property, or the acceptable period of use in service. Useful life of revenue rolling stock begins on the date the vehicle is placed in revenue service and continues until it is removed from service.

**Very Small Start:** Means a Small Starts project in a corridor with at least 3,000 average weekday existing riders benefiting from the proposed project that has a total capital cost of less than $50 million, and a capital cost per mile of less than $3 million, exclusive of rolling stock costs.

**Exhibit 2: Forms, Templates and Checklists**

GDOT maintains a wide range of forms, templates and checklists that are used for the day-to-day management processes of the grant programs. In an effort to reduce paperwork in the program manuals, GDOT has consolidated the forms, templates and checklists common to multiple grant programs.

Necessary forms, checklists and attachments appear in bold text throughout the manuals and SMP. Applicability is signified by a “Y” in the column under each program number. To allow for discretion in program management, GDOT may request certain forms that are not marked with a “Y” on a case-by-case basis. The forms are ordered alphabetically by phase.

**Planning Phase**

<table>
<thead>
<tr>
<th>Name</th>
<th>5303</th>
<th>5307</th>
<th>5309</th>
<th>5311</th>
<th>5316/17</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coordinated Certification Checklist</td>
<td></td>
<td></td>
<td></td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Environmental Review</td>
<td></td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Georgia Environmental Policy Act (Chapter XI Local Government Responsibilities)</td>
<td></td>
<td></td>
<td></td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>NEPA Requirements</td>
<td></td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Notice of Opportunity for a Public Hearing Private Enterprise Coordination Rural Public Transportation Program</td>
<td></td>
<td></td>
<td></td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Private Enterprise Coordination Certificate</td>
<td></td>
<td></td>
<td></td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Private Enterprise Coordination Requirements</td>
<td></td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Public Hearing Requirements</td>
<td></td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Transcript for Public Hearing</td>
<td></td>
<td></td>
<td></td>
<td>Y</td>
<td>Y</td>
</tr>
</tbody>
</table>
### Pre-Award Phase

<table>
<thead>
<tr>
<th>Name</th>
<th>5303</th>
<th>5307</th>
<th>5309</th>
<th>5311</th>
<th>5316/17</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certification of Equal Access for Persons with Disabilities</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Certifications and Assurances of the Subrecipient Form</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Conflict of Interest Form</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Information Confirming Capital Funding</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>Labor Union Descriptions</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Implementation Schedule</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>Sample Authorizing Resolution for Filing of the 5316 or 5317 Application</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Sample Capital Project Budget Form</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>Sample Operating Budget Form</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>Sample Opinion of Counsel</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>Sample Section 5307 Program of Projects</td>
<td>Y</td>
<td>Y</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sample Section 5311 Program of Projects</td>
<td>Y</td>
<td>Y</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>STIP Date of Approval by GDOT Transportation Board</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>TEAM Application Checklist</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Title VI Data Collection and Reporting</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Title VI Resources and Technical Assistance Products for Subrecipients</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
</tbody>
</table>
## Post-Award Phase

<table>
<thead>
<tr>
<th>Name</th>
<th>5303</th>
<th>5307</th>
<th>5309</th>
<th>5311</th>
<th>5316/17</th>
</tr>
</thead>
<tbody>
<tr>
<td>Abbreviated Compliance Monitoring Review</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Checklist</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Anti-Drug Program Certification</td>
<td></td>
<td>Y</td>
<td>Y</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capital Item Milestones Quarterly Report</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Certification of No Intent of Charter Service</td>
<td></td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td></td>
</tr>
<tr>
<td>Checklist for Vehicle Turn-in</td>
<td></td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Name</td>
<td>5303</td>
<td>5307</td>
<td>5309</td>
<td>5311</td>
<td>5316/17</td>
</tr>
<tr>
<td>-----------------------------------------------------------</td>
<td>------</td>
<td>------</td>
<td>------</td>
<td>------</td>
<td>---------</td>
</tr>
<tr>
<td>Example of Budget Amendment</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Example of Line Item Budget Revision</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>GDOT Compliance Review Areas</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Form 1625 Sample</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>FTA Charter Exceptions Quarterly Reporting</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>FTA Discriminatory Complaint Form</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Georgia Department of Transportation Section 5311 POS Computation Worksheet</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Physical Facilities Certification</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>POS Computation Examples</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Post Delivery Audit</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Post-Delivery Capital Purchase Certification Form</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Pre-Award and Post-Delivery Review/Buy America Checklist (Bus)</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Pre-Award Vehicle Purchase Certification Form</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Preventive Maintenance Annual Report for Equipment Sample</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Project Financing Local Share Commitments</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Purchase Orders Release Checklist</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Reimbursements for Federal and State Funding</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Risk Assessment Questionnaire</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Sample Capital Assistance Reimbursement Request</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Sample DBE Policy Statement</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Sample Final NTD Reimbursement Closeout Letter</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Sample Final Reimbursement Closeout Invoice</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Sample Final Reimbursement Closeout Letter</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Name</td>
<td>5303</td>
<td>5307</td>
<td>5309</td>
<td>5311</td>
<td>5316/17</td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
<td>------</td>
<td>------</td>
<td>------</td>
<td>------</td>
<td>---------</td>
</tr>
<tr>
<td>Sample Letter - Reimbursements for Federal and State Funding</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Sample Monthly Financial Reporting Form</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Sample Operating Assistance Expense Form</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Sample Operating Assistance Reimbursement Form</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Sample Property Transfer</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Sole-source, Single-Bid and Brand Name Procurement Certification</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Solicitation Review Checklist</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Title VI Compliance Checklist</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Title VI Compliance Questionnaire</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Title VI Self Survey</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Vehicle Inspection Form</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Vehicle Inventory Form</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Vehicle Maintenance and Repairs Report</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
<td>Y</td>
</tr>
<tr>
<td>Vehicle Procurement Checklist: For Use with State-Wide or GDOT-Wide Contracts</td>
<td>Y</td>
<td>Y</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Internal Forms**

<table>
<thead>
<tr>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Internal Control Self-Assessment Form</td>
</tr>
<tr>
<td>SF 425: Federal Financial Reporting Form</td>
</tr>
</tbody>
</table>
7.0 APPENDIXES

Appendix A: Section 5307 – Urbanized Area Formula Program Guide
Appendix B: Section 5311 – Rural Area Formula Program Guide
Appendix C: Section 5303 Program Guide
Appendix D: Section 5309 Program Guide
Table of Contents

1.0  INTRODUCTION ................................................................. 3
  1.1.  Purpose of the Procedure Guide ........................................ 3
  1.2.  Overview of Related Documents ...................................... 4
2.0  5303 PROGRAM OVERVIEW ............................................. 4
  2.1.  Program Goals and Objectives ........................................ 4
        2.1.1.  Purpose of Planning ................................................ 4
  2.2.  Roles and Responsibilities ............................................... 5
        2.2.1.  GDOT Division of Intermodal ................................. 5
        2.2.2.  Metropolitan Planning Organizations (MPOs) ....... 5
        2.2.3.  Transportation Management Areas (TMAs) ............ 5
  2.3.  Eligibility ........................................................................ 6
        2.3.1.  Eligible Recipients ............................................... 6
        2.3.2.  Eligible Projects .................................................... 6
  2.4.  Local Share and Funding Requirements ........................... 6
        2.4.1.  Local Match Requirement ...................................... 6
        2.4.2.  Distribution of Funds ............................................. 6
3.0  PRE-AWARD REQUIREMENTS AND PROCEDURES .................. 7
  3.1.  Planning Requirements .................................................... 7
        3.1.1.  Unified Planning Work Program Requirements ........... 7
        3.1.2.  Transportation Improvement Program Requirements .... 8
        3.1.3.  Long Range Plan Requirements ............................... 9
        3.1.4.  Eight Transportation Planning Factors ..................... 10
        3.1.5.  Public Involvement Plan Requirements .................. 11
  3.2.  Application ....................................................................... 16
        3.2.1.  Notice of Funding Availability .............................. 17
        3.2.2.  Call for Projects ............................................... 17
        3.2.3.  Application Package ........................................... 17
        3.2.4.  Submittal of Applications to FTA ......................... 18
4.0  AWARD, POST-AWARD, AND CLOSEOUT ......................... 18
5.0  FORMS, CHECKLISTS & TEMPLATES .................................. 19
6.0  Additional Planning Guidance ............................................. 19
  6.1  Corridor or Sub-Area Planning Study ................................. 19

GDOT 5303 Procedures Guide
1.0 INTRODUCTION
The Section 5303 Metropolitan Planning Program (MPP) provides funding to support urban areas in planning, developing, and improving public transportation systems. MPP funds are available to carry out the metropolitan transportation planning process and meet the transportation planning requirements of the joint Federal Transit Administration (FTA) and Federal Highway Administration (FHWA) planning regulations codified under U.S Code Title 49 Sections 5303 and 5305.

1.1. Purpose of the Procedure Guide
This procedure manual summarizes information relative to the Section 5303 MPP, including grant application requirements, forms, exhibits and certifications & assurances, program management requirements and forms, and other resources to enable applicants to request Federal Assistance under the program. The full cycle of pre-award, award, post-award and award closeout requirements of the FTA grants management process are covered.
This procedure manual establishes directives applicable to the application, approval, and use of the MPP Section 5303 Grants and Unified Planning Work Programs.
The purpose of this procedure manual is:
- To provide detailed guidelines to GDOT staff and MPOs about the Section 5303 MPP.
- To assist GDOT staff and MPOs in completing detailed, quality applications and maximize the probability of funding.
- To describe specific roles and responsibilities throughout the grant administration process and maximize the success of grant-funded projects.
• To provide staff with guidance on how to manage Section 5303 grants, particularly sub-recipient oversight.

1.2. Overview of Related Documents
This guide replaces two prior documents used to manage the Section 5303 program, including the prior Program Management Manual and Administrative Guide. This manual works in conjunction with the new GDOT State Management Plan (SMP) to provide an overview of state policies and procedures for the Section 5303.

2.0 5303 PROGRAM OVERVIEW
In general, MPP grants are available to assist Metropolitan Planning Organizations (MPOs) with:

• Preparing transportation plans and programs.
• Planning, engineering, designing, and evaluating a public transportation project.
• Conducting technical studies related to public transportation.

NOTE: Refer to FTA Circular 8100.1C for additional information regarding use of funds.

2.1. Program Goals and Objectives
It is in the national interest to encourage and promote the development of efficient transportation systems. These systems should encompass various modes of transportation such that the mobility of people and goods within and through urbanized areas is maximized, while minimizing transportation-related fuel consumption and air pollution.

To accomplish this objective, MPOs in cooperation with the State, must develop transportation plans and programs for urbanized areas in the State that provide for the development of all transportation facilities, including bikeways and walkways that will function as an intermodal transportation system for the State, the Metropolitan Areas and the Nation. The process for developing such plans and programs should be a continuing, cooperative and comprehensive effort and provide for all modes of transportation.

2.1.1. Purpose of Planning
The purpose of transit planning is to explore and develop solutions to transportation problems that have been identified. It has been determined that significant transit improvements are necessary to achieve national goals for improved air quality, energy conservation, international competitiveness, mobility for elderly persons, persons with disabilities, and economically disadvantaged persons in rural and urban areas. Metropolitan plans and programs should result in the development of transportation facilities which will function as an intermodal transportation system for the State, the metropolitan areas and the Nation. Short range planning which spans a one (1) to three (3) year time frame should encompass a majority of the planning effort in small and medium sized urbanized areas. Long range planning covers a minimum period of 20 years. In developing a transit planning program, nine (9) factors should be considered:

1. Local goals and issues;
2. Area characteristics - population, economics, land use, etc.;
3. Transportation system characteristics - physical and operating conditions of the system, coordination and coverage, user travel trends, etc.;
4. Consideration of a range of realistic transportation solutions;
5. Constraints on planning:
6. General - limitations due to manpower, computer facilities, available technical tools and financial resources;
7. Administrative and legal requirements; and
8. External effects - the impact of the planning work on action plans in effect should be considered.
9. Existing planning process - the allocations of resources should be consistent with the established planning capabilities and programs in the area.

To be effective, planning must be oriented to specific issues rather than to broad generalities. This can only be done in a dynamic process that is responsive to changing conditions, policies and local attitudes or to unforeseen circumstances.

The goal of the urban transportation process should be to ensure that decision makers are made aware of the results and consequences of transportation options. The options explored deal with issues of transit capital programs, transit operations, management and financing.

2.2. Roles and Responsibilities
The SMP spells out the general roles and responsibilities of GDOT and its sub-recipients in carrying out FTA grant programs. FTA Circular C8100.1c provides specific definitions regarding the roles and responsibilities of states and MPOs in administration of the Section 5303 program. The following organizations are responsible for fulfilling these roles in the State of Georgia.

2.2.1. GDOT Division of Intermodal
Under the planning provisions of the Safe, Accountable, Flexible, Efficient Transportation Equity Act, A Legacy for Users (MAP-21), the State is the Designated Recipient (DR) and is the only entity eligible to apply for and receive MPP assistance directly from FTA. The GDOT Division of Intermodal is responsible for administering FTA’s MPP in the State of Georgia.

2.2.2. Metropolitan Planning Organizations (MPOs)
The urbanized areas in Georgia eligible for assistance under Section 5303 include Albany, Athens, Atlanta, Augusta, Brunswick, Cartersville, Columbus, Dalton, Gainesville, Hinesville, Macon, Rome, Savannah, Valdosta and Warner Robins. This is in accordance with the joint FTA/Federal Highway Administration (FHWA) Statewide and Metropolitan Transportation Planning Final Rule published on February 14, 2007, and with the urban transportation study planning process as administered by the GDOT.

2.2.3. Transportation Management Areas (TMAs)
All urbanized areas more than 200,000 populations have been designated as Transportation Management Areas. Atlanta, Augusta, Columbus and Savannah are the only areas designated as TMAs in Georgia. Atlanta is the only TMA in Georgia that has been designated as a nonattainment area for transportation related pollutants under the Clean Air Act. Within a TMA, all transportation plans and programs should be based on a continuing and comprehensive transportation planning process implemented by the MPO in cooperation with the State and local transit agencies. The transportation planning process for TMAs should include a congestion management system that provides for effective management of new and existing transportation facilities eligible for funding under Title 49 U.S.C. through the use of travel demand reduction and operational management strategies.
For TMAs classified as nonattainment for ozone or carbon monoxide pursuant to the Clean Air Act, Federal funds may not be programmed in such an area for any highway project that will result in a significant increase in carrying capacity for single occupant vehicles unless the project is part of an approved congestion management system. Special requirements are imposed on all attainment and nonattainment TMAs regarding congestion management systems, project selection and certification. These are detailed in the joint FTA/FHWA Planning Regulations (October 28, 1993) and final Management System regulations issued on December 19, 1996.

2.3.  Eligibility

2.3.1. Eligible Recipients
Applicants for Section 5303 funds must be Metropolitan Planning Organizations.

2.3.2. Eligible Projects
MPP assistance is for balanced and comprehensive intermodal transportation planning and technical studies which relate to the movement of goods and people in metropolitan areas. Eligible work elements include but are not limited to:

- Studies related to management, operations, capital requirements, and economic feasibility of public transportation projects;
- Evaluation of previously funded projects;
- Improvements that enhance the usability and community-friendliness of transit system environments including improved pedestrian and bicycle access to the transit station;
- System analysis;
- TIP development;
- Short and long range transportation plan development;
- Major investment studies/NEPA requirements;
- Air Quality planning and conformity planning;
- Analysis of social, environmental and economic factors related to transportation and travel;
- Multimodal facilities planning;
- Public involvement planning;
- Joint development planning; and
- Computer hardware and software as needed for planning activities.

2.4.  Local Share and Funding Requirements

2.4.1. Local Match Requirement
Funding ratios for Section 5303 planning assistance is 80 percent Federal, plus a minimum of 10 percent State (from general revenue, taxes, legislative appropriation) and 10 percent local. However, State funding is subject to availability. If the Department cannot provide the match, it is the subrecipient’s responsibility to pay the State share percentage. Local match (state and local, combined) must be from sources other than U.S. Department of Transportation Federal funds.

2.4.2. Distribution of Funds
The 5303 program funds are apportioned annually by Congress and distributed primarily through the application process described herein. Depending on availability of additional funds, GDOT may also issue a call for projects.
3.0 PRE-AWARD REQUIREMENTS AND PROCEDURES
The purpose of this procedure is to provide guidance to Georgia Department of Transportation (GDOT) and the Metropolitan Planning Organizations (MPOs) in the pre-award stage of the grant management process of developing a grant application package. It outlines responsibilities for Federal Transit Administration (FTA), GDOT and the MPO and sets forth guidelines and describes the step-by-step process for all the components of the application package including:

- Step 1-Planning Requirements
- Step 2-Application Requirements
- Step 3-Budget Development and Review
- Step 4-Developing the Grant Application

3.1 Planning Requirements
Federal rules codified in 23 CFR Section 450 sets forth a national policy that the MPO designated for each urbanized area is to carry out the continuing, cooperative and comprehensive multimodal transportation planning process including the development of metropolitan transportation plan (also referred to as a long-range transportation plan) and a transportation improvement program (TIP). Furthermore, planning activities performed under the FTA Section 5303 program shall be documented in a Unified Planning Work Program (UPWP).

Because MPOs deal with both FHWA and FTA funded programs it is important to distinguish between the transit and highway elements funded under GDOT’s 5303 program. As part of completing these planning requirements, therefore, sub-recipients are required to specify the transit versus non-transit components of their planning work products. Requirements for these activities are listed below.

Requirements

3.1.1 Unified Planning Work Program Requirements
The UPWP describes urban transportation and transportation-related air quality planning activities to be undertaken during the next one or two year period regardless of funding sources or agencies conducting the work. These documents should not be merely a compilation of the various planning work programs focused on specific work elements or activities. The UPWPs should be developed in sufficient detail to indicate the objectives, the methodology, products, and agency responsibility for work projects.

The local UPWPs support the Statewide Section 5303 grant application and should describe the following for each work task:

Objective(s) of the work element or activity;
- Previous Work
- Methodology
- Products
- Staffing
- Financial Responsibility
- Functional Agency Responsibility

Annually, FTA reviews each of the UPWPs in Georgia which becomes the approved Metropolitan Work Program. FTA evaluates the following:
1. Planning activities should be programmed which support required actions emanating from a minimum twenty-year horizon long range transportation plan (the Plan) which conforms to Environmental Protection Agency air quality standards;

2. Description of each discrete task in simple narrative sentences. Note that not only “new” actions, but also “carry-over” actions listed in previous programming documents must be described, as each UPWP should be independent and comprehensive; new actions should be clearly line item and differentiated from carry-over actions.

3. Amount of FTA planning funds sought to support each planning action/task in the current FY; note that administrative costs including indirect overhead costs should be spread across tasks, and not listed as a separate task (though at the option of the author, you may indicate an overhead rate applicable across the board to all activities, then extend for the totals).

4. FTA Program (e.g. Section 5307, etc.) funds are unsatisfactory when a specific task to be funded from more than one source is mixed with another program. It is necessary to indicate FTA funding associated with each program source.

5. Cumulative amount of FTA funds previously drawn to support each task during past fiscal years (for multi-year tasks which produce specific deliverables); note that amounts should be identified in terms of the year of federal allocation and year of expenditure.

6. Product/Deliverables that will be derived from the planning effort (e.g. study, model, UPWP, TIP, etc);

7. Schedule indicating progress for multi-year tasks, including date when FTA can expect completion of the planning action/task; here, GDOT seeks a completion date rather than an expression of the duration of time expected for completion (e.g. “the study will be completed by April 30, 2012” rather than “the study will require six months to complete”).

8. Indication that FTA funds are being used efficiently for the programmed tasks rather than being banked.

9. Planning should be accomplished within the environment of robust public involvement in compliance with the MPO Public Involvement Program endorsed through the Planning Certification Review process.

10. Inclusion of tasks addressing FTA’s Eight Transportation Planning Factors (See section 3.1.4).

11. Any carryover activities from previous fiscal year grants should be explicitly identified in the UPWP. Normally, Section 5303 funds should be used to finance planning activities, however, planning activities to be funded under Title 49 U.S.C. Section 5307 should be included in the UPWP for purposes of coordination of transportation efforts in the area. Descriptive information should be in sufficient detail appropriate for the size and complexity of the urbanized area.

3.1.2. Transportation Improvement Program Requirements

The MPO, in cooperation with the State and the local transit operator, must develop a Transportation Improvement Program for the area. In developing the program, the MPO should provide citizens, affected public agencies, representatives of transportation agency employees, other affected employee representatives, private providers of transportation and other interested parties with a reasonable opportunity to comment on the proposed program.

The TIP should include a priority list of highway and transit projects to be carried out within at least a 4-year period after the initial adoption of the TIP. It should also have a financial plan demonstrating how the TIP can be implemented as well as a listing of reasonably expected funding sources.
For areas of less than 200,000 populations, multimodal project selection from the TIP involving Federal participation will be carried out by the State in cooperation with the MPO and must be coordinated and in conformance with the TIP for the area. For areas of more than 200,000 populations, project selection will be carried out by the MPO in consultation with the State. Transit projects proposed should be consistent with the Long Range Plan for the area. Projects are to be included only if full funding can be reasonably anticipated to be available within the time frame of project completion.

Transportation Improvement Programs should be financially constrained by year and include financial information to demonstrate which projects are to be implemented using current revenues and which projects are to be implemented using proposed revenue sources. It should contain all capital and non-capital transportation projects proposed for funding under Title 49 U.S.C. except transit planning grants under Section 5303 or 5313(b).

The TIP and Statewide Transportation Improvement Program (STIP) should contain all regionally significant transportation projects requiring action by the FTA. For information purposes, the document should include all regionally significant transportation projects proposed to be funded with Federal funds other than those administered by FHWA or FTA and if appropriate, projects to be funded with non-Federal funds.

Before approving the TIP, reasonable notice and opportunity to comment on the proposed program should be given to all interested and affected parties, including freight shippers and users of public transit. Programs properly adopted into the local TIP will be included in the STIP. Federal transportation funds may be expended only for projects that are listed in the STIP. Federal funds are made available for transit projects in other than urbanized areas under the Section 5311; Program for Elderly Persons and Persons with Disabilities under the Section 5310 Program. MPOs should include all Section 5310 and Section 5311 projects operating in the MPO affected area, which includes areas expected to be urbanized within twenty years, in the local TIP. Projects listed in the local TIP will be included in the STIP. Federal transportation funds may be used for Section 5311 and 5310 projects only if they are included in the STIP.

3.1.3. Long Range Plan Requirements
Each MPO must prepare a transportation plan addressing at a minimum, a 20-year period for its metropolitan area. The plan should include both short-range and long-range strategies/actions that lead to the development of an integrated intermodal transportation system that facilitates the efficient movement of people and goods. The plan must be updated at least every five years in attainment areas and every three years in nonattainment and maintenance areas. The Long Range Plan should contain four elements: 1) identification of transportation facilities, 2) financial plan, 3) assessment of capital investments and 4) proposed enhancements. These are outlined below:

1. Identification of Transportation Facilities - including but not limited to major roadways, transit, multimodal and intermodal facilities that should function as an integrated metropolitan transportation system giving emphasis to those facilities that serve important national and regional transportation functions. In formulating the long range plan, MPOs should consider the (4) broad areas as they relate to a 20-year forecast period.

2. Financial Plan - that demonstrates how the long-range plan can be implemented, indicates resources from public and private sources that are reasonably expected to be made available to carry out the plan, and recommends any innovative financing
techniques to finance needed projects and programs, including such techniques as value capture, tolls and congestion pricing.

3. Assessment of Capital Investment - to ensure the preservation of the existing metropolitan transportation system, including requirements for operational improvements, resurfacing, restoration, and rehabilitation of existing and future major roadways, as well as operations, maintenance, modernization and rehabilitation of existing and future transit facilities. This effort should also make the most efficient use of existing transportation facilities to relieve vehicular congestion and maximize the mobility of people and goods.

4. Enhancement Activities - indicate as appropriate, proposed transportation enhancement activities.

In addition to the above, the transportation plan should address the following:

1. Identify projected demand of persons and goods in the MPO area;
2. Identify adopted congestion management strategies that demonstrate a systematic approach in addressing current and future transportation demand;
3. Identify pedestrian walkway and bicycle facilities;
4. Reflect consideration given to the management systems;
5. Assess capital investment and other measures to preserve the existing transportation system;
6. Include design concept and scope descriptions of all existing and proposed transportation facilities in sufficient detail to develop cost estimates;
7. Conduct a multimodal evaluation of the transportation, socioeconomic, environmental, and financial impact of the overall plan;
8. Indicate that the design concept and scope of incomplete major investment analysis have not been fully determined and will require further analysis;
9. Reflect consideration of the area's comprehensive long-range land use plan and metropolitan plan objectives including State and National goals and strategies for housing, community development, employment linkage of low income households with employment opportunities and energy conservation;
10. Indicate, as appropriate, proposed transportation enhancement activities; and
11. A financial plan that demonstrates the consistency of proposed transportation investments with already available and projected sources of revenue.

In metropolitan areas that are designated as nonattainment areas under the Clean Air Act, the MPO will coordinate the development of the long range plan with the process for the development of the transportation control measures of the State Implementation Plan (SIP) required by the Clean Air Act.

Prior to plan approval, the MPO should provide citizens, affected public agencies, representatives of transportation agency employees, private providers and other interested parties a reasonable opportunity to comment on the long-range plan. Each long-range plan prepared by a MPO should be published or readily available for public review. It should also be submitted to the Governor for information.

3.1.4. Eight Transportation Planning Factors
The metropolitan transportation planning process shall be continuous, cooperative, and comprehensive and provide for consideration and implementation of projects, strategies, and services that will address the following factors:

1. Support the economic vitality of the metropolitan area, especially by enabling global competitiveness, productivity, and efficiency while promoting consistency among
transportation improvements and state and local planned growth and economic development patterns.
2. Increase the safety of the transportation system for motorized and non-motorized users.
3. Increase the security of the transportation system for motorized and non-motorized users.
4. Increase the accessibility and mobility of people and for freight.
5. Protect and enhance the environment, promote energy conservation, improve quality of life, and promote consistency between transportation improvements and State and local planned growth and economic development patterns.
6. Enhance the integration and connectivity of the transportation system, across and between modes, for people and freight.
7. Promote efficient system management and operation.
8. Emphasize the preservation of the existing transportation system.

3.1.5. Public Involvement Plan Requirements
MPOs shall develop a Participation Plan which (1) shall be developed in consultation with interested parties; (2) publish or make available for public view transportation plans, Statewide Transportation Improvement Programs (STIPs) and Transportation Improvement Programs (TIPs); and (3) Hold public meetings at convenient and accessible times and locations. Activities related to the formation and implementation of a public involvement effort, which may be undertaken as part of the planning process may include:

- Analysis of current MPO or state public involvement practices for their effectiveness in achieving the performance measures outlined in the planning regulations;
- Identification of innovative public involvement techniques and processes;
- Identification of the public: Who should be involved? How should they be involved?
- Who are the "traditionally under served by transportation" in the given metropolitan area or state, and how can agencies effectively reach out to these groups and get them involved and interested in the planning process?
- Creation of a task force or series of focus groups to address the formation and implementation of a public involvement process in your area; and,
- Implementation of the enhanced public involvement effort.

3.1.6. Unified Planning Work Program Procedures
Listed below are the procedures to be followed:

- The GDOT Transit Program Coordinator notifies eligible local entities of the availability of MPP Assistance via e-mail or formal letter.
- The Transit Program Coordinator works closely with MPOs to ensure transit components, projects, and plans are included in the UPWP.
- MPO Staff prepare a draft UPWP describing the objectives, methodology, products, and agency responsibilities for the specific projects. The Draft UPWP Format Template should be used.
- The UPWP should use narrative and funding terms to describe the various work elements or activities.
- The UPWP should identify any transportation planning activities in the region to be financed with assistance derived from other funding sources.
• The UPWP should clearly identify any incomplete work elements or activities financed with Federal planning assistance awarded in previous fiscal years as carryover activities, irrespective of the funding source.
• The UPWP describes urban transportation and transportation-related air quality planning activities to be undertaken during the next one or two year period regardless of funding sources or agencies conducting the work.
• The UPWP describes the following for each work task:
  o Objective(s) of the work element or activity
  o Previous Work
  o Methodology
  o Products/Deliverables
  o Staffing
  o Financial Responsibility
  o Functional Agency Responsibility
  o Funding distribution by source

• Planning activities to be funded under Section 5307 should be included in the UPWP for purposes of coordination of transportation efforts in the area.
• Once GDOT receives the UPWP and the Intermodal Program staff review the transit component, the GDOT Transit Program Coordinator contacts the MPO for any discrepancies.
• In conjunction with the UPWP development, MPO staff must develop and utilize a participation plan that provides reasonable opportunities for interested parties to comment on the metropolitan transportation plan and metropolitan Transportation Improvement Program (TIP).
  • This participation plan must be developed — in consultation with all interested parties, and the public must have input on the participation plan.
  • A participation plan must be in place prior to MPO adoption of transportation plans and TIPs for review and accuracy. (see next section of this manual for more information)
• The MPO Director reviews the draft UPWP and forwards to the GDOT Transit Program Coordinator.
• The Transit Program Coordinator reviews the draft UPWP for accuracy and completeness of all elements and includes the plan with the Section 5303 Program Application to be sent to FTA. Annually, FTA reviews each of the UPWPs in Georgia which becomes the approved set of Metropolitan Work Project Program. The GDOT Transit Program Coordinator determines how MPP assistance should be allocated to each MPO based on the formula developed with the MPOs and approval by FTA, to include:
  o Amount of FTA planning funds sought to support each planning action/task in the current Fiscal Year.
  o Administrative Costs should clearly separate direct and indirect costs across each task
  o FTA Program from which those funds will be drawn
  o FTA funding must be shown with each programmatic source
  o Cumulative amount of FTA funds previously drawn to support each task during past fiscal years (for multi-year tasks which produce specific deliverables)
  o Amounts should be identified in terms of the fiscal year of federal allocation and year of expenditure
- Product/Deliverable that will be derived from the planning effort (such as study, model, UPWP, or TIP)
- Schedule indicating progress for multi-year tasks, including date when FTA can expect completion of the planning action/task.
- MPO staff should indicate a completion date rather than an expression of the duration of time expected for completion (e.g. — the study will be completed by April 30, 2010 rather than — the study will require six months to complete)
- Indication that FTA funds are being used directly to complete the programmed tasks (rather than being banked).

- Description of planning efforts accomplished including public involvement in compliance with the MPO Public Involvement Program endorsed through the Planning Certification Review process.
- Inclusion of tasks addressing FTA’s eight transportation planning factors (see Section 3.1.4 above)
- The FTA will review the draft UPWPs and approve them individually or as part of the States consolidated request for MPP assistance. The GDOT Office of Planning interfaces with FTA and the MPOs on ensuring that the UPWP meets FTA requirements. Such a review will consider the UPWPs relevancy to studies needed to implement the Metropolitan Transportation Plan (MTP) and the TIP development, eligibility of each task for FTA assistance, and inclusion of tasks reflecting multimodal transportation planning.

### 3.1.7. Transportation Improvement Planning Procedures

The MPO staff prepares the draft Transportation Improvement Program (TIP) in cooperation with cities and counties in the metropolitan planning area, transit operators, public transit providers, GDOT, and all other interested federal and state agencies. Additionally, the MPO staff will prepare and update the TIP for its metropolitan planning area in accordance with FTA requirements and in the case of each of the following:

- Any area designated as nonattainment, as defined in section 107(d) of the Clean Air Act.
- Any area that was nonattainment and subsequently designated to attainment in accordance with section 107(d)(3) of the Clean Air Act and that is subject to a maintenance plan under section 175A of that Act.

MPO staff ensures that the draft TIP:

- Covers a four-year period and is financially constrained by year, meaning that the amount of dollars committed to projects must not exceed the amount of dollars estimated to be available.
- Includes all regionally significant transportation projects or projects requiring federal action including transit, highway, local roadway, bicycle and pedestrian investments.
- Includes projects that are consistent with projects included in the STIP. Includes a financial plan that demonstrates programmed projects can be implemented.
- Is accompanied by an evaluation and finding of air quality conformity. Demonstrates an opportunity for public comment.
- Includes Section 5303 projects being proposed within the MPO’s current planning/study area boundaries, which may include areas that are currently non-urbanized, but are
expected to become urbanized within 20 years, and then these projects must be included in the MPOs TIP.

- Once the draft TIP has been developed, MPO staff release the draft for a 30-day public review and comment period and conducts a public hearing to solicit public comment. All public comments must be included in the final TIP. This review process is conducted according to the Public Participation Plan process developed by the MPO before TIP development.
- MPO staff includes all public comment information in the draft TIP as an exhibit.
- The Transit Program Coordinator attends the MPO Tech Coordinating Committee (TCC) meetings as needed. The Transit Program Coordinator ensures all documents are completed per FTA requirements.
- The MPO Director reviews and approves the draft TIP and forwards to the GDOT Division of Planning for U.S. Environmental Protection Agency (USEPA) approval.
- The FTA, in coordination with FHWA, reviews the TIP for conformance with Clean Air Act requirements and notifies the MPO via a formal letter (Conformity Determination Report).
- MPO staff should include the Conformity Determination Report in the final TIP.
- The MPO Director recommends approval of the final TIP to the Policy Committee and submits it to the Transit Program Coordinator, FTA and FHWA.
- Upon receipt of final Transportation Improvement Programs (TIPs) from the MPOs, the Transit Program Coordinator approves all TIPs to be included in the STIP. The Checklist for Transportation Improvement Program (TIP) is used to ensure that projects meet FTA requirements.

3.1.8. Long Range Transportation Planning (LRTP) Procedures
Listed below are the procedures to be followed:

- MPO staff develops, update and maintain a Long Range Transportation Plan (LRTP) at least every five years.
- In metropolitan areas that are designated as nonattainment areas under the Clean Air Act, MPO staff coordinates the development of the LRTP with the process for the development of the transportation control measures of the State Implementation Plan (SIP) required by the Clean Air Act.
- In updating the LRTP, MPO staff should ensure that the plan contains:
  - Identification of Transportation Facilities: Includes, but not limited to major roadways, transit, multimodal and intermodal facilities that should function as an integrated metropolitan transportation system giving emphasis to those facilities that serve important national and regional transportation functions. In formulating the long range plan, MPOs should consider these broad areas as they relate to a 20-year forecast period.
  - Financial Plan: Demonstrates how the long-range plan can be implemented, indicates resources from public and private sources that are reasonably expected to be made available to carry out the plan, and recommends any innovative financing techniques to finance needed projects and programs, including such techniques as value capture, tolls and congestion pricing. There are six basic activities required to produce a long-range financial plan:
    - Assessment of existing financial conditions;
Identification of future financial requirements for operations and maintenance;
Assessment of the metropolitan area and state's ability to meet their future financial requirements, based on an analysis of existing revenue sources;
Identification of new sources of revenue, including innovative financing mechanisms and strategies to ensure their availability to meet any future financial shortfalls;
Analysis of existing and potential revenue sources (Federal, State and Local - both public and private) reflecting long term availability, sensitivity to economic cycles and other factors, etc.; and
Forecasts of baseline transportation system costs (capital, operating, maintenance, modernization) for local officials to use in making service and investment decisions.
Assessment of Capital Investment - Ensure the preservation of the existing metropolitan transportation system, including requirements for operational improvements, resurfacing, restoration, and rehabilitation of existing and future major roadways, as well as operations, maintenance, modernization and rehabilitation of existing future facilities. This effort should also make the most efficient use of existing transportation facilities to relieve vehicular congestion and maximize the mobility of people and goods.
Enhancement Activities - Indicate, as appropriate, proposed transportation enhancement activities. In addition to the above, the transportation plan should address the following:
- Identify projected demand of persons and goods in the MPO area;
- Identify adopted congestion management strategies that demonstrate a systematic approach in addressing current and future transportation demand;
- Identify pedestrian walkway and bicycle facilities;
- Reflect consideration given to the management systems;
- Assess capital investment and other measures to preserve the existing transportation system;
- Include design concept and scope descriptions of all existing and proposed transportation facilities in sufficient detail to develop cost estimates;
- Reflect a multimodal evaluation of the transportation, socioeconomic, environmental, and financial impact of the overall plan;
- Indicate that the design concept and scope of incomplete major investment analysis have not been fully determined and will require further analysis;
- Reflect consideration of the areas comprehensive long-range land use plan and metropolitan plan objectives including State and National goals and strategies for housing, community development, employment linkage of low income households with employment opportunities and energy conservation;
- Indicate, as appropriate, proposed transportation enhancement activities; and
- A financial plan that demonstrates the consistency of proposed transportation investments with already available and projected sources of revenue.
3.1.9. **Public Participation Plan Procedures**
Listed below are the procedures to be followed:

- MPO staff review their existing public involvement procedures annually for consistency with the planning regulations and take remedial or enhancing steps as appropriate.
- MPO staff meet with the MPO on an annual basis, and reviews the status of the Public Involvement procedures.
- MPO staff track the completion of remedial or connection action steps taken by the MPO to correct or enhance its Public Participation Plan.
- GDOT Planning identifies projects that should be included in TIP.
- GDOT Planning ensures that projects meet grant program criteria.

3.2. **Application**
The processes under this activity include the preparation of a grant application and the steps leading to its submission. These processes are designed to ensure that GDOT submits an application that is in compliance with all FTA requirements and that it can be processed by FTA Region IV in a timely manner to prevent delays in making an award.

**General Requirements:**

Application requirements common to all programs are defined in the SMP, including procedures relating to certifications and assurances; documentation of legal, financial and technical capacity; labor certifications; and civil rights submissions. Figure 1 outlines these requirements and their location within the SMP.

<table>
<thead>
<tr>
<th>Requirements</th>
<th>SMP Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certifications and Assurances</td>
<td>2.2.2</td>
</tr>
<tr>
<td>Legal, financial, and technical capacity</td>
<td>2.2.3</td>
</tr>
<tr>
<td>Labor Protection</td>
<td>2.10</td>
</tr>
<tr>
<td>Title VI Submissions</td>
<td>2.12</td>
</tr>
</tbody>
</table>

**Program-Specific Requirements:**

Urbanized areas wishing to participate in the FTA Title 49 U.S.C. Section 5303 planning program must complete the following application components:

- Letter of Transmittal to Georgia DOT
- UPWP Work Elements
- Authorizing Resolution
- Section 5303 Budget Information
- FTA Title VI Data Collection and Reporting
- FTA Certifications and Assurances for Federal assistance
- FTA Project Milestone Dates

The original application (not a copy) should be forwarded to the Georgia Department of Transportation, ATTN: Division of Intermodal, by the designated due date.
Procedures

3.2.1. Notice of Funding Availability
GDOT’s Transit Program Coordinator issues a notice of funding availability on an annual basis, including application instructions and materials.

3.2.2. Call for Projects
In some years, additional funds are available for MPO planning activities. During these times GDOT issues a call for projects, in which case the call for projects procedure is followed, which includes:

- The Transit Program Coordinator issues a call for projects via e-mail to Regional Commissions (RCs) and MPOs.
- A public notice, published on the GDOT website announcing the call for projects to the general public and MPOs.
- The Transit Program Coordinator transmits the application package to MPOs/RCs.
- Applications are submitted to the Transit Program Coordinator by interested MPOs/RCs on or by the designated deadline.

3.2.3. Application Package
Each grant application must contain the applicable certifications and assurances, authorizing resolution and civil rights submissions defined in the SMP.

- The MPO prepares the UPWP Work Elements to include:
  - Objective/Purpose
  - Previous Work Methodology Products/Deliverables Staffing
  - Financial Responsibility
  - Functional Agency Responsibility
  - Budget Information by Funding Source
  - UPWPs must be finalized by MPOs prior to the due date each of year.
  - MPO staff must prepare a budget using the **Section 5303 Budget Information Form** that summarizes the approved planning tasks and budgeted amounts from the UPWP submitted. The included tasks should reflect all Section 5303 funded activities from the metropolitan UPWPs for which assistance is being sought.
  - Each MPO’s budget should include planning activities undertaken in urbanized areas of Georgia, which will constitute the basis for an applicant incurring obligations and FTA making disbursement of project assistance. Note: The budget should broadly identify tasks in order to minimize the need for post grant approval actions such as budget revisions and grant amendments.
  - MPO staff should use the following **Section 5303 Budget Information Form** when submitting their budgets to GDOT Intermodal.
  - Upon receipt of the UPWPs and associated budgets, the GDOT Transit Program Coordinator compiles the GDOT (aggregate) Project Task Budget in the 5303 grant application from the various final UPWPs.
  - FTA expects GDOT to prepare an aggregate summary of all the proposed work elements and activities using the **Section 5303 Budget Information Form** in all its metropolitan areas.
  - MPO staff should ensure that the application package includes the prerequisites described above as well as all of the components listed below:
3.2.4. **Submittal of Applications to FTA**

- The Transit Program Coordinator reviews all MPO applications and proposed budget information for accuracy and consistency before entering it into TEAM.
- The Transit Program Coordinator consolidates and includes the approved MPO budgets in the 5303 MPP application package.
- The GDOT Transit Program Coordinator coordinates with MPOs to resolve any issues found in the applications submitted, such as programs and projects not included in budget information or inconsistencies in describing the tasks to be completed.
- The Transit Program Coordinator is responsible for submitting the application for 5303 funds in TEAM. The application should include all the required information related to:
  - Project Information
  - Budget Information/Activity Line Items
  - Project Milestone Dates
  - Project Environmental Findings

- The Transit Program Coordinator consolidates and develops the program application and enters it into TEAM for transmittal to FTA. The Transit Program Coordinator makes any changes based on FTA comments.
- FTA provides comments on application through TEAM. When FTA approves, GDOT can submit the application.
- The Transit Program Coordinator makes the changes recommended by the FTA in TEAM up to the point of the final award. Sub-recipients are notified of any changes requested by FTA by the Transit Program Coordinator.

4.0 **AWARD, POST-AWARD, AND CLOSEOUT**

Procedures for the award, post-award and closeout stages of the grant life-cycle are common to all FTA programs, and are therefore contained in the SMP. Figure 2 summarizes the requirements and procedures that apply.

**Table 2 - Award, Post-Award and Closeout Requirements**

<table>
<thead>
<tr>
<th>Requirements</th>
<th>SMP</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant Obligation and Award</td>
<td>2.2.5</td>
</tr>
<tr>
<td>Funding and Contracts Setup (see Financial Management)</td>
<td>2.4.8</td>
</tr>
<tr>
<td>Procurement</td>
<td>2.6</td>
</tr>
<tr>
<td>Invoice Submittal and Payment Reimbursement</td>
<td>2.3.2</td>
</tr>
<tr>
<td>Fixed Assets</td>
<td>3.1</td>
</tr>
<tr>
<td>Monthly Accounting Systems Reconciliation</td>
<td>2.3.3</td>
</tr>
</tbody>
</table>
5.0 FORMS, CHECKLISTS & TEMPLATES

Most of the forms required during the pre-award, award, post-award, and closeout stages are included in the SMP.

The forms that are specific just to the 5303 program are listed in the following table.

Pre-Award Phase
Table 3: Forms – Pre-award, award, and closeout

<table>
<thead>
<tr>
<th>Form Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Budget Information Form</td>
</tr>
<tr>
<td>Checklist for Transportation Improvement Program</td>
</tr>
<tr>
<td>Draft UPWP Template</td>
</tr>
<tr>
<td>FTA Project Milestone Dates</td>
</tr>
<tr>
<td>General Long Range Transportation Plan Format</td>
</tr>
<tr>
<td>Human Resources Program</td>
</tr>
<tr>
<td>Proposed Funding Source</td>
</tr>
<tr>
<td>Section 5303 Budget Information</td>
</tr>
<tr>
<td>Summary Budget Tables</td>
</tr>
<tr>
<td>UPWP Work Elements</td>
</tr>
<tr>
<td>Post-Award Phase</td>
</tr>
</tbody>
</table>

6.0 Additional Planning Guidance

6.1 Corridor or Sub-Area Planning Study

Under Section 1308 of TEA-21, MPOs, states, or public transportation operators may undertake a multimodal systems-level corridor or sub-area planning study as part of the transportation planning process. These studies involve consultation with each jurisdiction, as is necessary. The results or decisions of these studies may be used as part of the project development process consistent with NEPA.
6.2 Transportation Coordination – United We Ride
In February 2004, President Bush issued Executive Order (EO) 13330 on Human Service Transportation Coordination to improve transportation for those that are transportation disadvantaged, by improving the coordination of transportation services provided under programs in ten Federal Departments. The goals of the Executive Order are to simplify access to transportation services, reduce duplication and overlap, and improve the effectiveness of the transportation services provided. In response to the EO, the DOT with its partners at the Department of Health and Human Services, Labor, Education, and elsewhere, launched the United We Ride (UWR) initiative. To assist States and communities in moving forward, FTA and the other Federal partners introduced an initiative that included a Framework for Action, a self-assessment tool for States and communities; the National Leadership Forum on Human Service Transportation Coordination; State Coordination Grants; and Technical Assistance.

6.3 Other Planning Areas
In addition to the above transportation planning factors, other planning areas developed by FTA are offered in this section to guide local areas in outlining their overall program study scope and in developing the Unified Planning Work Programs. Planning programs should provide transit operators and local governments with technical information relative to capital programming, transit operations, management and financing. An additional function is to provide assistance in addressing local compliance with those regulations that are required as a condition of Federal funds. The following is a listing of additional topics which local areas may use in the development of transit-related projects:

(1) Incorporating Safety and Security in the Transportation Planning Process
(2) Environmental Mitigation/Environmental & Community Impact
(3) Consultation with Non-Metropolitan Local Officials
(4) Enhancing the Technical Capacity of the Planning Process
(5) Environmental Justice
(6) Coordination of Non-Emergency Human Service Transportation
(7) Financial Planning

6.3.1 Safety and Security in the Transportation Planning Process
FTA and FHWA are working together to advance the state-of-the-art-practice in addressing safety and security in the metropolitan and statewide planning processes through workshops and case studies. Under SAFETEA-LU, safety and security was no longer grouped together but are stand-alone factors that will “increase the safety of the transportation system for motorized and non-motorized users”; and “increase the security of the transportation system for motorized and non-motorized users”. Safety and Security are two of the eight planning factors under SAFETEA-LU. Map-21 which replaced SAFTEA-LU continues this effort, as MAP-21 matures more guidance will be provided.

6.3.2 Environmental Mitigation/Environmental and Community Impact
Under MAP-21 there is a requirement for addressing Environmental Mitigation Activities. Metropolitan and statewide transportation plans shall include a discussion of types of potential environmental mitigation activities and potential areas to carry out these activities, including activities that may have the greatest potential to restore and maintain the environmental
functions affected by the plan. This discussion shall be developed in consultation with Federal, State, tribal wildlife, land management, and regulatory agencies.

Local planning processes are encouraged to give early consideration of the natural environment and communities affected by transportation planning and project activities. Air Quality issues are a key concern in some metropolitan areas. Coordinated planning for transportation and land use management will help to create sustainable communities with protection of natural resources, concentration of new development in suitable areas, and control of spraews with infill development of underutilized areas. State and local officials may choose to evaluate their decision-making process to determine how well it responds to community needs, as called in the Livable Communities initiative. Consideration may be given to joint development of transportation infrastructure projects along with facilities providing goods and services to communities and neighborhoods.

6.3.3 Consultation with Non-Metropolitan Local Officials
On February 14, 2007, FTA and FHWA issued a Final Rule on the Joint Planning Regulations. This final rule amends the January 3, 2003 Joint Planning Regulation published in the Federal Register. Each State shall have a documented process (es) that implements consultation with non-metropolitan local officials in statewide planning process and development of the statewide transportation improvement program and long-range statewide transportation plan by July 1, 2007. The FTA and FHWA will not review or approve the consultation process (es); however, copies of the process should be provided for information purposes. Since consultation is a vital issue, each state shall review its documented process and solicit comments regarding the effectiveness of its consultation process as of February 24, 2006, and thereafter, or at a minimum once every five (5) years. A specific request for comments shall be directed to the State association of counties, state municipal league, regional planning agencies, or directly to non-metropolitan local officials. The state should also consult with Indian tribal governments in development of the long-range statewide transportation plan and STIP.

6.3.4 Enhancing the Technical Capacity of the Planning Process
Reliable information on current and projected usage and performance of transportation systems is critical to the ability of planning processes to supply credible information to decision-makers to support development of plans and programs that respond to their localities’ unique needs and policy issues. To ensure the reliability of usage and performance data, as well as the responsiveness of policy forecasting tools, an evaluation is needed of the quality of information provided by the technical tools, data sources, forecasting models, as well as the expertise of staff to ensure its adequacy to support decision-making. And if this support is found to be lacking, the responsible agencies within metropolitan and statewide planning processes are encouraged to devote appropriate resources to enhancing and maintaining their technical capacity.

The metropolitan and statewide transportation planning processes have become critical tools for responding to increasingly complex issues at the State and local levels. Many of these issues are encompassed in previously listed planning emphasis areas (e.g., integrated planning and environmental processes, management and operations, analytical tools and methods) and include much more. The FTA and FHWA have created the Metropolitan Capacity Building (MCB) Program, and the Statewide and Rural Capacity Building Programs as tools to disseminate and coordinate information, training, and foster a dialogue for the exchange of ideas.
6.3.5 Environmental Justice
Increasingly, concerns for compliance with provisions of Title VI of the Civil Rights Act have been raised by citizens and advocacy groups with regard to broad patterns of transportation investment and impact considered in metropolitan and statewide planning. While Title VI and environmental justice concerns have most often been raised during project development it is important to recognize that the law applies equally to the processes and products of metropolitan and statewide planning.

FTA and FHWA are working jointly to develop guidance to support metropolitan areas and states in their efforts to incorporate considerations of transportation equity in their local planning processes and substantiate compliance through demonstrated actions. States and Metropolitan Planning Organizations in their planning processes are generally advised to expand and document their efforts toward two categories of work activity.
(a) Expanding the focus of public involvement efforts, with special attempts to include the traditionally under-served and under-represented in the planning process.
(b) Assessing the distribution of benefits and adverse environmental impacts at both the plan and project level.

In the near future, a range of possible procedural and analytical approaches for complying with provisions of Title VI and the Executive Order on Environmental Justice at the planning stage will be developed and disseminated through guidance and regulation.

6.3.6 Coordination of Non-Emergency Services
Coordination of program resources for transportation services leads to increased service availability and more cost-effective transportation to persons with limited access and special needs. There are over 70 federal programs in which some aspect of transportation services is an allowable use of funds. The Department of Transportation (DOT) and the Department of Health and Human Services (HHS) are jointly developing a coordination resource, the Transportation Coordination Toolkit, to assist states and communities in their efforts to improve access to transportation services for persons with disabilities.

6.3.7 Financial Planning
It is important that this ongoing activity be continued and modified where appropriate to address the additional regulatory requirements, particularly those special requirements related to nonattainment and maintenance areas.

Different types of financial analysis are needed to develop financial plans. To a large extent, the locally adopted metropolitan transportation plan will define the level of financial analysis since the transportation plan sets long term transportation service levels and identifies proposed major capital investments. Regardless of the direction in a transportation plan, there are six (6) basic activities required to produce a long-range financial plan:

1. Assessment of existing financial conditions;
2. Identification of future financial requirements for operations and
3. Assessment of the metropolitan area and state’s ability to meet their future financial requirements, based on an analysis of existing revenue sources;
4. Identification of new sources of revenue, including innovative financing mechanisms and strategies to ensure their availability to meet any future financial shortfalls;
5. Analysis of existing and potential revenue sources (Federal, State and Local both public and private) reflecting long term availability, sensitivity to economic cycles and other factors, etc.; and
6. Forecasts of baseline transportation system costs (capital, operating, maintenance, modernization) for local officials to use in making service and investment decisions.

The U. S. Secretary of Transportation shall consider several additional criteria in the Department’s review and evaluation of candidate New Starts Projects. FTA will be required to evaluate each project authorized for new starts funding by each criterion as well as provide an overall project rating of highly recommended, recommended and not recommended. In addition to its annual report to Congress on Funding Levels and Allocations of Funds for Transit Major Capital Improvements, FTA will be required to issue a supplemental report in August of each year, which rates all projects that have completed the alternatives analysis and preliminary engineering since the date of the last report. FTA must also approve candidate New Starts Project’s entry into final design. FTA also continues its prior approval authority for entrance into preliminary engineering.

6.4 Statewide Transportation Plan (SWTP)
Each state is mandated to update the Statewide Transportation Plan (SWTP). The development of the SWTP must be consistent with MPO plans. It should be emphasized that plans must ultimately lead to an integrated intermodal and multimodal transportation system that facilitates the efficient movement of both people and goods.

Planning activities related to the plan should include:

(a) Development of methods and criteria for addressing the 8 transportation planning factors specified in SAFETEA-LU; and
(b) Development of a process to insure coordination of plan development with participating organizations as required by 23 CFR.

6.5 Performance Audits
A performance audit is a transit management tool to evaluate such areas as management and organization, service planning, marketing, scheduling, transportation, maintenance, purchase and inventory, safety training, finance and accounting, and labor relations.

The audits can determine the extent to which operators of public transit have established and met goals and objectives, developed performance standards and performance measures, and operated in an effective, efficient and economical manner. This same audit can be a means of identifying needed system improvements.

Performance audits are an effective management tool to evaluate program effectiveness. Each year, the Georgia General Assembly appropriates funding specifically for the urban and rural transit systems. This support along with Federal assistance has increased fleet size, routes and hours of operation. There has been a parallel increase in public concern about the impact and use of public funds for transit purposes.

New performance audits should be undertaken periodically (at least every 3 – 5 years) in an effort to improve performance.
Transit planners should monitor and evaluate on an ongoing basis, the achievements of major recommendations of completed performance audits.

6.6 Paratransit Planning
A coordinated paratransit program could be an effective means of addressing communities’ needs. Paratransit by definition refers to passenger transportation modes available to the public, distinct from conventional transit, and can be operated over the highway and street system. Paratransit also describes the spectrum of service options between the private automobile and fixed route, fixed schedule buses. These service options include carpools, vanpools, shared-ride taxis, jitneys, subscription buses and demand responsive buses.

Paratransit systems have common characteristics in that they are designed to respond directly to demand without fixed schedules or routes except in carpools or subscription bus operations. They have origin-destination capabilities approaching those of the private automobile and their capital and operating costs are usually higher per passenger mile for the transit system provider.

The operating policies for many of the paratransit options can be varied to adjust service to passenger demands. Thus, operators of paratransit services are allowed to provide a special, personalized service suitable to a specific area. In lower density areas, the paratransit option may provide a less expensive and more effective modal alternative. Currently, there are three major applications for paratransit services. Paratransit can (1) extend transit service to lower density suburban areas; (2) provide circulation service in downtown areas; and (3) be leased to provide specialized transportation service to such groups as the elderly and persons with disabilities.

The study of paratransit options in the urbanized area should be considered as a possible planning option in the UPWP.

6.7 Contractual Compliance Issues
As a condition of receipt of Federal funds, local area grantees are required to certify and to assure that they will comply with applicable regulations, executive orders and administrative rules. At a minimum each recipient of funds should establish documentation to evidence compliance with those requirements that are applicable to the grant project(s). Special consideration should be given to the following:

6.7.1 FTA Title VI Data Collection and Reporting
Each Federal department and agency providing financial assistance for any program or activity is authorized and directed by the Department of Justice to effectuate provisions of Title VI of the Civil Rights Act of 1964 for each program or activity by issuing generally applicable rules, regulations, or requirements. In this regard, FTA has the responsibility to ensure that federally supported transit services and related benefits are distributed by applicants, recipients and sub recipients of FTA assistance in a manner consistent with Title VI. The employment practices of a grant applicant are also covered under Title VI if the primary purpose of the FTA supported program is to provide employment or those employment practices would result in discrimination against beneficiaries of FTA assisted services and benefits.

The objectives of the FTA Title VI program are as follows:
(1) To ensure that FTA-assisted benefits and related services are made available and are equitably distributed without regard to race, color, or national origin;
(2) To ensure that the level and quality of FTA-assisted transit services are sufficient to provide equal access and mobility for any person without regard to race, color, or national origin;
(3) To ensure that opportunities to participate in the transit planning and decision making processes are provided to persons without regard to race, color, or national origin;
(4) To ensure that decisions on the location of transit services and facilities are made without regard to race, color, or national origin; and
(5) To ensure that corrective and remedial action is taken by all applicants and recipients of FTA assistance to prevent discriminatory treatment of any beneficiary based on race, color, or national origin.

The objectives outlined above are the basis of the FTA Title VI Program. Recipients of FTA financial assistance must adopt a Title VI compliance program that is consistent with the requirements described herein and in FTA Circular C 4702.1B. In order to achieve these objectives and to facilitate monitoring of the Title VI program, FTA has developed both general and program specific data collection and reporting requirements. Recipients of FTA Section 5303 Metropolitan Planning funds must collect Title VI data and submit the reports described in Exhibit.

6.6.2 Quarterly Milestone/Progress Reports
Project Management Guidelines (FTA Circular 5010.1D) require each local MPO to submit quarterly progress reports on the planning activities funded under Title 49 U.S.C. Section 5303 assistance. The progress report summarizes grant activity in a specified format. The report should contain budget information (revisions, additions, deletions) as well as a narrative description of activities by line item for the quarter.

6.2.3 Project Completion Report
At the end of each contract, a project completion report must be completed and submitted to GDOT. This report will include all technical documents, reports, research, etc. produced under the FTA grant. These projects should be identified in the UPWP for which all projects have been identified. **In order to extend the date of a contract, all requests for extension must be submitted in writing 90 days prior to the expiration date. Consequently, no contract can be supplemented after the expiration date.**

6.2.4 Project Closeout
In order to close out expired contracts, a final request for reimbursement must be sent to GDOT Division of Intermodal. At the end of the contract period, the last re-imbursement request will be identified as such, and will be considered the project closeout; no other action is required by the sub-recipient. When a contract has been completed and closed out, an audit of the project is required (include objectives achieved, deliverables, on-time/on-budget, etc.) and a copy provided to the GDOT Division of Intermodal within 90 days after the end of the sub-recipient’s Fiscal Year.
EXHIBIT 1

SAMPLE LETTER OF TRANSMITTAL

Carol Comer, Director  
Division of Intermodal Programs  
Georgia Department of Transportation  
600 West Peachtree Street, N.E. Plaza Level  
Atlanta, Georgia 30308-3607

Attn: Roy Tucker, Urban Transit Group Leader

Dear Ms. Comer:

Based on the information contained in the (urbanized area) metropolitan area FY _____ Unified Planning Work Program, AGENCY NAME requests a Title 49 U.S.C. Section 5303 Metropolitan Planning Grant of (80% Federal share) to aid in transportation planning. In addition, AGENCY NAME also requests a 10% State share for this project in the amount of (10% State share). Local funds consisting of (10% Local share) will be provided by (AGENCY NAME) in the form of (cash, in-kind services, or both) from (specific resources).

The following information in support of the statewide application is submitted for your review:
1. Letters of Transmittal
2. UPWP Work Elements
3. Authorizing Resolution
4. Budget Information
5. FTA Title VI Report
6. Annual Listing of FTA Certifications and Assurances*
7. Project Milestone

If you have any questions on these matters, please contact (principal contact) at (phone number).

Sincerely,

Signature of Designated Official
## Table of Contents

1.0 INTRODUCTION ................................................................................................................ 2  
   1.1. Purpose of the Procedure Manual .............................................................................. 2  
   1.2. Overview of Related Documents .............................................................................. 2  

2.0 SECTION 5307 PROGRAM OVERVIEW ............................................................................ 3  
   2.1. Program Goals and Objectives .................................................................................. 3  
   2.2. Eligibility .................................................................................................................. 4  
       2.2.1. Eligible Subrecipients ...................................................................................... 4  
       2.2.2. Eligible Projects ............................................................................................. 4  
   2.3. Local Share and Funding Requirements .................................................................. 5  
       2.3.1. Local Match Requirement .............................................................................. 5  
       2.3.2. Distribution of Funds ...................................................................................... 5  
   2.4 Title VI, Disadvantage Business Enterprises, Equal Opportunity Employment, Limited English Proficiency, and Americans with Disabilities Act ............. 6  
   2.5 Alcohol and Drug Testing ......................................................................................... 7  

3.0 PRE-AWARD REQUIREMENTS AND PROCEDURES ....................................................... 7  
   3.1. Planning .................................................................................................................... 7  
       3.1.1. Coordinated Planning Requirements ................................................................ 8  
   3.2. Application .............................................................................................................. 8  
       3.2.1 Instructions for Applications ............................................................................. 9  
       3.2.2. Notice of Funding Availability ........................................................................ 11  
       3.2.3. Application Package ...................................................................................... 11  
       3.2.4 Submittal of Applications to FTA .................................................................... 12  

4.0 AWARD, POST-AWARD, AND CLOSEOUT ................................................................. 13  
   4.1. Fare Increases and Major Service Reductions ......................................................... 15  
   4.2. Half Fare ............................................................................................................... 16  
   4.3. Service Standards ................................................................................................. 17  
   4.4. National Transit Database ..................................................................................... 18  
   4.5. Safety and Security ............................................................................................... 19  

5.0 FORMS, CHECKLISTS & TEMPLATES .......................................................................... 19  

6.0 Additional Planning Guidance ......................................................................................... 20  
   6.1 5307 Contract and Grant Requirements ..................................................................... 20
1.0 INTRODUCTION
The Section 5307 Urbanized Area Formula program provides Federal resources to urbanized areas and to the Governors designated recipient for transit capital and operating assistance in urbanized areas (population of 50,000 or more) and for transportation-related planning. Grant funds are utilized to support the development, maintenance and improvement of public transportation in urbanized areas. An urbanized area is an incorporated area with a population of 50,000 or more that is designated as such by the U.S. Department of Commerce, Bureau of the Census.

Eligible purposes include planning, engineering design and evaluation of transit projects, and other technical transportation-related studies; capital investments in bus and bus-related activities such as replacement of buses, overhaul of buses, rebuilding of buses, crime prevention and security equipment and construction of maintenance and passenger facilities; and capital investments in new and existing fixed guideway systems including rolling stock, overhaul, and rebuilding of vehicles, track, signals, communications, and computer hardware and software. All preventive maintenance and some Americans with Disabilities Act complementary paratransit service costs are considered capital costs. (See FTA Circular 9030.1D and the Federal Register for use of funds.)

1.1. Purpose of the Procedure Manual
This procedure manual summarizes information relative to the Section 5307 Urbanized Area Formula Program including grant application requirements, forms, exhibits and certifications & assurances, program management requirements and forms, and other resources to enable applicants to request Federal Assistance under the program. This procedure manual describes the requirements for grants management so that grants and projects are accomplished in an efficient and complete manner. The full cycle of pre-award, award, post-award, and closeout requirements of the FTA grants management process is covered.

The purpose of this procedure manual is:
- To provide detailed guidelines to GDOT staff and subrecipients about the Section 5307 Urbanized Areas Program.
- To assist GDOT staff and subrecipients in completing detailed quality applications and maximizing the probability of funding.
- To describe specific roles and responsibilities throughout the grant administration process and maximize the success of grant-funded projects
- To provide staff with guidance on how to manage 5307 grants, particularly subrecipient oversight.

1.2. Overview of Related Documents
This manual replaces two prior documents used to manage the Section 5307 program, including the prior Program Management Manual and Administrative Guide. This manual works in conjunction with the new GDOT State Management Plan (SMP) to provide an
overview of state policies and procedures for the Section 5307.

The SMP includes:

- An overview of FTA programs that are administered by GDOT
- Responsibilities of GDOT staff when administering grants
- Responsibilities of Subrecipients as GDOT grantees
- Grant management policies and procedures
- The Full cycle of pre-award, award, and post-award and award closeout requirements of the FTA grants management process
- Checklist and forms to help adhere to general FTA requirements
- General programmatic information common to all programs

This Manual provides:

- Information, checklists and special forms specific to the 5307 program

### 2.0 SECTION 5307 PROGRAM OVERVIEW

The Urbanized Area Formula Program, codified at 49 U.S.C. 5307 (“Section 5307”) is authorized under the provisions set forth in the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA–LU), as amended. Under this program, the Secretary may make grants to assist States and local governmental authorities in financing capital and planning projects, transit enhancements, and certain operating costs, as described in FTA Circular 9030.1D.

### 2.1. Program Goals and Objectives

To increase public transportation ridership, Section 5307 promotes a vibrant public transportation environment by:

1. Assisting in the planning, engineering, design, construction, evaluation, and maintenance of public transportation projects, equipment, and facilities;
2. Facilitating cooperation between public transportation companies and private companies engaged in public transportation to encourage the planning and establishment of area wide public transportation systems needed for economical and desirable urban development;
3. Encouraging mobility management, joint development practices, and transit-oriented development;
4. Providing financial assistance to States and local governments to help carry out national goals related to mobility for all, including elderly individuals, individuals with disabilities, and economically disadvantaged individuals;
5. Investing in bus and bus-related activities such as replacement, overhaul and rebuilding of buses; and
6. Investing in crime prevention, public transportation safety, and security equipment.

**GDOT’s Roles and Responsibilities**

As the Designated Recipient of Section 5307 funds for areas under 200,000, the Georgia Department of Transportation has the following responsibilities:
• Allocate and program funds;
• Review application components from local areas;
• Prepare the statewide electronic grant application (TEAM) to FTA for funding of local projects;
• Contract with FTA and with local areas;
• Monitor quarterly progress reports from local areas and the implementation of projects;
• Report on project performance to FTA (TEAM); and
• Monitor compliance with federal and state project requirements.

The local Metropolitan Planning Organization (MPO) is responsible for meeting the planning requirements for projects programmed for federal and state funding. As the designated planning organization for the area, the MPO works closely with the local transit operator to evaluate transit operations and finances, identify and prioritize new projects, develop the Transportation Improvement Program (TIP), and carry out the transit planning work programs.

Eligible capital and operating projects must be programmed in the urban area’s TIP for inclusion in the Statewide Transportation Improvement Program (STIP). Planning Projects utilizing Section 5307 funding must be included in the Unified Planning Work Program (UPWP), the local TIP and the STIP.

2.2. Eligibility

2.2.1. Eligible Subrecipients

Subrecipients must be designated as an eligible recipient of Urbanized Area Formula Program funds. A designated recipient must obtain this designation from the Governor of the state prior to submitting a grant application for FTA assistance.

2.2.2. Eligible Projects

Projects to be funded from the Urbanized Area Formula Program fall into the three general categories of operating, capital or planning and may be selected from the following listing. Applicants should verify that projects are eligible as outlined in this section.

Operating:
- Provides for financing the operating deficit that may result from transit operations and maintenance. Marketing is a part of the transit operations and may include service promotions, development of logos, and publishing materials such as schedules, etc.

Capital:
- Bus purchases (new or used), replacement, rehabilitation, rebuilding or remanufacture;
- Expansion of bus fleets;
- Overhaul of buses (including paratransit vehicles);
- Bicycle facilities;
- Crime prevention and security equipment;
- Purchase and installation of service and support equipment;
- Construction or rehabilitation of maintenance facilities including land acquisition, design
and engineering, demolition, relocation, etc.;
- Construction of other facilities, e.g. transfer facilities, intermodal terminals and bus shelters, including design and engineering, land acquisition, etc.;
- Associated capital maintenance items;
- Preventive Maintenance;
- Capital support equipment, including computer hardware/software, bus diagnostic equipment, and other equipment that enhances operating efficiency;
- Leasing capital assets;
- Capital cost of contracting, the capital portion of costs for service or maintenance provided under contract (includes direct costs, depreciation and interest);
- Education and Training;
- Design and Art in Transit;
- Non-traditional projects such as innovative financing, joint development, livable communities and technology introduction;

Planning:
- Planning, engineering design and evaluation of transit projects as well as other technical studies.

More information about eligible projects is in the FTA Circular 9030.1D.

2.3. Local Share and Funding Requirements

2.3.1. Local Match Requirement

The state may elect to fund all or a percentage of the non-federal share. Typically, the state will match one-half of the non-federal share for Operating, Capital, and Project Administration costs. Federal and State Funds are allocated based on a combination of and/or population, ridership, number of vehicles, or other demographics relative to program requirements.

- The Federal share of eligible capital costs may not exceed 80 percent of the net cost of the program for non-paratransit projects.
- The Federal share of eligible capital costs may not exceed 83 percent of the net cost of the program for paratransit projects.
- The Federal share of eligible capital costs may not exceed 90 percent of the net cost of the program for bicycles and clean fuel projects.

Also See match requirements defined in Section 1.2.1 of the SMP.

2.3.2. Distribution of Funds

The 5307 program funds are apportioned and distributed annually by FTA and distributed by GDOT primarily through the application process described herein.

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.
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.

**Funding Distribution**

The FTA Section 5307 funds are authorized by Congress to assist eligible recipients in the financing of public transportation capital, operating and planning projects. The Federal match for planning and/or capital assistance under Section 5307 is 80 percent of the net project cost. The Federal match for operating assistance will not exceed 50 percent of the net project deficit. There are three exceptions to the 80 percent Federal match for capital projects: Bicycle facilities, Americans with Disabilities Act (ADA) and Clean Air Act (CAA) equipment.

Under the Section 5307 program, the Federal match is 90% for those projects designed to (1) provide access for bicycles to public transportation facilities, (2) provide shelters and parking facilities for bicycles in or around public transportation facilities and (3) install racks or other equipment for transporting bicycles on public transportation vehicles.

The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy For Users (SAFETEA-LU) Act of 2005 – 2009 included a provision for Americans with Disabilities Act and Clean Air Act compliance. In the capital assistance category, funding for projects to meet the ADA and CAA requirements are eligible for 90 percent federal assistance. Vehicle-related equipment required by the CAA or ADA should be add-ons to the basic vehicle that will enhance accessibility as required by the ADA or to allow the vehicle to conform to the CAA.

Applicants should identify in their applications the vehicle-related equipment necessary to meet the requirements of the two Acts. **The 90% federal assistance applies only to the difference between normal capital costs and the additional cost incurred to meet ADA and/or CAA requirements.**

The non-federal share for capital projects includes 10% state (subject to funding availability) and 10% local match. From operating assistance the non-federal match is made up from local contributions. Due to constitutional limitations, GDOT does not provide any state assistance for operating assistance.

**Surface Transportation Program (STP) and Congestion Mitigation Air Quality (CMAQ) Funds**

SAFETEA-LU continued the Surface Transportation Program (STP) and Congestion Mitigation and Air Quality (CMAQ) funds which provide block grant type funding to the Federal Highway Administration (FHWA) to be used for highway or transit capital projects. Possible transit and transit-related projects include any capital project normally eligible under the Section 5307 and Section 5309 programs. Any transit project using STP or CMAQ funds must be included in the local TIP and the STIP.

**2.4 Title VI, Disadvantage Business Enterprises, Equal Opportunity Employment, Limited English Proficiency, and Americans with Disabilities Act**

Please refer to the State Management Plan section 2.12 and for ADA refer to 2.13, for requirements and procedures.
2.5 Alcohol and Drug Testing
Please refer to the State Management Plan section 4.1 and 4.2 for requirements and procedures.

3.0 PRE-AWARD REQUIREMENTS AND PROCEDURES

The purpose of this procedure is to provide guidance to GDOT and the subrecipient in the pre-award stage of the grant management process of developing a draft grant application package. It outlines responsibilities for FTA, GDOT and the subrecipient and sets forth guidelines and describes the step-by-step process for all the components of the application package.

3.1. Planning

**General Planning Requirements**

The basis of the FTA application is a statewide Program of Projects (POP), developed through a statewide planning effort that incorporates local recipient needs and allows an opportunity for public hearing. GDOT will annually program and electronically submit for funding, a single Section 5307 grant application to FTA. Applications from local areas must be submitted to the Department by **March 15**. Completed applications from the local areas should include all necessary documentation. Applications received after the deadline will be applied for as an amendment to the FTA grant at a later date.

Under the pre-award stage, there are a number of activities and processes that must be completed in order to award grants. GDOT and its subrecipients are responsible for careful execution of pre-award procedures.

GDOT and its subrecipients are also held accountable for adhering to FTA and GDOT policies and procedures in this pre-award phase. The list of requirements is below in Table 1 and further explained in sections of the SMP.

**Table 1: Planning Requirements**

<table>
<thead>
<tr>
<th>Requirements</th>
<th>SMP References</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public participation process</td>
<td>2.12.9</td>
</tr>
<tr>
<td>Statewide Transportation Improvement Plan (STIP)</td>
<td>2.9.1</td>
</tr>
<tr>
<td>Program of Projects</td>
<td>2.9.2</td>
</tr>
<tr>
<td>Planning and Coordination</td>
<td>2.9</td>
</tr>
<tr>
<td>Environmental Protection</td>
<td>2.11</td>
</tr>
</tbody>
</table>
Program-Specific Requirements

3.1.1. Coordinated Planning Requirements

In addition to the specific coordinated planning requirements for Section 5310, JARC, and New Freedom, Sections 5311 and 5307 require coordination with transportation assistance provided under other Federal programs. The Section 5307 POP must provide “for the coordination of public transportation services [assisted under Section 5307] with transportation services assisted from other United States Government services.” (49 U.S.C. 5307(c) (5)).

The designated recipient must certify compliance with these coordination requirements for Section 5307. While the coordination of service takes place at the local level, the State may facilitate coordination through participation in statewide interagency coordinating councils and statewide coordinated planning activities.

Planning Procedures

Below are the procedures to be followed:

- Subrecipients must provide documentation of maximum feasible coordination of public transportation service with transportation assisted by other Federal sources.

3.2. Application

The processes under this activity include the preparation of a grant application and the steps leading to its submission. These processes are designed to ensure that GDOT submits an application that is in compliance with all FTA requirements and that it can be processed by the Regional Office in a timely manner to prevent delays in making an award.

General Requirements

Application requirements common to all programs are defined the SMP, including procedures relating to certifications and assurances; documentation of legal, financial and technical capacity; labor certifications; and civil rights submissions. Table 2 outlines these requirements and their location within the SMP.

<table>
<thead>
<tr>
<th>Requirements</th>
<th>SMP Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certifications and Assurances</td>
<td>2.2.2</td>
</tr>
<tr>
<td>Legal, financial, and technical capacity</td>
<td>2.2.3</td>
</tr>
<tr>
<td>Labor Protection</td>
<td>2.10</td>
</tr>
<tr>
<td>Title VI Submissions</td>
<td>2.12</td>
</tr>
</tbody>
</table>
Program-Specific Requirements

In order to participate in the Section 5307 grant program, eligible recipients must complete the following application components and submit them to GDOT by the grant application deadline. The grant application consists of the following documentation:

Table 3:

<table>
<thead>
<tr>
<th>Exhibit No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Letter of Transmittal</td>
</tr>
<tr>
<td>2</td>
<td>Urbanized Area Formula Program Funding Form/Capital Program Justification</td>
</tr>
<tr>
<td>3</td>
<td>Program of Projects and Budget</td>
</tr>
<tr>
<td>4</td>
<td>Project Budget Worksheet for Operating Assistance</td>
</tr>
<tr>
<td>5</td>
<td>Project Milestone Schedule (Capital, Planning)</td>
</tr>
<tr>
<td>6</td>
<td>Authorizing Resolution</td>
</tr>
<tr>
<td>7</td>
<td>Annual List of Certifications and Assurances</td>
</tr>
<tr>
<td>8</td>
<td>FTA Title VI Data Collection and Reporting (Title VI)</td>
</tr>
<tr>
<td>9</td>
<td>Labor Union Information</td>
</tr>
<tr>
<td>10</td>
<td>Anti-drug Program Certification</td>
</tr>
<tr>
<td>11</td>
<td>Certification of No Intent of Charter Service</td>
</tr>
<tr>
<td>12</td>
<td>Sole-Source, Single-Bid and Brand-Name Procurement Certification</td>
</tr>
<tr>
<td>13</td>
<td>ADA Paratransit Plan Annual Update</td>
</tr>
<tr>
<td>14</td>
<td>Physical Facilities Certification</td>
</tr>
<tr>
<td>15</td>
<td>Copy of NTD Closeout Letter for Last Fiscal Year</td>
</tr>
<tr>
<td>16</td>
<td>Application Checklist</td>
</tr>
</tbody>
</table>

All applications should be completed in the order shown in this manual. Completed applications should have original signatures. An original and one copy of the application should be submitted to the Department. Original copies should not be stapled, bound or folded and should be prepared on standard 8 1/2 by 11 paper size.

Procedures

3.2.1 Instructions for Applications
1. Letter of Transmittal - Is the official request by the subgrantee for federal and state assistance. It is important to identify the type of grant (capital/operating/planning) and the amount of financial assistance requested. The applicant should utilize the sample letter of transmittal in Exhibit 1.

2. Urbanized Area Formula Funding Form - The purpose of this form is to identify the amounts of federal, state and local funding requested. The Congressional District of the project, the project duration, and the Clearinghouse number and date approved must also be provided. The Capital Program Justification should be descriptive of the capital projects requested. Justification should substantiate eligibility-not need. The project start and end dates must be consistent with milestone dates and with STIP dates (Exhibit 2).

3. Program of Projects and Budget - Each grant recipient is required to develop a Program of Projects and Budget that has undergone a public review process. The public review process undertaken for the Local TIP will satisfy this application requirement. The Program of Projects and Budget describes the general purpose of the proposed projects and should include a listing of all capital, operating and planning projects (Exhibit 3). These projects must be part of the current approved local Transportation Improvement Program (TIP) and Statewide Transportation Improvement Program (STIP). The POP incorporates FTA scope and activity line items codes to be programmed in TEAM. The subrecipient must ensure that Federal/State/Local match ratio(s) are correct and quantities for capital purchases are included. (Budget Codes found in Appendix I must be used).

4. Project Budget Worksheet for Operating Assistance - For transit operating projects, a worksheet (Exhibit 4) must be completed and attached to the application.

5. Project Milestone Schedule - Each grant application for capital and/or planning projects should include a completed Project Milestone Schedule (Exhibit 5). The Project Milestone Schedule states estimated completion dates for important or key steps in the procurement process. This would relate to the acquisition, construction and disposition of capital projects or funding of technical assistance projects. This schedule should be monitored during the life of the project. Any required changes to the schedule after grant approval should be attached to the quarterly progress reports submitted to the GDOT Division of Intermodal by the 10th day following each quarter.

6. Authorizing Resolution - The resolution must be executed by the governing body of the applicant. The resolution authorizes the applicant to file an Urbanized Area Formula Program application with the Georgia Department of Transportation and the U.S. DOT and it also identifies the person authorized to execute a grant on behalf of the applicant. A sample resolution is in Exhibit 6.

7. Certifications and Assurances for FTA Programs - To receive a Federal grant for mass transportation purposes from FTA, an applicant must provide certain certifications and assurances required by Federal laws and regulations. FTA will annually publish in the Federal Register, a listing of certifications and assurances that pertain to all mass transportation assistance grants applied for during the current Federal Fiscal Year. The certification that must be signed should be included in the application as Exhibit 7.

8. FTA Title VI Data Collection and Reporting (Civil Rights) - All applicants for Urbanized Area Formula Program assistance must have completed civil rights program information as required in FTA Circular 9030.1C. Title VI updates must be submitted to the Georgia Department of Transportation annually. An updated submission of the title VI Data Collection, reporting and monitoring activities should be included in the grant application as Exhibit 8.
9. Labor Union Information - Applicants must fill out Exhibit 9 and provide information concerning transit related labor unions.

10. Anti-drug Program Certification - Applicants must certify by completing Exhibit 10 that they and their subcontractors have a Drug and Alcohol Program in effect which meets the requirements set forth in 49 CFR, Parts 40 and 655.

11. Certification of No Intent of Charter Service - Applicants must complete Exhibit 11 which certifies that the applicant does not intend to run charter services with FTA funding.

12. Sole-Source, Single-Bid and Brand-Name Procurement Certification - The Federal Transit Administration (FTA) requires full and open competition in procurements for goods and services and encourages grantees to award contracts to the lowest bidder. However, sole-source, single-bid, and brand-name or equal awards can be used. In such situations, the applicant must have appropriate documentation for the award. As part of the application process, all applicants must certify that they are in compliance with this requirement (Exhibit 12).

13. ADA Paratransit Plan Annual Update - In order to be eligible to receive federal funding, applicants must submit an updated ADA plan annually as Exhibit 13 of the application.

14. Physical Facilities Certification - In accordance with FTA C 5010.1D, Ch II, 3e(2), applicants must submit a copy of the most recent Physical Inventory Certification (must be completed every year for all capital items over $5,000 per unit and/or a service life over 1 year) and must include ALL of the FTA required columns in a single spreadsheet as shown in Exhibit 14.

15. Copy of NTD Closeout Letter for Last Fiscal Year (Exhibit 15) - Applicants must submit a copy of the most recent NTD closeout letter.

16. Application Checklist - A completed application checklist should be included at the end of the grant application (Exhibit 16). This is provided to each applicant to ensure the application includes all necessary components. The completed checklist form must be signed

### 3.2.2. Notice of Funding Availability

Once FTA has announced annual apportionments, GDOT staff will notify eligible 5307 recipients of available funding. The funding notice will include a table showing the amounts made available by FTA as well as the deadline for the current year's application process as well as any special application instructions.

### 3.2.3. Application Package

- Each grant application must contain the applicable certifications and assurances, authorizing resolution, labor certifications and civil rights submissions defined in the SMP.
- Subrecipients must provide a complete project description (1-2 pages) of all their projects to be included in the application to their Transit Program Coordinator. The Program of Projects and Budget form summarizes this information.
Subrecipients must at a minimum include project scope and milestone information (Project implementation Schedule) that will:
- Identify the nature and purpose of the planned activities
- Identify planning documents that form the basis for the project such as feasibility or needs assessment studies
- Identify estimated milestone dates for such events as bid advertisement, bid award, and contract completion.
- Identify the overall project completion date.

Subrecipients must develop a realistic budget, starting with what their actual administrative and operating costs are likely to be (Project Budget Worksheet for Operating Assistance), rather than basing their budget on known funding sources and amounts. The budget submitted must provide a list of all projects and the estimated amounts of Federal and total funds for each.
- If projected costs exceed available funding, they will need to scale back services, increase their local match, or secure additional funding from other sources.
- All projected increases in budget line items from the current year's budget must be explained and justified in the annual grant application.
- The Congressional District of the project, project duration, Clearinghouse number, and date approved must be included on the Urbanized Area Program Formula Funding Form.

Subrecipients must provide a list of all transit related labor unions on the Labor Union Description(s) form. Subrecipients must state if employees are not unionized.

Subrecipients must coordinate with the MPO Planning process to fulfill the public participation requirements for the advertisement of the transit POP. The MPO's public notice for the TIP review must include the following: —This review meets the POP requirements as established by the FTA pursuant to 49 USC Section 5307.

Subrecipients should complete the Project Budget Worksheet for Operating Assistance for all transit operating projects.

Subrecipients should complete the Project Implementation Schedule for all capital and planning projects.

Subrecipients should refer to the Templates, Forms and Checklists list at the end of this manual for additional supplemental exhibits required to complete their draft applications. An Application Cover Sheet and Checklist should be used to verify all required forms have been assembled.

The Transit Program Coordinator receives the completed draft grant applications from each subrecipient and reviews for compliance, accuracy and completeness.

The Transit Program Coordinator reviews requested budgets.

### 3.2.4 Submittal of Applications to FTA

- The Transit Program Coordinator reviews all subrecipient applications before entering the information into TEAM.
- The Transit Program Coordinator consolidates and includes the approved subrecipient budgets in the application package.
- The Transit Program Coordinator coordinates with subrecipients to resolve any issues found in the draft application.
- The Transit Program Coordinator submits the application for 5307 funds in TEAM. The application should include all the required information related to:
  - Project Information
The Transit Program Coordinator consolidates and develops the program draft application and enters it into TEAM for transmittal to FTA for review. The grant cannot be submitted until FTA deems the application complete.

Once the application is submitted in TEAM, the Transit Program Coordinator communicates any further changes to the FTA based on received comments.

The Transit Program Coordinator modifies the draft application according to any comments provided by FTA after submission of the draft application in TEAM.

GDOT Director of Transit Programs or designee of the GDOT Intermodal Programs Division submits or authorizes the final application to FTA in TEAM.

4.0 AWARD, POST-AWARD, AND CLOSEOUT

Procedures for the award, post-award and closeout stages of the grant life-cycle are common to all FTA programs, and are therefore contained in the SMP. Table 4 summarizes the requirements and procedures that apply.

**Table 4: Award, Post-Award and Closeout Requirements**

<table>
<thead>
<tr>
<th>Requirements</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant Obligation and Award</td>
<td>2.2.5</td>
</tr>
<tr>
<td>Funding and Contracts Setup (see Financial Management Procedures)</td>
<td>2.4.8</td>
</tr>
<tr>
<td>Procurement</td>
<td>2.6</td>
</tr>
<tr>
<td>Invoice Submittal and Payment Reimbursement</td>
<td>2.3.2</td>
</tr>
<tr>
<td>Fixed Assets</td>
<td>3.1</td>
</tr>
<tr>
<td>Monthly Accounting Systems Reconciliation</td>
<td>2.3.3</td>
</tr>
<tr>
<td>Reporting, including DBE Reporting, Financial Reporting, Milestone Progress Reporting, Construction</td>
<td>2.3</td>
</tr>
<tr>
<td>Progress Reporting</td>
<td>2.3.5 2.3.12</td>
</tr>
<tr>
<td>Charter Service</td>
<td>2.15</td>
</tr>
<tr>
<td>Title VI Audits</td>
<td>2.12.12</td>
</tr>
<tr>
<td>A-133 Audits</td>
<td>2.5</td>
</tr>
<tr>
<td>Budget Revision and Amendment</td>
<td>2.4.7</td>
</tr>
<tr>
<td>Grant Status Management and Oversight</td>
<td>2.2.6</td>
</tr>
<tr>
<td>Closeout</td>
<td>2.2.11</td>
</tr>
</tbody>
</table>
Once applications are approved and contracted, local transit agencies must adhere to all FTA administrative procedures and guidelines. The purpose of these guidelines is to provide uniform instructions to subgrantees, ensure compliance with Federal and State rules and regulations and to facilitate a systematic approach to managing public transportation programs and activities in Georgia.

Department Reviews and Approvals.

The Department reserves the right to review vehicle specifications, construction plans, bid proposals, awards, and third party agreements and contracts prior to execution for approval. Procurement procedures should meet State requirements and those in FTA Circular 4220.1F. When implementing Section 5307 projects, subgrantees must follow procedures and project management guidelines outlined in FTA Circular 5010.1D, Grant Management Guidelines, which includes the submission of various reports and conforming to OMB Circular A-133 Audit procedures. A summary of administrative guidelines for capital purchases, construction planning, design, and monitoring/management, audit procedures, submission of quarterly reports and close-out can be found in the Appendices.

Site Visits

In order to address all FTA requirements as well as to promote better management and service delivery, GDOT will make an annual site visit to each subgrantee. Each subgrantee will receive a written notification 30 days prior to the scheduled date of the site visit. GDOT will ask questions in each of the twenty-three review areas. Upon completion of the annual review, deficiencies will be noted and addressed in a follow-up visit. Follow-up visits will be scheduled on an as needed basis with each of the subrecipients. This review does not replace the FTA Triennial Review but should well prepare the subgrantee for future FTA Triennial Reviews.

Reviews

GDOT will make an effort to conduct a review of each subgrantee. The review will be conducted every three years and will include all FTA required programs in the following major areas:

1. Legal
2. Financial
3. Technical
4. Satisfactory Continuing Control
5. Maintenance
6. Procurement
7. Disadvantaged Business Enterprise (DBE)
8. Buy America
9. Suspension/Debarment
10. Lobbying
11. Planning/Program of Projects
12. Civil Rights (Title VI)
13. Public Participation Process for Fare and Service Changes
14. Half Fare
15. Americans with Disability Act (ADA)
16. Charter Bus
17. School Bus
18. National Transit Database
19. Safety and Security
20. Drug Free Workplace
21. Drug and Alcohol Program
22. Equal Employment Opportunity
23. Intelligent Transportation Systems (ITS) Architecture

Time Extension Requests for Contracts:
A time extension request for a supplemental agreement must be submitted in writing for review no later than ninety (90) days prior to the current agreement’s expiration date. Requests submitted after the cutoff date will not be processed. Reasons for time extension on contracts must be due to unexpected or unanticipated circumstances that would affect the delivery or procurement of budgeted items by the completion date of the contract. Department review and approval for any time extensions is required prior to the subgrantee proceeding with third party agreements or contracts for delivery of services or goods.

Budget Revisions
The subrecipient may make budget revisions as long as there is no change in the contract purpose, scope and Federal funding of the contract. Budget revisions are generally changes to the amount or description of the contract. A subrecipient may request a budget revision in writing to the Department either before or after incurring costs.

Program-Specific Requirements
The following requirements and procedures are unique to the 5307 program.

4.1. Fare Increases and Major Service Reductions

Requirement
Section 5307 subrecipients are required to have a process for soliciting and considering public comment prior to raising fares or implementing major service reductions. Subrecipients are expected to have a written policy that describes the public comment process. The process should provide an opportunity for a public hearing or meeting for any fare increase or major service reduction. It should describe how such meetings will be conducted and how the results will be considered. The procedures should describe how the grantee will solicit and consider public comments.

GDOT requires that subrecipients hold a public meeting in order to solicit comments on fare increases and major service reductions. While GDOT has not established guidelines or thresholds for what it considers a “major” change to be, subrecipients are expected to establish and maintain a standard of their own. Standards can include, but are not limited to:

- elimination of a route
- reduction of “X” percent of service hours of a route
- elimination of one or more stops on a route

Some subrecipients offer an opportunity for public comment for all service changes. This meets the requirement.

In order to comply with FTA C 4702.1A, Section 5307 recipients that provide service to geographic areas with a population of 200,000 people or greater must evaluate significant system wide service and fare changes and proposed improvements at the planning and programming stages to determine whether those changes have a discriminatory impact. It is recommended that subrecipients collect demographic information as part of ridership surveys or by developing their own procedures to collect and analyze demographic data on
their beneficiaries.

**Applicable Procedures**

Transit Program Coordinator responsibilities:

- Oversee subrecipient implementation of public involvement, including holding a public meeting to solicit input on fare increases and major service reductions.
- Review subrecipient policies during site visits to verify that the subrecipient has a policy regarding major service changes, including thresholds and procedures.
- Ensure that the subrecipient has either a public involvement process that includes outreach for fare increases and major service reductions, and that the subrecipient has documentation that a process has been followed.

Subrecipient responsibilities:

- Subrecipients will develop a public participation strategy that offers early and continuous opportunities for the public to be involved in the identification of social, economic, and environmental impacts of proposed transportation decisions. This includes fare increases and major service reductions.

### 4.2. Half Fare Requirement

For fixed route service funded with Section 5307 assistance, subrecipients must allow 1) elderly persons, 2) persons with disabilities, and 3) Medicare cardholders to ride fixed route services during off peak hours for a fare that is not more than one half the base fare charged other persons during the peak hours. The requirement applies to base fares.

Though many do, subrecipients are not required to offer half fares on payment options such as monthly passes. If there are services such as neighborhood circulator and shuttle services with fares that are different from the subrecipient’s fare for its regular local service, separate half fares are needed for each type of service.

The requirement is applicable to:

- All fixed route services (including route deviation services and service to sporting events) that operate in both peak and off peak hours and use or involve facilities and equipment financed with Section 5307 funds, whether the services are provided by the subrecipient directly, by a contractor, or by another entity that leases facilities and/or equipment from the grantee
  - Any express and commuter service that operates beyond peak hours
  - Fixed route services for which the grantee has not defined peak hours

This requirement is not applicable to:

- Demand responsive services
- Services that operate only during peak hours, such as express and commuter routes
- Services that operate only in the off-peak hours (e.g., lunchtime circulators and weekend routes to sporting events)
- Services funded with other FTA assistance that do not use Section 5307 funded equipment or not operated out of Section 5307 funded facilities
Applicable Procedures

Transit Program Coordinator responsibilities:

1. Review the subrecipient’s general public information that presents its fare structure, such as pocket timetables, signs within the system, on the website, etc. to ensure that the subrecipient is offering half fare.

Subrecipient responsibilities:

1. Offer and advertise half fare with documents that include fare policy and other information available to the public. Subrecipients must train drivers and other responsible for implementing the fare program.

2. Clearly state the type of identification needed at time of boarding to obtain the half fare.

4.3. Service Standards

Requirements

States that provide service to geographic areas with a population of 200,000 or more under USC 5307 must set system-wide service standards and policies necessary to guard against discriminatory service design or operation decisions.

Examples of service standards are: (1) vehicle load; (2) vehicle headway; (3) on-time performance; (4) distribution of transit amenities; and (5) service availability. Subrecipients are free to adopt additional service standards or other standards in lieu of the ones cited in this provision.

The service standards and policies in the Title VI submission should be the same as those used by the agency to monitor its operations. The reviewer should be able to validate the system-wide service standards and policies stated in the Title VI submission with operational information provided by the state.

Recipients are periodically monitored to compare the level of service provided to predominantly minority areas with service provided in other areas to ensure that the end result of policies and decision making is equitable service. Subrecipients must implement one of four service monitoring procedures as follows:

1. Option A: Level of Service Methodology, based on a sample of bus routes and (if applicable) fixed guideway routes that provide service to a demographic cross-section of subrecipient’s population.

2. Option B: Quality of Service Methodology, based on an appropriate number of Census tracts or traffic analysis zones that represent a cross-section of the subrecipient’s population.

3. Option C: Title VI Analysis of Customer Surveys, based on most recent passenger survey, subrecipients should compare the responses from individuals who identified themselves as members of minority groups and/or in low-income brackets, and the responses of those who identified themselves white and/or in middle and upper-income brackets.

4. Option D: Locally Developed Alternative, grantees have the option of modifying the above options or developing their own procedures to monitor their transit service to ensure compliance with Title VI.
Applicable Procedures

Transit Program Coordinator responsibilities:

1. At a minimum of once per three year-period, reviews the subrecipient’s monitoring data to identify disparities. If disparities are identified, the TPC works with the subrecipient to develop corrective actions and a plan for implementing these.

4.4. National Transit Database

Requirements

GDOT must collect, record, and report financial and non-financial data in accordance with the Uniform System of Accounts (USOA) and the National Transit Database (NTD) Reporting Manual as required by 49 USC 5335(a).

All grantees that receive Section 5307 grant funds are required to file annual reports in the NTD Internet Reporting System. This requirement also applies to recipients of CMAQ and STP funds that are “flexed” into the 5307 program. Section 5307 grantees are required to file monthly reports on transit ridership and operations and safety and security incidents. The requirement to report continues as long as the grantee benefits from the grant funds, i.e., for the minimum useful life of the FTA-funded fixed asset, or indefinitely in the case of facilities.

A grantee that operates no more than thirty vehicles in peak service at any time during the year may request a waiver from filing a complete NTD report. This waiver does not apply to fixed guideway service. The grantee must base its peak service requirements on all fleets and annual maximum service levels. This waiver exempts the grantee from filing the monthly reports. The grantee must still file an annual report containing system identification information and a revenue vehicle inventory.

In certain circumstances, the grantee may request and FTA can grant a waiver from either some or all of the NTD reporting requirements.

All reporting waivers must be requested and approved by FTA for every reporting year. FTA does not grant permanent or multi-year waivers from reporting.

For subrecipients, GDOT is required to ensure the following reports are submitted to NTD:

1. Annual Report. These annual reports include financial and non-financial data in accordance with the USOA as well as other data on operations, organizational relationships, available resources, and capital assets. The NTD Annual Manual, published by FTA each year, contains the specific reporting requirements, detailed reporting instructions and information on due dates, waivers and extensions.

2. Monthly Report. These monthly reports include information on unlinked passenger trips, vehicle revenue miles, vehicle revenue hours, vehicles operated in maximum service, and regular service days for each month. The NTD Monthly Manual, published by FTA each year, contains the specific reporting requirements, detailed reporting instructions, and information on due dates, waivers, and extensions.

3. Safety and Security Report. These monthly reports include information on fatalities, injuries, collisions, derailments, fires, hazardous material spills, evacuations, arrests, and significant security events. The NTD Safety & Security Manual, published by FTA each year, contains the specific reporting requirements, detailed reporting instructions, and information on due dates, waivers, and extensions.

4. Waiver. Grant recipients that operate thirty or fewer vehicles in maximum (peak) service may be eligible for reduced NTD reporting requirements. Consult the most
recent editions of the NTD Reporting Manuals for specific requirements and information on applying for and receiving a Nine or Fewer Reporting Waiver.

**Applicable Procedures**

Transit Program Coordinator responsibilities:

1. Verify annual, monthly, and safety and security reports are submitted on time.

Subrecipient responsibilities:

1. File all required NTD reports on time.
2. Submit a copy of the annual NTD Closeout Letter to the Transit Program Coordinator.

**4.5. Safety and Security**

Requirements

Any recipient of Section 5307 funds must annually certify that it is spending at least one percent of such funds for transit security projects or that such expenditures for security systems are not necessary.


**Applicable Procedures**

Transit Program Coordinator responsibilities:

1. Certify that subrecipients are spending at least one percent of Section 5307 funds on transit security projects or that such expenditures are not necessary.
2. Document 5307 transit security projects spending in TEAM.

If less than one percent of funds are spent on transit security, GDOT must provide a written explanation and any information that supports this decision. If local funds are spent on security, GDOT must provide expense detail in the requested format as well as documentation that supports these expenditures.

Subrecipient responsibilities:

1. Each year, complete the appropriate certifications and assurances.
2. Prepare a written safety policy and safety plan.

**5.0 FORMS, CHECKLISTS & TEMPLATES**
All forms, checklists and templates for this program are contained in the SMP.

6.0 Additional Planning Guidance

6.1 5307 Contract and Grant Requirements
Once applications are approved and contracted, local transit agencies must adhere to all FTA administrative procedures and guidelines. The purpose of these guidelines is to provide uniform instructions to subgrantees, ensure compliance with Federal and State rules and regulations and to facilitate a systematic approach to managing public transportation programs and activities in Georgia.
Table of Contents

1.0 INTRODUCTION ............................................................................................................................... 2
  1.1. Purpose of the Procedure Manual ............................................................................................... 2
  1.2. Overview of Related Documents ................................................................................................. 2

2.0 5309 PROGRAM OVERVIEW ........................................................................................................... 2
  2.1. Program Goals and Objectives .................................................................................................... 3
  2.2. Eligibility .................................................................................................................................... 3
  2.2.1. Eligible Recipients ...................................................................................................................... 3
  2.2.2. Eligible Projects .......................................................................................................................... 3
  2.3. Local Share and Funding Requirements .................................................................................... 5
  2.3.1. Local Match Requirement .......................................................................................................... 6
  2.3.2. Distribution of Funds ...................................................................................................................... 6
  2.3.3. Evaluation Criteria ...................................................................................................................... 6

3.0 PRE-AWARD REQUIREMENTS AND PROCEDURES ..................................................................... 6
  3.1. Planning ...................................................................................................................................... 6
  3.2. Application .................................................................................................................................. 7
  3.2.1. Application Package ................................................................................................................... 8
  3.2.2. Submittal of Applications to FTA ............................................................................................... 8

4.0 AWARD, POST-AWARD, AND CLOSEOUT ....................................................................................... 9

5.0 Relationship to Metropolitan Planning Program (Title 49 U.S.C. Section 5303) ......................... 10

6.0 Relationship to Urbanized Area Formula Program (Title 49 U.S.C. Section 5307) ......................... 10

7.0 FORMS, CHECKLISTS & TEMPLATES ........................................................................................... 11

8.0 FEDERAL REQUIREMENTS ASSOCIATED WITH THE CAPITAL PROGRAM ........................... 11

9.0 Private Enterprise Concerns ............................................................................................................. 13

10.0 Real Property Acquisition ............................................................................................................. 13

11.0 Relocation ......................................................................................................................................... 13

12.0 Seismic Design and Construction Standards ............................................................................. 14

13.0 Lease vs. Buy Considerations ......................................................................................................... 14

14.0 Certification Procedures ................................................................................................................... 14

15.0 Annual Audit and Triennial Reviews ........................................................................................... 14

16.0 DISCRETIONARY CAPITAL PROGRAM APPLICATION PROCEDURES ................................. 14
1.0 INTRODUCTION

1.1. Purpose of the Procedure Manual

The purpose of this manual is to provide uniform instructions to GDOT staff and grantees, ensure compliance with Federal and State rules and regulations and to facilitate a systematic approach to managing public transportation programs and activities in Georgia.

This procedure manual summarizes information relative to the Section 5309 Capital Program including grant application requirements, forms, exhibits and certifications & assurances, program management requirements and forms, and other resources to enable applicants to request Federal Capital Assistance under the program.

This procedure manual describes the requirements for grants management so that grants and projects are accomplished in an efficient and complete manner. The full cycle of pre-award, award, post-award, and closeout requirements of the FTA grants management process is covered.

The purpose of this procedure manual is:

- To provide detailed guidelines to GDOT staff and subrecipients about the Section 5309 Capital Program.
- To assist GDOT staff and subrecipients in completing detailed quality applications and maximizing the probability of funding.
- To describe specific roles and responsibilities throughout the grant administration process and maximize the success of grant-funded projects.
- To provide staff with guidance on how to manage 5309 grants, particularly subrecipient oversight.

1.2. Overview of Related Documents

This manual replaces two prior documents used to manage the Section 5309 program, including the prior Program Management Manual and Administrative Guide. This manual works in conjunction with the new GDOT General Program Management Manual (SMP) to provide an overview of state policies and procedures for the Section 5309.

2.0 5309 PROGRAM OVERVIEW

The Section 5309 program provides capital discretionary funding for transit bus and bus facilities, modernization of fixed guideway systems, and construction of new fixed guideway systems, extensions (New Starts) and additional project activities, as outlined in this section.

Funding is appropriated by Congress on an annual basis. Division of Intermodal distributes grants to subrecipients designated by Congressional earmark. Once funded, subrecipients must adhere to administrative procedures and guidelines, as outlined in the SMP and this program manual.

Refer to FTA Circular 9300.1B and the Federal Register for additional information regarding use of funds.
2.1. **Program Goals and Objectives**

The Capital Investment Program provides funds to invest in capital equipment and facilities to allow for efficient and improved public transportation services. For bus and bus related facilities, the program provides for extraordinary capital needs that require resources in excess of funds supplied by formula funding or to advance important special emphasis initiatives. For New Starts and Small Starts, the program provides funds to construct new and expand existing fixed guideway systems and comprehensive corridor based bus systems. For fixed guideway modernization, the program provides funds to rehabilitate and renovate older fixed guideway systems. For all program-funded projects, FTA expects recipient agencies to maintain sufficient funding resources to ensure the recapitalization and operation of the overall transit system.

2.2. **Eligibility**

2.2.1. **Eligible Recipients**

Eligible recipients under the Bus program are States and local governments, as well as subrecipients, such as public agencies, private companies engaged in public transportation and private non-profit organizations.

Private companies engaged in public transportation are eligible sub recipients of FTA grants. Private operators may now receive FTA funds as a pass through without competition if they are included in a program of projects submitted by the designated public authority acting as the direct recipient of a grant.

2.2.2. **Eligible Projects**

Projects eligible for funding under the Capital Investment Program include those defined in Section 5309, clean fuels buses as defined in Section 5308 when purchased with Section 5309 funds, as well as certain capital items defined in Section 5302(a)(1) when those items are integral to a capital investment project. Eligible projects and activities are divided into two areas: Assets for which FTA Provides Assistance and Additional Eligible Project Activities.

1. Assets for which FTA Provides Assistance. Section 5309 authorizes the Secretary of the U.S. Department of Transportation to make grants for buses and bus facilities, fixed guideway modernization, New Starts and Small Starts, and the development of corridors to support new fixed guideway capital projects. These encompass “capital investment projects” as defined in this circular.

   a. **Bus and Bus-related Facilities.** The major purchases under this category are buses and other rolling stock, ferry boats, ancillary equipment, and the construction of bus facilities (i.e., maintenance facilities, garages, storage areas, waiting facilities and terminals, transit malls and centers, and transfer facilities and intermodal facilities). This category also includes bus rehabilitation and leasing, park-and ride facilities, parking lots associated with transit facilities, bus passenger shelters, and intercity bus stations and terminals which are eligible under Section 5302(a)(1)(G). Vehicle procurement standards are outlined in Section 3.6 of the SMP. Items such as mobile radio units, bus stop signs, supervisory vehicles, fareboxes, computers, and shop and garage equipment are also eligible expenses. The rationale or need for requesting other allowable capital purchases should be made apparent in the grant application.

   b. **Modernization of Fixed Guideway Systems.** This includes infrastructure
improvements such as track and right-of-way rehabilitation, modernization of stations and maintenance facilities, rolling stock purchase and rehabilitation, and signal and power modernization. Modernization of ferry terminals and the transit portion of ferry boats are also eligible costs. While funds are apportioned based only on fixed guideway segments that have been in operation seven years or longer, a recipient may use the funds apportioned to it for eligible modernization projects on any part of its fixed guideway system.

c. **New Fixed Guideway Capital Projects (New Starts and Small Starts).** Capital projects under this category include preliminary engineering (PE), acquisition of real property (including relocation costs), final design and construction, and initial acquisition of rolling stock for the system. Small Starts also includes corridor bus projects that either operate in a separate right-of-way during peak hours or contain significant investment in corridor-based bus improvements.

d. **Corridors to Support New Fixed Guideway Projects.** These projects may include protecting rights-of-way through acquisition; construction of dedicated bus and high-occupancy vehicle (HOV) lanes; and park-and-ride lots. These projects may also include “nonvehicular” capital improvements that will increase transit use in the corridor. Examples include additional safety features that would encourage riders to use transit, walkways and pathways that make transit more readily available, bus shelters, and joint development projects that would improve the livability of a community and increase the benefits transit offers. These items are eligible categories of expenditures within the New Starts and Small Starts programs when part of a fixed guideway or corridor-based bus project.

2. **Additional Eligible Project Activities.** These activities include elements that may be incorporated into a Section 5309 capital investment grant, as applicable. For example, a bus acquisition may include, but is not limited to, buses powered by clean fuels, or that include Intelligent Transportation Systems (ITS) elements. A New Starts, Small Starts, or fixed guideway modernization project may include, but is not limited to, projects to refine security and emergency response plans and projects to incorporate design and art.

a. **Clean Fuels (Section 5308).** Purchases under this category are passenger vehicles used to provide public transportation and powered by compressed natural gas (CNG), liquefied natural gas (LNG), biodiesel fuels, batteries, alcohol-based fuels, hybrid electric, fuel cell, clean diesel (ultra low sulfur content), or other low or zero emissions technology. Eligible activities also include constructing or leasing clean fuel buses, constructing electrical recharging facilities for such buses, and constructing new or improving existing public transportation facilities to accommodate clean fuel buses.

b. **Introduction of New Technology.** Section 5309 funds may be used for transit related technology, such as innovative and improved products that provide benefits to transit, including ITS. ITS refers to the use of electronics, communications, or information processing used as a single component or in combination to improve efficiency or safety of a transit or highway system. Examples of transit-related ITS projects include real-time bus arrival information available to passengers through electronic displays at bus stops, automatic vehicle locators, automated passenger counters, vehicle component monitoring (diagnostics), advanced fare payment methods, computer-aided dispatching and real-time ridesharing, and automated information for travelers using more than one mode of transportation.

c. **Design and Art in Transit.** When integral to a capital investment project, Section 5309 funds may be used to incorporate design and artistic considerations into transit projects as described in FTA Circular 9400.1, “Federal Transit Administration Design and Art in Transit Projects.”
d. **Leasing.** When a recipient leases capital assets from another party, leasing costs are eligible for capital assistance, provided leasing is more cost effective than purchase or construction. Leasing costs eligible for capital assistance include finance charges and ancillary costs such as delivery and installation charges. Leasing of capital assets requires compliance with 49 CFR Part 639, “Capital Leases” and Office of Management and Budget (OMB) Circular A–94 which prescribes the discount rates.

e. **Rail Trackage Agreements.** Capital portions of rail trackage rights agreements are eligible for Capital Investment Program assistance.

f. **Crime Prevention and Security.** When integral to a capital investment project, Section 5309 funds may be used for projects designed to enhance the security of the transit environment as described in 49 U.S.C. 5302(a)(1)(J).

g. **Education and Training.** When integral to a capital investment project, Section 5309 funds may be used for education and training through the National Transit Institute, as described in 49 U.S.C. 5315(d).

h. **Innovative Financing.** When integral to a capital investment project, Section 5309 funds may be used to pay for costs incurred to secure or initiate an innovative financing technique except that eligible costs may not be more than the cost of the most favorable financing terms reasonably available at the time of borrowing.

i. **Public Transportation Improvements.** When integral to a capital investment project, Section 5309 funds may be used for projects that enhance economic development or incorporate private investment, including pedestrian and bicycle access to a public transportation facility, renovation of historic transportation facilities, intercity bus and intercity rail stations and terminals, and establishment of new or enhanced coordination between public transportation and other transportation as described in 49 U.S.C. 5302(a)(1)(G).

j. **Bicycle Facilities.** When integral to a capital investment project, Section 5309 funds may be used for bicycle facilities as described in 49 U.S.C. 5319.

k. **Emphasis Areas.** From time to time, FTA will establish areas of emphasis to which it will give priority. These emphasis areas are typically aimed at improving customer service, increasing transit capacity, or enhancing transit operations.

l. **Preventive Maintenance.** Includes maintenance costs related to vehicles and nonvehicles. For general guidance regarding eligible maintenance costs, the recipient should refer to the definition of “maintenance” in the most recent National Transit Database (NTD) reporting manual. To locate the reporting manual, see NTD’s website at: [http://www.ntdprogram.gov](http://www.ntdprogram.gov). Examples of expenses not eligible as preventive maintenance are fuel costs and building or vehicle liability insurance, which are not reported to the NTD as maintenance expenses.

m. **Capital Cost of Contracting.** The cost of capital consumed as part of a service contract, including vehicle depreciation, facility depreciation, and interest charged for acquisition of capital through a contract is an eligible capital expense. Items purchased with Federal, State or local government assistance are not eligible for reimbursement under this mechanism. Additional details are provided in FTA Circular c-9300.1B.

### 2.3. Local Share and Funding Requirements
2.3.1. Local Match Requirement

Funding ratios for Section 5309 program is 80 percent Federal, plus a minimum of 10 percent State (from general revenue, taxes, legislative appropriation) and 10 percent local. However, State funding is subject to availability. If the Department cannot provide the match, it is the subrecipient’s responsibility to pay the State share percentage.

Local match (state and local, combined) must be from sources other than U.S. Department of Transportation Federal funds.

2.3.2. Distribution of Funds

Division of Intermodal distributes grants to subrecipients designated by Congressional earmark.

2.3.3. Evaluation Criteria

Projects are evaluated based on compliance with state and federal requirements and availability of funding.

3.0 PRE-AWARD REQUIREMENTS AND PROCEDURES

The purpose of this procedure is to provide guidance to GDOT and the subrecipient in the pre-award stage of the grant management process of developing a grant application package. It outlines responsibilities for FTA, GDOT and the subrecipient and sets forth guidelines and describes the step-by-step process for all the components of the application package.

3.1. Planning

General Planning Requirements

The basis of the FTA application is a statewide Program of Projects (POP), developed through a statewide planning effort that incorporates local recipient needs.

Under the pre-award stage, there are a number of activities and processes that must be completed in order to award grants. GDOT and its subrecipients are responsible for careful execution of pre-award procedures.

GDOT and its subrecipients are also held accountable for adhering to FTA and GDOT policies and procedures in this pre-award phase. The list of requirements is below in Figure 2 and further explained in sections of the SMP.

Figure 2 Planning Requirements

<table>
<thead>
<tr>
<th>Requirements</th>
<th>SMP Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public Participation Process</td>
<td>2.12.9</td>
</tr>
</tbody>
</table>
3.2. Application

The processes under this activity include the preparation of a grant application and the steps leading to its submission. These processes are designed to ensure that GDOT submits an application that is in compliance with all FTA requirements and that it can be processed by the Regional Office in a timely manner to prevent delays in making an award.

General Requirements

Application requirements common to all programs are defined the SMP, including procedures relating to certifications and assurances; documentation of legal, financial and technical capacity; labor certifications; and civil rights submissions. Figure 3 outlines these requirements and their location within the SMP.

**Figure 3 General Application Requirements**

<table>
<thead>
<tr>
<th>Requirements</th>
<th>SMP Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certifications and Assurances</td>
<td>2.2.2</td>
</tr>
<tr>
<td>Legal, financial, and technical capacity</td>
<td>2.2.3</td>
</tr>
<tr>
<td>Labor Protection</td>
<td>2.10</td>
</tr>
<tr>
<td>Title VI Submissions</td>
<td>2.12</td>
</tr>
</tbody>
</table>
Procedures

3.2.1. Application Package

- Each grant application must contain the applicable certifications and assurances, authorizing resolution, labor certifications and civil rights submissions defined in the SMP.
- Subrecipients must provide a complete project description (1-2 pages) of all their projects to be included in the application to their respective Transit Program Coordinator. At a minimum, subrecipients must include project scope and milestone information.
- Subrecipients must coordinate with the MPO Planning process to fulfill the public participation requirements for the advertisement of the transit POP.
- Subrecipients must develop a realistic budget.
- Subrecipients should provide an explanation of the most recent year's financial performance, including any balances left in the budget and/or expenses incurred but not reimbursed. Subrecipients should complete the budget for the application period using the format as shown in Sample Capital Budget Forms (Projected expenses should balance with projected revenues for the application period).
- Subrecipients should use the Application for Funding template to complete their draft application.
- The Transit Program Coordinator receives the completed draft grant applications from each subrecipient and review for compliance, accuracy and completeness.
- The Transit Program Coordinator reviews requested budgets including all the various elements:
  - Budget activity line items (ALIs) for the various types of capital requests.
  - Assessment of requested funds compared to TIP and STIP.
  - Project milestone schedule level of specificity and completeness.
  - Most recent year’s financial performance, including any balances left in the budget and/or expenses incurred but not reimbursed
- The Transit Program Coordinator consolidates and reviews subrecipient budgets in the application package.
- The Transit Program Coordinator coordinates with subrecipients to resolve any issues found in the draft application.

3.2.2. Submittal of Applications to FTA

- The Transit Program Coordinator is responsible for submitting the application for 5309 funds in TEAM for transmittal to the FTA.
- The Transit Program Coordinator consolidates and develops the program draft application and enters it into TEAM for FTA review.
- Once the application is submitted in TEAM, the Transit Program Coordinator communicates any changes to the FTA or makes the changes recommended by the FTA during their review of the application. The Transit Program Coordinator informs subrecipients if any FTA-mandated changes affect their projects.
- The Transit Program Coordinator modifies the draft application according to any comments provided by FTA after submission of the draft application in TEAM.
- GDOT Director of Transit Programs or designee of the GDOT Intermodal Programs Division submits or authorizes the final application to FTA in TEAM.

Page 8 of 16

GDOT 5309 Procedures Guide
4.0 AWARDS, POST-AWARD, AND CLOSEOUT

Procedures for the award, post-award and closeout stages of the grant life-cycle are common to all FTA programs, and are therefore contained in the SMP. Figure 4 summarizes the requirements and procedures that apply.

Figure 4 Award, Post-Award and Closeout Requirements & Procedures

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant Obligation and Award</td>
<td>2.2.5</td>
</tr>
<tr>
<td>Funding and Contracts Setup (see Financial Management Procedures)</td>
<td>2.4.8</td>
</tr>
<tr>
<td>Procurement</td>
<td>2.6</td>
</tr>
<tr>
<td>Invoice Submittal and Payment Reimbursement</td>
<td>2.3.2</td>
</tr>
<tr>
<td>Satisfactory Continuing Control</td>
<td>3.0</td>
</tr>
<tr>
<td>Monthly Accounting Systems Reconciliation</td>
<td>2.3.3</td>
</tr>
<tr>
<td>Reporting, including DBE Reporting, Financial Reporting, Milestone Progress Reporting</td>
<td>2.3</td>
</tr>
<tr>
<td>Charter Service</td>
<td>2.15</td>
</tr>
<tr>
<td>Title VI Audits</td>
<td>2.12.12</td>
</tr>
<tr>
<td>A-133 Audits</td>
<td>2.5</td>
</tr>
<tr>
<td>Budget Revision and Amendment</td>
<td>2.4.7</td>
</tr>
<tr>
<td>Oversight</td>
<td>2.2.6</td>
</tr>
<tr>
<td>Closeout</td>
<td>2.2.11</td>
</tr>
</tbody>
</table>
5.0 Relationship to Metropolitan Planning Program (Title 49 U.S.C. Section 5303)

The Section 5303 Metropolitan Planning Program was authorized by Congress to provide funding for transit planning and technical studies in urban and non-urban areas. The Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) gave GDOT the responsibility to administer the program in all urban areas, regardless of population size. The national policy objective of this program is to encourage and promote the development of efficient transportation systems. It is towards this end that Metropolitan Planning Organizations and the state must work together to develop transportation plans and programs for urbanized areas in the state. Through this cooperative effort, three major planning products are required: (1) Long Range Plan (LRP), (2) Transportation Improvement Program (TIP), and (3) Unified Planning Work Program (UPWP). Both the Metropolitan Planning Organization and the state are required to develop a Long Range Transportation Plan covering a forecast period at least 20 years. The LRP for MPOs is integrated into the state “long-range transportation plan. If the MPO is located in an area that is designated by EPA as a non-attainment area for purposes of the Clean Air Act, then it must coordinate development of its long-range transportation plan with that of the state to conform to the state” (air quality) implementation plan (SIP). The TIP is a priority list of highway and transit projects to be carried out in a four-year time period that are either federally or non-federally funded. Development of the TIP is the result of cooperation between the MPOs, the State, and affected transit operators. The TIP is updated at least once every four years; however, projects proposed in the TIP must be consistent with the long-range transportation plan. Additionally, a public hearing process is required to ensure the public is given ample opportunity to comment on proposed projects. The TIP must also demonstrate how proposed projects will be financed. MPOs are required to develop and submit a Unified Planning Work Program (UPWP) that consists of transportation planning activities covering a one or two-year time period. The MPOs receive federal assistance from the FTA for preparing UPWPs via the states. The Grant Applicant for capital assistance is encouraged to actively participate in the metropolitan planning process.

6.0 Relationship to Urbanized Area Formula Program (Title 49 U.S.C. Section 5307)

The Section 5307 Urbanized Area Formula Program funding is used for public transportation capital, operating and planning projects, whereas the Section 5309 Capital Program funding is used for capital projects only. The FTA will perform a triennial review every three years for the Section 5307 program to determine if they are in compliance with Federal requirements. If the Section 5309 applicant is receiving Section 5307 funds, then FTA will rely on findings documented with the most recent triennial review to approve the 5309 application. Section 5307 applicants must relate to the following Federal requirements: the project proposed is a part of the

GDOT 5309 Procedures Guide
planning process (included in the TIP and STIP); they have the legal, financial, and technical
capacity to carry out the project; they have satisfactory continuing control over the use of the
equipment or facilities; and they have the capability to maintain the equipment or facilities, and
will maintain the equipment or facilities.

The purpose of Section 5309 is to capitalize transit facilities, and to help bring those facilities up
to a level of acceptable safety, reliability and efficiency. Critical bus capital projects that cannot
be accommodated under the Urbanized Area Formula Program (Section 5307) will be considered
for discretionary capital funding.

The Section 5309 discretionary capital grant program funding should be used to supplement
Section 5307 formula funds. Urbanized Area Formula funds are intended to be the primary
resource for routine capital needs. Discretionary Capital funds will be used as a resource for
major bus or rail projects that require federal funding beyond what is available under FTA
Urbanized Area Formula funds.

Application procedures for the Urbanized Area Formula Program (Section 5307) are similar to
those outlined in this Capital Program Administrative Guide. Interested grantees should contact

7.0 FORMS, CHECKLISTS & TEMPLATES

Most of the forms required during the pre-award, award, post-award, and closeout stages are
included in the
SMP.

The forms that are specific just to the 5309 programs are listed in the following table.

Pre-Award Phase

<table>
<thead>
<tr>
<th>Section 5309 Sample Budget Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>Air Quality</td>
</tr>
</tbody>
</table>

8.0 FEDERAL REQUIREMENTS ASSOCIATED WITH THE CAPITAL PROGRAM

Certifications Specific to the Capital Program
There are specific elements to which a grant applicant must certify when applying for Section
5309 funding. A brief description of each is outlined below.
**Legal Capacity** - The applicant must be eligible and authorized under state or local law to request, receive, and spend FTA funds to administer the program. Officials acting on behalf of the applicant must have the appropriate authority to do so.

**Financial Capacity** - Recipients must be able to match and manage funds through long-term reliable sources and to maintain and operate federally funded facilities and equipment. FTA’s Financial Capacity Policy focuses on:

1. General Financial Condition, which refers to historical trends and current situations which may affect the ability to maintain present levels of service; and
2. Financial Capability, which focuses on the applicant’s ability to cover operating deficits and capital costs.

**Technical Capacity** - Involves the Applicant’s ability to carry out and manage Federal grants in accordance with the grant agreement and with applicable laws and regulations, using sound management practices. Grantee responsibility in this regard is outlined in FTA Circular 5010.

**Guidelines** - Procurement practices are also related to technical capacity. Satisfactory

**Continuing Control** - Grantees must maintain control over federally funded property to ensure that it is used in transit service and disposed of in accordance with Federal requirements. Satisfactory control also includes safeguards against loss, theft or damage.

**Rates Charged Elderly and Persons with Disabilities During Non-Peak Hours** - Grantees must ensure that rates charged elderly and persons with disabilities during nonpeak hours for fixedroute transportation, using facilities and equipment financed with Federal assistance, will not exceed one-half of the rates applicable to other persons at peak hours. Rates Charged Person Presenting a Medicare Card Grantees must extend the half-fare rate to any person presenting a Medicare card issued to that person under the Social Security Act.

**Buy America Provisions** - The Buy America stipulation is intended to ensure that Federal grants stimulate domestic economic activity. Per “Buy America” law, federal funds may not be obligated unless steel, iron, and manufactured products used in FTA-funded projects are produced in the United States, unless FTA has granted a waiver, or the product is subject to a general waiver. Rolling stock must have sixty percent domestic content and final assembly must take place in the United States. FTA can grant a specific Buy America waiver when it is in the public interest, domestically produced goods are not available, or when there is a price differential of at least 25 percent between domestic and foreign bids. A general interest waiver has been issued to exempt small purchases, defined as those of $100,000, from the Buy America Requirement.

**Improve Mobility, Fuel Consumption and Air Pollution** - National Policy indicates that it is in the best interest of the United States to encourage the development of transportation systems that embrace various modes of transportation efficiently, maximize the mobility of individuals and goods in and through urbanized areas, and minimize transportation-related fuel consumption and air pollution.

**Availability of Local Funds** - Local matching funds must be available to carry out the proposed projects.

**Metropolitan Planning Requirements** - Projects must appear in a TIP and STIP jointly approved by FTA and FHWA. Before inclusion in the TIP/STIP projects should be consistent
with the area’s Long Range Plan and conform to joint Metropolitan Planning Regulations issued by FTA and FHWA.

**Elderly Persons and Individuals with Disabilities National Policy** - Elderly and individuals with disabilities have the same rights as other individuals to use transit service and facilities. Thus, grantees must make special efforts in planning and designing transit service and facilities to ensure that this segment of the population can use transit.

**Public Comment of Fare and Service Changes** - Grantees should have a written policy describing the public comment processes on increases in the basic fare structure and for major service reductions. The policy should provide an opportunity for a public hearing or public meeting, describe how meetings will be conducted, and provide how the meeting results will be considered in the process of changing fares or reducing service. Transit Security Project Expenditures - Grantees must expend at least one percent (1%) of funds received each fiscal year on transit security projects or certify that these expenditures are not necessary. Security projects may be operating or capital expenditure.

### 9.0 Private Enterprise Concerns

Grantees must include the private sector in developing local transit programs; ensure adequate compensation if a state or local government purchases the facilities and equipment of a private provider, and protect the private provider of transit from competition with federally assisted transit providers. Planning requirements specify that private enterprise participation be encouraged to the maximum extent feasible. Private providers of charter and school bus service are afforded certain protections from competition with public transit operators.

### 10.0 Real Property Acquisition

Grantees must ensure that displaced persons and the owners of real property are treated fairly and consistently. Grantees must also ensure that displaced persons will not suffer disproportionately as a result of a federally assisted project. They must also ensure that the regulations are implemented in a cost-efficient and cost-effective manner in accordance with requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended by the Surface Transportation and Uniform Relocation Assistance Act of 1987, and set forth in 49 CFR Part 24.

### 11.0 Relocation

When a federally assisted project requires displacement of individuals, families, businesses, partnerships, corporations or associations, no financial assistance can be extended unless an adequate relocation program is in place for persons to be displaced by the project.
12.0 Seismic Design and Construction Standards

Any new building or addition to a building built with federal assistance must be designed and constructed in accordance with seismic safety standards.

13.0 Lease vs. Buy Considerations

Grantees must make a written comparison of the cost of leasing assets with the cost of purchase or construction. They must certify that leasing is more cost-effective than purchase or construction.

14.0 Certification Procedures

ISTEA amended Federal transit laws to provide that certifications and assurances by a grant applicant may be consolidated into a single document, which will be submitted annually as part of the grant application. These certifications and assurances will be published annually by FTA in the Federal Register. They are included in this document in the Appendix.

15.0 Annual Audit and Triennial Reviews

Congress has charged FTA with conducting audits or requiring grantees to have independent audits to determine that recipients have carried out its activities in accordance with program requirements and certifications. In particular, FTA must conduct a full review and evaluation of grantee performance at least every three years. These "Triennial Reviews" allow the FTA to determine if the grantee is complying with the certifications that it has made.

16.0 DISCRETIONARY CAPITAL PROGRAM APPLICATION PROCEDURES

Application Requirements

In order to participate in the Section 5309 Capital grant program, eligible recipients must complete the following application components and submit them to GDOT by the grant application deadline. Capital program grant application packages must be submitted to GDOT in order for this grant to be submitted to FTA. The grant application consists of the following documentation.

<table>
<thead>
<tr>
<th>Exhibit No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exhibit 1</td>
<td>Letter of Transmittal</td>
</tr>
<tr>
<td>Exhibit 2</td>
<td>Section 5309 Program Funding Form</td>
</tr>
<tr>
<td>Exhibit 3</td>
<td>Project Description</td>
</tr>
<tr>
<td>Exhibit 4</td>
<td>Project Justification</td>
</tr>
</tbody>
</table>
All applications should be completed in the order shown in this manual. Completed applications should have original signatures. **An original and one copy of the application should be submitted to GDOT with delivery confirmation no later than February 26, 2010.** Additionally, an electronic copy should be submitted to skish@dot.ga.gov with an email receipt. Original copies should not be stapled, bound or folded and should be prepared on standard 8½ by 11 paper size.

**Instructions for Applications** - The completed applications should include only the items listed in the preceding section, unless additional documentation is requested. A brief description of each component is outlined below. The Department reserves the right to request additional documentation as needed.
5311
PROCEDURES GUIDE

Prepared By Division of Intermodal Programs
March 2013

www.dot.ga.gov
# Table of Contents

1.0  INTRODUCTION................................................................................................................................. 3

1.1.  Purpose of the Program Procedure Manual........................................................................................... 3

1.2.  Overview of Related Documents ........................................................................................................... 3

2.0  SECTION 5311 PROGRAM OVERVIEW ................................................................................................................................. 4

2.1.  Program Goals and Objectives ................................................................................................................. 4

2.1.1.  Local Public Transportation System Goals.......................................................................................... 5

2.2.  Eligibility................................................................................................................................................ 6

2.2.1.  Eligible Recipients............................................................................................................................... 6

2.2.2.  Eligible Projects.................................................................................................................................. 6

2.3.  Local Share and Funding Requirements .................................................................................................. 7

2.3.1.  Capital.................................................................................................................................................. 7

2.3.2.  Operating............................................................................................................................................. 7

2.3.3.  Other Funding Requirements ............................................................................................................ 7

2.3.4.  State Matching Funds........................................................................................................................ 8

2.3.5.  Distribution of Funds........................................................................................................................ 8

2.4.  Project Duration ...................................................................................................................................... 8

2.5.  Rural Transportation Assistance Program .............................................................................................. 9

2.5.1.  Participation by Providers in Urbanized Areas.................................................................................... 9

3.0  PRE-AWARD REQUIREMENTS AND PROCEDURES ......................................................................................... 9

3.1.  Planning.................................................................................................................................................. 9

3.1.1.  Rural Transportation Improvement Plan (RTIP).................................................................................... 9

3.1.2.  Coordination....................................................................................................................................... 10

3.2.  Application ............................................................................................................................................. 10

3.2.1.  Applications to Federal Motor Vehicle Safety Administration (FMCSA)............................................. 10

3.2.2.  Application Package.......................................................................................................................... 11

3.2.3.  Submittal of Applications to FTA......................................................................................................... 14

4.0  AWARD, POST-AWARD, AND CLOSEOUT ................................................................................................. 14

4.1.  National Transit Database ...................................................................................................................... 15

5.0  FORMS, CHECKLISTS & TEMPLATES.......................................................................................................... 16

6.0  SECTION 5311(F)................................................................................................................................. 16

6.1.  Program Overview .................................................................................................................................. 16

6.1.1.  Eligible Recipients............................................................................................................................... 17

6.1.2.  Eligible Projects.................................................................................................................................. 17

6.1.3.  Eligible Service and Service Areas:.................................................................................................... 17

6.2.  Pre-Award Requirements and Procedures ............................................................................................. 18

6.2.1.  ICB Certification ................................................................................................................................ 18

6.2.2.  Consultation Process .......................................................................................................................... 18

6.3.  Award Procedures .................................................................................................................................. 19

6.4.  5311(f) Forms ....................................................................................................................................... 19
1.0 INTRODUCTION

The Section 5311 Program offers local areas the opportunity to provide transit services to its citizens thus enhancing access to health care, business, commercial and social activity centers. Section 5311 is the name of the Federal funding program administered by the Federal Transit Administration (FTA) to provide assistance for rural public transportation in areas with a population of 50,000 or less. Requirements and procedures for the section 5311(f) program, which provides funding for intercity bus transportation, are described at the end of this manual.

1.1. Purpose of the Program Procedure Manual

The Section 5311 Program Procedure Manual (Manual) is intended to facilitate both Georgia Department of Transportation (GDOT)’s management and FTA oversight by documenting the policies and procedures for administering the two programs in a single document. The Manual is also intended to be useful to GDOT’s sub-recipients.

The purpose of the Manual is:

- To provide detailed guidelines to GDOT staff and Subrecipients about the Section 5311 and 5311(f) Programs.
- To assist GDOT staff and Subrecipients in completing quality applications and maximizing the probability of funding.
- To assist the FTA in performing designated recipient-level management review of the 5311 Program, and to provide public information on GDOT’s administration of the two programs.
- To complement the GDOT’s State Management Plan (SMP) by providing program-specific information about the two programs.
- To describe the program-specific requirements for grants management so that grants and projects are accomplished in a timely manner.
- To serve as part of the State Management Plan (SMP), as required by the FTA.

The Manual presents information for Section 5311(f) transit procedures. These were combined due to similar requirements for grants management for both programs.

1.2. Overview of Related Documents

This Manual replaces three prior documents used to manage the Section 5311 program, including the prior SMP, the Program Management Manual and the Administrative Guide. The Manual works in conjunction with the newly created GDOT State Management Plan (SMP) to provide an overview of State policies and procedures for the Section 5311 program.
The SMP includes:

- An overview of FTA programs that are administered by GDOT
- Responsibilities of GDOT staff when administering grants
- Responsibilities of Subrecipients as GDOT grantees
- Grant management policies and procedures
- The Full cycle of pre-award, award, and post-award and award closeout requirements of the FTA grants management process
- Checklist and forms to help adhere to general FTA requirements
- General programmatic information common to all programs

The Manual provides:

- Information checklists and special forms specific to the 5311 and 5311(f) programs.

## 2.0 SECTION 5311 PROGRAM OVERVIEW

The Section 5311 Program offers local areas the opportunity to provide transit services to its citizens thus enhancing access to health care, business, commercial and social activity centers. Section 5311 is the name of the Federal funding program administered by the FTA to provide assistance for rural public transportation in areas with a population of 50,000 or less. Federal funds are allocated to the states on a formula basis, and can be used for capital projects, operating assistance, planning, and program administration. GDOT, Intermodal Program Division is responsible for administering the program. GDOT is the recipient of these funds, and in turn provides Federal funding (and a limited amount of state capital funding) to local Subrecipients in Georgia.

This program has been in existence in Georgia since 1979, as the Section 18 program until 1990, when Section 18 became Section 5311 program. The Section 5311 Program has had a significant influence on mobility in rural communities. Ridership continues to increase while these programs provide necessary mobility to non-urban local areas. A successful Section 5311 Program requires a close partnership between the local and state interests. The success of this partnership will continue to influence mobility for rural residents.

### 2.1. Program Goals and Objectives

Georgia has established the following statewide goals for the Section 5311 program:

- **Basic Mobility to Serve All Georgians**
  - Serving those persons with the most critical needs for access and mobility, especially those without alternatives
  - providing service without any trip purpose restrictions or eligibility requirements—including medical, social services, personal shopping, business, and employment trips
  - serving all areas with appropriate levels of service, subject to the required local or regional participation
  - addressing economic development—through employment trips, services to support local employment sites, new ones, etc.

- **Program Implementation**
  - partnering with the FTA in the administration of the Section 5311 program, meeting or exceeding all FTA program requirements
  - managing a program of excellence that provides timely management, direction, guidance, and reimbursement to allow local entities to provide safe, dependable quality service
  - partnering with local or regional entities to plan services to meet locally identified needs partnering with local or regional entities to operate the services
  - providing technical assistance to help local providers improve efficiency, safety, and quality of service
  - providing technical information, policy analyses, and program management data to support transit program development

- **Efficiency and Effectiveness**
  - while maximizing ridership, recognizing that there are significant differences in population density, trip characteristics, and client needs (accessibility, assistance, etc.) which will affect usage
  - subject to performance requirements appropriate to the area and type of service
  - with the appropriate type of service—demand-responsive, subscription route or route-deviation.
  - using the appropriate vehicle type—accessible if needed, sedan, van, small bus, large bus

- **Safe, Secure Quality Service**
  - operating equipment that is safe and within its design life span, inspected for safety and overall condition
  - operated by staff meeting the highest qualifications—appropriate license (Commercial Drivers License (CDL) if required), safe driving and criminal records checked, drug and alcohol tested, etc.
Intermodal Programs Division is responsible for performing the following functions in the management and oversight of the
As the designated recipient of Section 5311 funding, GDOT functions as a conduit for funds and financial programming. The

State Role in Program Administration
As the designated recipient of Section 5311 funding, GDOT functions as a conduit for funds and financial programming. The Intermodal Programs Division is responsible for performing the following functions in the management and oversight of the program:

- Development of grant application and program policy/guidance materials,
- Development of program information materials and dissemination to prospective applicants.
- Allocation of available funds in a fair and equitable manner.
- Development and application of evaluation criteria to select projects for funding.
- Preparation of the Rural Transportation Improvement Program (RTIP) as the rural component of the Statewide Transportation Improvement Program (STIP), and the Section 5311 Program of Projects (POP).
- Negotiation and execution of grant contracts between GDOT and local subrecipients.
- Processing reimbursement payment requests from subrecipients, and preparing requests for Federal reimbursement.
- Monitoring and evaluation of the local provision of transportation under the program, including data collection and compilation, reporting to FTA, and ensuring compliance with state and Federal regulations.
- Provision of technical assistance to subrecipients to assist them in grants management, compliance, and the provision of safe, effective, and efficient services.

Program administration by GDOT follows all FTA requirements for the program, including those contained in FTA Circular 9040.1F (grant management guidelines for the Other Than Urbanized Areas Program), FTA Circular 4220.1F (Third Party Contracting Requirements), 49 CFR Part 18, the Common Grant Rule “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments” and FTA Circular 9070.1F among other requirements. (See 49 CFR parts 18 & 19 known as the “common grant rule.”) 49 CFR part 19 refers to non-profit organizations & institutions of higher education and 49 CFR 604 – as it refers to Charter Services.

2.1.1. Local Public Transportation System Goals

The public transportation system goal is to develop and maintain a safe, effective, efficient and dependable network of transportation services available to the public. The system should be safe, clean, reliable and responsive to travel needs of all citizens. It should also be supportive of local economic activity by facilitating access to local markets, industries, commerce and activity centers.

Public transportation service operations have the characteristics of a business with operating costs, payrolls and revenues. As a publicly supported operating service, it has the added responsibility of public accountability. The aim of systems operations should be to serve the community. Services should be funded to the maximum extent possible by the generation of revenues through the fare box. GDOT goal is for subrecipients to recover at least 10% of its public transportation cost from fare collection. Including, but not limited to payment for buses, vans, or other paratransit vehicles; communications equipment; wheelchair lifts and restraints; vehicle rehabilitation; vehicle procurement, inspection, and acceptance costs; and construction or rehabilitation of transit facilities. (See FTA Circular 9040.1F and the Federal Register for additional information on use of funds.)

Local Role in Program Administration and Operations
The GDOT shares a partnership role with local governments that are committed to operating rural public transportation programs. Local City, County governments, and Regional Commissions (RCs) are eligible recipients for the Section 5311 Program and the operations of public transportation services. The public agency may elect to operate the system by contract through a Third Party Operator (TPO). If the TPO is used, the public agency continues to have full contract responsibility and fiscal accountability. The public agency is accountable for all financial matters and for compliance with Federal and State program requirements as outlined in the following documents:
1. Georgia State Management Plan
2. Procedures Manuals for Local Programs
3. FTA Circular 9040.1F
4. FTA Circular 4220.1F
5. FTA Circular 9070.1F
6. OMB A-87, Cost Principles for State & Local Governments
7. OMB A-122, Cost Principles for Non-Profit Organizations (Indirect cost allocation plan)

Program administration by an eligible public agency is required to follow FTA Circular 9040.1F regulations calling for continuous administrative and management oversight of project operations. In part, this administrative and oversight responsibility and conducting an annual independent audit report which reflects the revenues and expenses incurred and supported to the project. The public agency is responsible for the conduct and submission of an annual audit under the Single Audit Act of 1984, as amended, following the guidelines set forth in OMB Circular A-133. The audit should be performed by an independent certified public accountant and should include; (1) a report of Federal financial assistance, (2) the auditors report on the study and evaluation of internal control systems, (3) compliance with applicable laws and regulations and, (4) report of any findings or questioned costs. The public agency is responsible for the submission of the audit report to the Intermodal Programs Division within 30 days of its completion and not later than nine months from the fiscal period covered by the audit. The public agency has six months to file notice of corrective action(s) it has taken upon notification of any findings or questioned costs.

The public transportation system goal is to develop and maintain a safe, effective, efficient and dependable network of transportation services available to the public. The system should be safe, clean, reliable and responsive to travel needs of all citizens. It should also be supportive of local economic activity by facilitating access to local markets, industries, commerce and activity centers. Public transportation service operations have the characteristics of a business with operating costs, payrolls and revenues. As a publicly supported operating service, it has the added responsibility of public accountability. The aim of systems operations should be to serve the community. Services should be funded to the maximum extent possible by the generation of revenues through the fare box.

GDOT goal is for subrecipients to recover at least 10% of its public transportation cost from farecollection.

2.2. Eligibility

The Section 5311 program provides federal operating or capital funding to support rural and small urban (under 50,000 population) transportation projects that serve the general public.

Operating assistance includes the payment of administrative, management, and other costs directly related to public transportation services, less operating revenues.

Capital assistance can include, but not limited to payment for buses, vans, or other paratransit vehicles; communications equipment; wheelchair lifts and restraints; vehicle rehabilitation; vehicle procurement, inspection, and acceptance costs; and construction or rehabilitation of transit facilities. (See FTA Circular 9040.1F and the Federal Register for additional information on use of funds.)

2.2.1. Eligible Recipients

GDOT has utilized the flexibility provided in the Section 5311 program to set eligibility requirements that are more restrictive than those allowed by FTA. Under the GDOT program, only cities, regional development centers/commissions, and counties (public agencies) are eligible subrecipients for Section 5311 funding.

2.2.2. Eligible Projects

The following types of services are appropriate for rural public transportation projects:

- **Demand-response or route deviation service**: Demand-response is a type of service where individual passengers can request door-to-door or curb-to-curb transportation from a specific location to another specific location at a certain time. Route deviation service operates along a public way on a fixed-route, but may deviate from the route occasionally in order to take a passenger to a destination or pick one up from an origin, after which it returns to the regular route.

- **Contract and subscription service**: Subscription service is a type of demand response service in which routes and schedules are pre-arranged to meet the travel needs of riders who sign up for the service in advance. Often these riders are clients of human service agencies, who contract with the transportation operator to provide the service on behalf of the agency. This type of service may be provided by a Section 5311 program only to the extent that it does not violate FTA Charter Bus restrictions. No vehicle(s) should be used exclusively for this type of service(s).

- **Fixed-route, fixed schedule service may also be appropriate in areas of sufficient population density.**
Fixed-route services operate along a prescribed path on a fixed schedule, serving pre-established stops and sometimes flag stops. However, such service usually requires the provision of separate complementary paratransit service under the provisions of the Americans with Disabilities Act of 1990 (ADA), described in the SMP. In most rural areas and small communities, route deviation service will be the appropriate and cost-effective way to implement scheduled services that comply with the ADA requirements. Implementation of fixed-route, fixed-schedule service with ADA complementary paratransit should only be considered after planning efforts have determined that the projected demand will support such service, and that ADA requirements can be met in a cost-effective manner.

Under the GDOT program, Section 5311 service is generally limited to demand-response, subscription, and contract service, unless a local transit plan finds a need for fixed-route, fixed-schedule service. The FTA program guidelines do not include any limitations on service type, but allow the states discretion in choosing to restrict the program to particular service types.

### 2.3. Local Share and Funding Requirements

#### 2.3.1. Capital

GDOT is more restrictive than federal guidelines permit. However, eligible capital expenses now include laptop computers, and or land or facility construction. Also, it should be noted, vehicle capital is procured under a state contract, and the makes and models of vehicles are limited to those on the state list. Preventive maintenance and vehicle leases are funded as operating rather than capital expenses. Required local funding for capital acquisition will at a minimum be ten percent of the costs. Local participation could be greater depending upon availability of State and Federal funds.

#### 2.3.2. Operating

The GDOT Section 5311 program eligibility is more restrictive than federal guidelines permit. Local funding for operations is required to cover the non-federal costs of the net deficit/expense. Under the GDOT Section 5311 program, 10 percent of the public transportation operating costs must be provided from fare income/revenue or other local dollars. The remaining 90 percent of the operating cost is considered the net operating deficit/expense. Federal funding/share shall not exceed 50 percent of the net operating deficit/expense; the remaining 50 percent (or more) must be provided from local funds. Georgia policy requires a minimum of 10 percent farebox recovery (net operating and administrative expenses minus POS operating revenues). Also, the FTA guidelines allow states to provide administrative and maintenance expenses at a maximum federal share of 80 percent.

Income from human service transportation provided under contract, (Purchase of Service or POS funding from section 5310) may only be used to reduce the net project cost (treated as revenue). Income from human Service transportation section 5310 contracts cannot be used as local match for Section 5311 program. The cost of providing the contracted service must be included in the total project cost. When POS (non-US DOT FUNDS) is used as local match, excess POS (POS greater than the amount designated as local share/match) MUST be subtracted from the federal share amount-per FTA requirement. When POS is used as revenue, any increase in POS will also increase the total revenue therefore reducing the net deficit—which will also reduce the 50% federal share. All POS agreements should meet/recover the fully allocated operating costs. GDOT may at its discretion, investigate the source(s) of local match to ensure that US DOT funds are not used for or as local match.

While GDOT does not prohibit a subrecipient from using income from human service agency contracts as a source of revenue, the state may elect to regard the degree to which a subrecipient demonstrates local financial commitment to the project from other sources of local funds as a rating factor in its discretionary allocation decisions (as allowed under 49 U.S.C. & Section 5311(e) (2)). See FTA Circular 9070.1F for more information.

For Sections 5311 and 5316/17, non-DOT federal funds, such as block grant and Title III funds can be used for local match if authorized by the originating program to be used for transportation.

#### 2.3.3. Other Funding Requirements

All programs should be open to and usable by the general public, without restrictions based on program eligibility or trip purpose. This implies that there is adequate capacity to handle any and all general public trips in addition to trips provided under Purchase of Service (POS) agreements. Subrecipients must comply with the following in developing reimbursement requests under the program:

- **Serving the General Public:** Public Section 5311 funded services may be designed to maximize use by members of the general public who are transportation-disadvantaged persons, including elderly persons and persons with disabilities. The general public should not be denied service as a result of Purchase of Service contracts that consume all of the available capacity for the service during regular operating hours.
 **Minimum Farebox Recovery Requirement:** Fare revenue must equal a minimum of 10% of the total budget minus the fully allocated operating cost of Purchase of Service (POS).

 **Use of POS Revenue:** Human service agencies purchasing service from a Section 5311 public transportation provider can be used as either local match or as revenue in the development of the annual budget to be included in the application, as long as the local match is not derived from other USDOT grant programs.

 **“Excess” Purchase-of-Service:** FTA funds can be used to fund up to 50 percent of the —net operating deficit‖ — the part of the cost that is not met by revenue from fares or contracts. POS can be used as either revenue to reduce the —net operating deficit, or as local match toward the 50 percent non-federal share. Federal requirements call for this —excess POS amount to be used to reduce the federal share by that same amount.

 **Recovery of the Fully-Allocated Cost:** It is required that POS contracts recover the average fully-allocated operating costs of providing the service. GDOT policy does not require the agencies providing POS to make any contribution toward the capital cost of the vehicles. Also, the measurement is the average fully-allocated operating cost, so an individual POS contract may be acceptable while not meeting this test, if the other contracts for that system offset it.

 **Meals-on-Wheels:** Vehicles under 5311 can be used to provide at-home or other Meals-on-Wheels meal delivery services, but only as an incidental service if there is no impact on the transportation of passengers. Under Section 5311 it is not allowed to fund the capital costs of any equipment used solely for meal delivery, and the miles operated by Section 5311 vehicles providing meal delivery must not be included when deciding whether a vehicle is eligible for replacement. Meals-on-wheels deliveries by Section 5311 operators must recover the fully-allocated operating costs from the meal delivery contract.

 **Vehicle Inspection:** GDOT requires that all Section 5311-funded vehicles be inspected by the District PTCs once a year, using the **Vehicle Inspection Form** and process. Vehicles used to provide client transportation for their programs are also to be inspected by GDOT staff. In preparation of the annual inspection, Subrecipients will complete a draft version of the checklist to be presented to the PTC on the date of the inspection.

2.3.4. **State Matching Funds**

GDOT may provide up to ten percent of the cost of capital projects with state funds (General Revenue, Taxes, Legislative appropriation), subject to availability. If the Department cannot provide the match, it is the subrecipient’s responsibility to pay the State share percentage.

2.3.5. **Distribution of Funds**

In the distribution of funds for the Section 5311 Program, GDOT takes into account the non-urbanized population of each county. The Section 5311 formula for allocation proportions project funds based on non-urbanized population and land area relative to the total for the state. Only 70 percent of the project monies are apportioned; 30 percent is set aside for discretionary programs and to supplement county and Congressional District allocations for eligible projects. Demand for Section 5311 funding in Georgia under the current program guidelines can be met through the available federal allocation, state matching funds, and local match.

All non-urbanized counties and cities in Georgia (i.e. all eligible applicants) are contacted annually by mail to inform them of the availability of funding under this program, including the method of application and how to obtain assistance in the application process. All projects that meet the service guidelines, complete the application requirements, include funding requests in the RTP, and have the local match are funded to the level justified by their actual capital and operating expenses. GDOT prepares an annual report comparing the actual distribution of funds by county with the proportions of rural population and land area in each.

2.4. **Project Duration**

For the application package, all Section 5311 capital and operating project(s) should cover a 12-month funding period (July through June). The only exception will be to allow new programs scheduled to initiate service at mid-year. Projects will be funded on a yearly basis.
2.5. Rural Transportation Assistance Program

The Rural Transit Assistance Program (RTAP) is intended to be a broad and flexible program of training, technical assistance, research, and other support services for non-urbanized transit.

In keeping with the RTAP program objectives, the Department will place particular emphasis on fostering the development of State and local capacity for addressing the training and technical assistance needs to the rural/small urban transportation community. Additionally, the State Program will strive to improve the quality of information and technical assistance available through the development of training and technical assistance resource materials.

2.5.1. Participation by Providers in Urbanized Areas

RTAP funds should pay only for the proportion of project costs attributable to rural beneficiaries. When providers from urbanized areas participate in RTAP funded activities and are more than incidental beneficiaries of the training, GDOT will require those participants to cover a proportionate share of training costs.

3.0 PRE-AWARD REQUIREMENTS AND PROCEDURES

The purpose of this section is to provide guidance to GDOT and subrecipients in the pre-award stage of the grant management process of developing a draft grant application package. It covers the requirements and procedures associated with the pre-award phase.

3.1. Planning

General Planning Requirements

The basis of the FTA application is a statewide Program of Projects (POP), developed through a statewide planning effort that incorporates local recipient needs under the pre-award stage; there are numerous activities and processes that must be completed in order to award grants. GDOT and its subrecipients are responsible for careful execution of pre-award procedures.

GDOT and its subrecipients are also held accountable for adhering to FTA policies and procedures in this pre-award phase. The list of requirements is shown below in Figure 1 and further explained in sections of the SMP.

Table 1: Planning Requirements

<table>
<thead>
<tr>
<th>Requirements</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public participation process</td>
<td>2.12.9</td>
</tr>
<tr>
<td>Statewide Transportation Implementation Plan (STIP)</td>
<td>2.9.1</td>
</tr>
<tr>
<td>Program of Projects</td>
<td>2.9.2</td>
</tr>
<tr>
<td>Coordinated planning requirements</td>
<td>2.9</td>
</tr>
<tr>
<td>Environmental Protection</td>
<td>2.11</td>
</tr>
</tbody>
</table>

Program-Specific Planning Requirements

3.1.1. Rural Transportation Improvement Plan (RTIP)

Sub-recipients are required to have an annually updated RTIP. The RTIP is the programming document for projecting capital and operating expenditures for a four-year period which serves as the basis for developing the Section 5311 application each year. Additionally, under 23 USC 135 and 49 USC 5304, all Federal funds programmed for transit projects must be included in a STIP. Section 5311 is included in this requirement. Metropolitan Planning Organizations (MPO’s) are responsible for transportation planning and programming in metropolitan areas. Where Section 5311 projects are being proposed within the MPO's current planning/study area boundaries, or which may include areas expected to become urbanized within 20 years, they must be included in the MPO’s Transportation Improvement Program (TIP) and subsequently in the State-wide Transportation Improvement Plan, STIP.
3.1.2. Coordination

GDOT is required by FTA to assure that grant recipients under the 5311 program have provided for maximum coordination of transportation services. Coordination is defined as the joint action of two or more organizations to provide transportation services to the elderly and disabled. Such joint actions can include the common sharing of transportation facilities and/or equipment or cooperative arrangements, which improve service efficiency levels.

Applicable Procedures

- Subrecipients who wish to be considered for expanded Section 5311 operating funding or additional vehicles must advise their PTC before October of the year preceding the year of expansion.
- PTCs prepare or update a local RTIP for each of their subrecipients every October; these are then submitted for inclusion in the statewide RTIP.
  - The operating budget for each local recipient’s RTIP is largely based on the previous year’s budget and increased up to five percent for inflation in line items where permitted under GDOT Section 5311 budgetary guidelines.
  - Local capital projects must be incorporated in the RTIP so that the project can be integrated into the Statewide Transportation Improvement Plan (STIP) to be eligible for funding.
- Once the RTIP and the budgets have been approved by the subrecipient Board of Commissioners or equivalent, this information is submitted to the PTCs by the Subrecipients as the final budget for the year.
- The PTC reviews and enters budget and RTIP information into the RMIS system.
- The 5311 Program Coordinator must approve the budget and project information entered by the PTC in RMIS and must enter all project information into the TEAM system.
- Once the budget information is entered into RMIS and TEAM, the GDOT 5311 Program Coordinator can compile the budget and Program of Projects (POP) for the following year.
- See SMP Section 2.9 for additional details regarding these procedures.

3.2. Application

The processes under this activity include the preparation of a grant application and the steps leading to its submission. These processes are designed to ensure that GDOT submits an application that is in compliance with all FTA requirements and that it can be processed by the Regional Office in a timely manner to prevent delays in making an award.

General Requirements

Application requirements common to all programs are defined in SMP, including procedures relating to certifications and assurances; documentation of legal, financial and technical capacity; labor certifications; and civil rights submissions. Figure 2 outlines these requirements and their location within the SMP.

<table>
<thead>
<tr>
<th>Requirements</th>
<th>SMP Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certifications and Assurances</td>
<td>2.2.2</td>
</tr>
<tr>
<td>Legal, financial, and technical capacity</td>
<td>2.2.3</td>
</tr>
<tr>
<td>Labor Protection</td>
<td>2.10</td>
</tr>
<tr>
<td>Title VI Submissions</td>
<td>2.12</td>
</tr>
</tbody>
</table>

Program-Specific Requirements

3.2.1. Applications to Federal Motor Vehicle Safety Administration (FMCSA)

GDOT requires that Section 5311 subrecipients meet all safety and insurance requirements that are applicable under federal law and regulation for interstate trips if they carry passengers across state lines. Section 5311 operators who carry passengers across state lines must register with the Federal Motor Carrier Safety Administration (FMCSA) as interstate carriers depending on certain specific conditions: whether or not the organization is public or private (public entities are exempt), whether or not there is a municipal exemption (although it crosses a state line, if all service is within a municipality it is exempt), whether the service is taxicab service (a vehicle with seating capacity of less than seven is exempt, or whether the service is commuter (a single daily round trip in a vehicle with a capacity of less than 15) is exempt. A transit operator that is required to register with the FMCSA will have to meet FMCSA insurance requirements and identify a retained legal entity in each state where operations are authorized in order to provide an address where legal papers can be served in the event of legal action against the operator. Although Section 5311 recipients are exempt from the insurance limit requirements
that the FMCSA applies to private entities, they are required to maintain liability insurance at levels at least equal to the highest level required for any of the states in which transit service is operated.

In there are three forms that a Section 5311 operator would need to submit to FMCSA. The first page is a copy of the form that needs to be submitted to the FMCSA to be eligible for this special financial responsibility provision that applies to Section 5311 operators. This form is not available on the FMCSA website, though the general application for a USDOT number is available online (www.fmcsa.gov). It is recommended that counties, cities, or TPO’s applying under this exemption print out or copy the applicable forms to request operating authority (OP-1(P) and a USDOT number (MCS-150)) and mail them in together with the request for special financial responsibility coverage form and a cover letter explaining the nature of the Section 5311 entity. If the city or county contracts with a TPO for service operation, the letter should explain the contractual relationship of the TPO with the Section 5311 recipient (a city or county).

A copy of the contract might also be needed to demonstrate the nature of the agreement. Forms certifying to the insurance levels must be sent by the insurance carrier to FMCSA within 90 days of the operator’s application.

In addition, 5311 operators are supposed to be exempt from the FMCSA registration fee, but this needs to be requested in the letter.

The FMCSA office in Atlanta can be found at: Federal Motor Vehicle Safety Administration
Southern Service Center
61 Forsyth Street, S.W., Suite 17T75
Atlanta, GA 30303
Voice: (404) 562-3600
Fax: (404) 562-3704

Section 5311 operators should be aware that many FMCSA staff have not dealt with FTA grant recipients (their focus is interstate trucking and intercity/charter bus), and they are likely to be unaware of these provisions and exemptions. There are examples elsewhere in the country of Section 5311 operators being cited by FMCSA inspectors for not having a USDOT number and the appropriate insurance levels. In some cases the Section 5311 operators have found it easier to simply obtain the higher insurance levels applicable to private for-profit operators than dispute the FMCSA. Private entities operating for-hire service that crosses state lines and not operating under an agreement that involves the FTA funding programs (Section 5311) you are subject to additional, higher insurance requirements under the FMCSA. Private operators not funded by an FTA program who run vehicles with a seating capacity under nine passengers must carry at least the highest level of liability insurance coverage required by the states in which they operate. The regulation also requires non-FTA grantees operating vehicles with a seating capacity of 9-15 passengers to carry a minimum of $1.5 million coverage, and for vehicles with a seating capacity of 16 passengers or more a minimum level of $5 million.

Private operators must identify a retained legal entity or “process agent” in each state where operations are to be authorized (a location where legal papers can be served in the event that the transit agency faces legal action). The USDOT provides a list of some of the companies providing this service

Federal requirements exempt services operated by local governments and those operated under an agreement with Section 5311 funds from the higher insurance coverage required of private operators. However, it is recommended that the provider carry documentation of exemption (either proof of local government ownership and operation, or the exemption granted by FMCSA) on board all vehicles engaged in interstate travel.

Medical Assistance transportation providers may also need special coverage for long-distance trips. Check with your insurance carrier to determine your geographic coverage ranges.

Procedures

3.2.2. Application Package

- Each grant application must contain the applicable certifications and assurances, authorizing resolution, labor certifications and civil rights submissions defined in the SMP.
- Subrecipients must provide a complete project description (1-2 pages) of all their projects to be included in the application to their respective PTC.
- Subrecipients must at a minimum include project scope and milestone information that will:
  - Identify the geographic area to be served (including maps).
  - Identify the type of service provided (e.g., fixed route, demand response).
  - Identify who will operate the service. If the service is or will be provided by a private operator under contract with the subrecipient, identify the contractor and include a copy of the existing contract or proposed contract.
  - Describe the special efforts that are being made to provide transportation services to persons with disabilities, using the Certification of Equal Access for Persons with Disabilities form.
  - Describe the accessibility of the subrecipient’s system to persons with disabilities.
For **Operating Projects**, subrecipients must also:
- Identify the project period by fiscal year.
- Discuss farebox recovery and service schedules. If brochures are available providing this information, copies should be attached.
- Itemize and estimate cost of transit service operation in the project budget.

For **Capital Projects**, subrecipients must also:
- Provide adequate description of the transit vehicles being procured (i.e., quantity, type, passenger capacity, vehicle length, fuel type, service life).
- Indicate procurement type being utilized—either State Contract or Local Procurement.
- For procurements utilizing the State Department of General Services Contract include a draft purchase order to the contract approved vendor.
- For procurements using local methods, a Request for Proposals (RFP) must be included with the application for review and approval by the Intermodal Division prior to their release. Allow a minimum of four (4) weeks for review and approval.
- If vehicles are for fleet expansion include, a justification for expansion and a statement regarding number of vehicles in current fleet. Justification includes the need to replace vehicles, the need to purchase additional vehicles to supplement services, or any other programmatic purpose.
- If vehicles are for replacement, include current fleet information for vehicle being replaced.

- Subrecipients must provide required documentation of a public hearing opportunity (Capital Projects Only). Documentation to be included is listed below:
  - the name of the newspaper and date of publication
  - a copy of the published notice or notices
  - if a hearing is held, include a copy of the transcript; if there are no requests for a hearing, include a copy of the second notice* and state that no hearing will be held because no requests were received; if the original notice states that a hearing will be held and no hearing is held because no interested persons are present, document this fact.
  
  *The purpose of the first notice is to announce the hearing opportunity and to solicit requests for the hearing. If no requests are submitted, the second notice states that there will be no hearing due to a lack of requests, or if requests are submitted, the date and time of the hearing is given.

- Subrecipients must develop a realistic budget, to include an estimate of actual administrative and operating costs, rather than basing their budget on known funding sources and amounts. Subrecipients should use the Sample Operating Budget Form when completing their operating budget and the Sample Capital Budget Form when completing their capital budgets.
  - If projected costs exceed available funding, they will need to scale back services, increase their local match, or secure additional funding from other sources.
  - All projected increases in budget line items from the current year’s budget must be explained and justified in the annual grant application.
  - Separate accounts for farebox and purchase of service must be documented. GDOT does not approve transferring funds from drug/alcohol testing and training line items to other line items without prior approval from the Program Coordinator. This is to ensure that sufficient funds will be available for any required testing and to encourage systems to take advantage of training opportunities.

- Subrecipients should provide an explanation of the most recent year’s financial performance, including any balances left in the budget and/or expenses incurred but not reimbursed. (A copy of the final reimbursement request for the most recent year must be attached).
  - An explanation of the program income, excluding capital, must be included for the last calendar year, the projected current year and the projected application period.
  - Subrecipients should attach all active and proposed POS contracts along with the POS Computation Worksheet. Subrecipients may refer to the POS Computation Example for guidance.

- The POS Contract(s) should follow the example in the SMP and Grant Application. At a minimum the contract must include the following:
  - Date of contract execution
  - Legal names of contracting parties
  - Details of transportation services to be provided, for example:
    - Number of hours per day
    - Number of days per week
    - Number of vehicles to be used per day
    - Service destinations
  - Basis for payment to the provider (Total payments should at a minimum cover fully allocated costs)
  - Contract duration; start and end dates. It is required that the POS contract run on a State Fiscal Year cycle (July–June)

- Subrecipients should complete the **Operating Assistance Reimbursement Invoice**. An electronic version of this form is provided for use by subrecipients.
  - In the electronic version, the contract budget is entered at the beginning of the year. Each month, the subrecipient enters their expenses, and the entries for the reimbursement form will be calculated and
The subrecipient transmits the electronic sheet to their PTC, but also prints out the reimbursement form, signs the hard copy, and submits it by mail to the PTC.

- The reimbursement form incorporates the current treatment of POS revenue as revenue or match, based on the budget that is entered, and it will be consistent with the reimbursement elements of the RMIS on-line management information system.
- All increases in budget line items from the current year’s budget must be explained and justified. Separate accounts for farebox and purchase of service, (if applicable) must be documented.
- All purchase of service agreements should at a minimum recover the fully allocated costs. If no fare is charged, the subrecipients are responsible for covering the ten (10%) percent farebox requirements.
- FTA program funds may not be used as a source of local match for other FTA programs, even when used to contract for service. For example, if a Section 5310 subrecipient has a service contract to buy service from a Section 5311 provider, the Section 5311 provider may not use the revenue from the Section 5310 service contract as local match for other FTA grants.
- Funds received by POS may be treated as local rather than Federal funds as long as other than USDOT funds are used. Income from contracts to provide human service transportation may be used either to reduce the net project cost as revenues or to provide a local match for Section 5311 operating assistance. In either case, the cost of providing the contract service is included in the total project cost.
- In the application budget, POS may be treated either as a revenue or local match. If POS is treated as revenue, then the subrecipient will subtract POS revenues from Total Expenses along with farebox revenues to derive the Net Operating Deficit. If POS is treated as local match, then the subrecipient will subtract only farebox revenue from total expenses to derive the Net Operating Deficit. Although POS appears in two places on the budget application form, it is only to be entered in one place depending on how it is treated, either as revenue or a local match.

- Subrecipients should complete the budget for the application period using the format as shown in Sample Budget Form (Projected expenses should balance with projected revenues for the application period).
- Subrecipients should use the Grant Application Cover Sheet and Checklist to complete their draft application.
- The GDOT PTCs receive the completed draft grant applications from each subrecipient and review for compliance, accuracy and completeness.
- The GDOT PTCs must ensure that subrecipients include in their applications a transcript of the oral proceedings at each public hearing conducted. A copy of the transcript, advertisements and publisher affidavit must be incorporated into subrecipient applications. PTCs should use the Public Hearing and Private Enterprise Coordination Certification Checklist to verify compliance to these requirements. Once complete all application materials are inserted electronically.
- Subrecipients should ensure that POS revenue meets FAOC and is reflected as such in the worksheet.
- Copies of all Purchase of Service Contract(s) executed after the application is submitted.
- Subrecipients must notify all private providers operating in the service area through a published notice or individual letters and annually review existing services.
- The published announcement may be combined with the Opportunity for Public Hearing Notice with a public comment period of at least 15 days.
- As part of the application approval process, the 5311 Program Coordinator must ensure that all private for-profit providers have been notified of the proposed project and that they have had adequate opportunity to present their views and offer service proposals for consideration. Data from subrecipients on this matter is collected.
- The 5311 Program Coordinator must ensure that the application contains information on the following topics:
  - A description of current participation of private providers in Section 5311 supported services.
  - A description of all efforts to provide written notice to private providers of proposed services.
  - A description of all forums, meetings, hearings, or other opportunities for involving the private sector early in the project selection process.
- The Subrecipient addresses the requirements mentioned above in the application process by completing and signing the Private Enterprise Coordination Certification.
- The PTC must ensure that language for advertisement is included in the application package, and the Private Enterprise Coordination Certification that is included in the application is a certification of the publication of the advertisement and of letters sent to the identified private sector providers in the service area.
- The remaining items below are to be addressed, as appropriate, and maintained on file and kept current by the PTC. These include:
  - Methods for periodically reviewing services to determine whether they can be provided more efficiently by
3.2.3. Submittal of Applications to FTA

- The 5311 Program Coordinator reviews all subrecipient applications and proposed budgets before entering subrecipient data into TEAM.
- The 5311 Program Coordinator reviews the allocations for the year to ensure that subrecipients are not applying for more funds than are allowable.
- The 5311 Program Coordinator coordinates with subrecipients to resolve any issues found in the draft application.
- The 5311 Program Coordinator consolidates and includes the approved subrecipient budgets in the application package to be submitted to FTA.
- The 5311 Program Coordinator is responsible for submitting the application for 5311 funds in TEAM. The application should include all the required information related to:
  - Project Information
  - Budget Information
  - Project Milestones
  - Project Environmental Findings (if applicable)

- The completed application package should also include all of the required application contents, as specified in the Grant Application Cover Sheet. The required documents include, but are not limited to:
  - Certifications and Assurances of the Subrecipient for the 5311 Project Application
  - Certifications and Assurances of the Regional Agency/Transportation Planning Agency
  - Authorizing Resolution
  - Certification of No Intent to Provide Charter Service
  - Special Section 5333(b) Warranty for Application to the Small Urban and Rural Program
  - Civil Rights
  - Substance Abuse Certification
  - ADA Equivalency Analysis for Demand-Responsive Public Transportation

- The 5311 Program Coordinator consolidates and develops the program draft application and enters it into TEAM for FTA review.
- Once the application is submitted in TEAM, the 5311 Program Coordinator communicates any changes to the FTA or makes the changes recommended by the FTA during their review of the application.
- The 5311 Program Coordinator modifies the draft application according to any comments provided by FTA after submission of the draft application in TEAM.
- GDOT Director of Intermodal Programs or designee submits or authorizes the final application to FTA in TEAM.

4.0 AWARD, POST-AWARD, AND CLOSEOUT

Procedures for the award, post-award and closeout stages of the grant life-cycle are common to all FTA programs, and are therefore contained in the SMP. Figure 6 summarizes the requirements and procedures that apply.

Figure 6: Award, Post-Award and Closeout Requirements

<table>
<thead>
<tr>
<th>Requirements</th>
<th>Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant Obligation and Award</td>
<td>2.2.5</td>
</tr>
<tr>
<td>Funding and Contracts Setup (see Financial Management Procedures)</td>
<td>2.4.8</td>
</tr>
<tr>
<td>Procurement</td>
<td>2.6</td>
</tr>
<tr>
<td>Invoice Submittal and Payment Reimbursement</td>
<td>2.3.2</td>
</tr>
</tbody>
</table>
4.1. National Transit Database

Requirements

GDOT must collect, record, and report financial and non-financial data in accordance with the Uniform System of Accounts (USOA) and the National Transit Database (NTD) Reporting Manual as required by 49 USC 5335(a). NTD is FTA’s primary national database for statistics on the transit industry. Recipients of 5311 funds are required by statute to submit data to the NTD. This is accomplished through an annual reporting process. The annual report is to contain information for each rural operator receiving 5311 funds, on capital investment, operations, and service provided utilizing these funds. Specific items include:

- Agency identification and contact information
- Service type(s)
- Total annual revenue
- Sources of revenue (fares, contracts, local, state, federal assistance)
- Total annual operating costs
- Total annual capital costs
- Fleet size and type
- Related fleet facilities
- Service data by type of service (annual vehicle miles, annual vehicle revenue hours, regular and sponsored unlinked passenger trips, total trips)
- Safety data (reported incidents, fatalities, injuries)

By statute, the state agency (in this case, GDOT) is responsible for collecting and providing the NTD data regarding each 5311 subrecipient in the state. Data entry is through an on-line database entry program sponsored by FTA. The reporting of this data occurs approximately 3-5 months after the end of GDOT’s fiscal year. The 3-5 month window is based upon when FTA releases the annual update to the reporting requirements for this program which occurs during that time period.

Applicable Procedures

GDOT responsibilities:

For Section 5311 subrecipients, the Public Transit Coordinators assemble information from each of the rural operators for each District. This information is then entered by the Public Transit Coordinators into GDOT’s RMIS. It is the Public Transit Coordinators’ responsibility to monitor and obtain the necessary information for the timely retrieval of such information into the NTD database. The 5311 Transit Planner will monitor RMIS submissions on a bi-monthly basis.

The 5311 Transit Planner then utilizes the RMIS to extract the required NTD reporting data from the various RMIS reports such as the Section 5311 Service Criteria Review and the Contract Status Reports. The Transit Program Coordinator also utilizes the quarterly reports and the final closeout report to extract the necessary NTD data.
The 5311 Transit Planner utilizes the data collected from these various sources of information to prepare the annual RU-10, RU-20 and RU-30 NTD reports. A RU-20 report must be completed for each of the Section 5311 transit providers. The Transit Program Manager or designee will review NTD data submittals on a quarterly basis and have inconsistent numbers reconciled.

Upon completion of entering the required data into the NTD on-line database, the Transit Program Manager is required to notify the NTD that their submission of data for that reporting year is complete. At that point, the data in the NTD system is locked and reviewed. After official submission of the NTD data, the NTD contractors will review the data for oddities, exclusions and in relationship to previous years. Any questions regarding the data will be transmitted back to GDOT for clarification. Clarifications may require not only the 5311 Transit Planner to answer but also the Public Transit Coordinators and rural operator as well.

Subrecipient responsibilities:
The subrecipient’s responsibilities are to ensure that their overall program reporting requirements are kept up-to-date and are accurate. The RMIS was developed for GDOT prior to As such, the RMIS information is not structured for a straightforward retrieval into the NTD database. This stresses the importance of keeping all reporting requirements up to date. In addition to the RMIS, this also includes the quarterly reports and the final closeout.

The subrecipients should work closely with their Public Transit Coordinators to ensure the required NTD reporting data is being reported accurately and in a timely manner. The rural operators should allow periodic on-site monitoring and program assessments by their Public Transit Coordinators so that there consists of a QA/QC process in place.

5.0 FORMS, CHECKLISTS & TEMPLATES

Most of the forms required during the pre-award, award, post-award, and closeout stages are included in the SMP. The forms that are specific just to the 5311 program are listed in the following table.

<table>
<thead>
<tr>
<th>Pre-Award Phase</th>
</tr>
</thead>
<tbody>
<tr>
<td>Special Section 5333(b) Warranty for Application to Small Urban and Rural Vehicle</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Post-Award Phase</th>
</tr>
</thead>
<tbody>
<tr>
<td>American Disabilities Act Equivalency Analysis</td>
</tr>
<tr>
<td>Substance Abuse Certification</td>
</tr>
<tr>
<td>Quarterly Rural Transportation Monthly Reporting Form</td>
</tr>
</tbody>
</table>

6.0 SECTION 5311(F)

FTA Circular 90.40.1(f) dated April 1, 2007 provides guidance on the Section 5311 program. Chapter VIII of the Circular describes specific requirements for the Section 5311(f) Intercity Bus program. Except for those requirements, all of the other aspects of the Section 5311 apply to the Section 5311(f) program. All applications for 5311(f) funding will be subsumed into the overall Section 5311 funding allocation to GDOT. The purpose of this chapter is to provide guidance on those areas of procedure that differ between the 5311 and the 5311(f) programs. Those differences and additional requirements as well as new definitions are noted in this chapter.

6.1 Program Overview

The Section 5311(f) program provides federal funding for planning, capital, and operating activities to support intercity bus transportation.

The Georgia Intercity Bus Program utilizes the FTA Section 5311(f) Intercity Bus Program to provide assistance to public transportation providers serving points throughout the state, both rural and urban. The GDOT's OIP is the designated state agency to implement this program.

Fifteen percent of the state’s total Section 5311 allocation is used for the Section 5311(f) program in Georgia, as called for in the
FTA guidelines. GDOT is required to expend at least 15 percent of its apportionment for the intercity bus program, unless the chief executive officer of the State certifies to the Secretary of Transportation, after consultation with affected intercity bus service providers, that the intercity bus service needs of the State are being met adequately.

Only private, for-profit intercity carriers providing services which meet the FTA program definitions of intercity services are eligible for this program. The program consists of three elements: Vehicle Purchase, Signage, and Marketing. No operating assistance is currently provided by GDOT under this program. Under the Vehicle Purchase program, intercity bus coaches have been purchased by GDOT for lease to eligible service providers. To date, Greyhound Lines and Southeastern Stages have leased 15 lift-equipped intercity coaches through the program. Of the total project cost 80 percent is federal while the remaining 20 percent is the local match from the private carriers. The vehicle lease holders are required to submit quarterly utilization reports to GDOT, and the vehicles are periodically inspected by GDOT. Other projects have been funded under the signage and marketing programs, including trailblazer signs to intercity bus stations, and a marketing campaign to alert users when the Greyhound station in Atlanta was relocated.

6.1.1. Eligible Recipients

Funding may be available to a public or private non-profit organization for the direct administration of intercity bus operations after consideration of participation by private for-profit organizations.

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

6.1.2. Eligible Projects

Assistance under Section 5311(f) must support intercity bus service in rural areas. Section 5311(f) specifies eligible intercity bus activities to include:

- Planning and marketing for intercity bus transportation.
- Capital grants for intercity bus shelters.
- Joint-use stops and depots, operating grants through purchase-of-service agreements.
- User-side subsidies and demonstration projects.
- Coordination of rural connections between small public transportation operations and intercity bus carriers.
- Purchase of vehicles or vehicle related equipment such as wheelchair lifts for use in intercity service.
- Operating grants through purchase-of-service agreements.
- Improvements to existing intercity bus terminal facilities for rural passengers, modifications to transit facilities to facilitate shared use by intercity bus and rural transit operators, operating assistance to support specific intercity route segments, and applications of Intelligent Transportation Systems (ITS) technology for coordinated information and scheduling.

This listing does not preclude other capital and operating projects for the support of rural intercity bus service. For example, the State may provide operating assistance to a public or private non-profit organization for the direct operation of intercity service after appropriate consideration of participation by private for-profit service providers. Capital assistance may be provided to purchase vehicles or vehicle related equipment such as wheelchair lifts for use in intercity service. Charter and tour services are not eligible for FTA assistance. See 49 CFR part 604.

6.1.3. Eligible Service and Service Areas:

For the purpose of this provision, FTA defines intercity bus service as regularly scheduled bus service of the general public that operates with limited stops over fixed routes connecting two or more urban areas not in close proximity, that has the capacity for transporting baggage carried by passengers, and that makes meaningful connections with scheduled intercity bus service to more distant points, if such service is available. (Urban area is defined very broadly in 49 U.S.C. 5302(a)(16) as — an area that includes a municipality or other built-up place that ... is appropriate for a local public transportation system to serve individuals in the locality.) Schedule information for intercity bus service is typically maintained in the Official Bus Guide (Russell’s Guide). Connection to the national network of intercity bus service is an important goal of Section 5311(f) and services funded must make meaningful connections wherever feasible. Intercity bus projects may include package express service, if it is incidental to passenger transportation. The definition of intercity bus does not include commuter service (service designed primarily to provide daily work trips within the local commuting area). Intercity service is not limited by the size of the vehicle used or by the identity of the carrier. Intercity bus
does not include air, water, and rail service. While most of the public transportation service assisted under Section 5311 covers large distances because of the nature of the areas served, not all long distance trips are included in the definition of intercity service. For example, service, which provides extensive circulation within a region (in contrast to regular but infrequent service from limited points in the community of origin to limited points in the destination community), is not considered intercity service, although it may be an eligible public transportation service. Similarly, service that only incidentally stops at an intercity bus facility among other destinations within the city at either end of a route that covers a long distance, without regard to scheduled connections, is eligible for Section 5311 assistance as public transportation, but is not an intercity feeder service. Likewise, commuter service is excluded because it is considered a local public transportation service, eligible for assistance under Section 5311 but not counting toward the required percentage for Section 5311(f).

6.2. Pre-Award Requirements and Procedures

The legislative history of Intercity Bus (ICB) indicates that the assessment of intercity bus needs be made — relative to other rural needs in the State. Should GDOT certify that its needs are met, it must demonstrate that it has assessed statewide intercity mobility needs no more than four years before the date of the certification.

Requirements

6.2.1. ICB Certification

GDOT must expend at least 15% of its Section 5311 apportionment for intercity bus programs, under the Chief Executive Office of the State certifies that the State of Georgia’s needs are being adequately met. A partial certification is required if GDOT wishes to expend less than 15% of its apportionment.

6.2.2. Consultation Process

GDOT must ensure that potential ICB projects are reflected in the POP based on consultation with intercity business carriers. The venues to carry out consultation efforts may be different than those in the Section 5311 program.

The 5311(f) Transit Program Coordinator conducts a number of consultation activities on an annual basis, during January and February of each year. These initiatives are identified in the following procedures.

ICB Certification Procedures

Below are the procedures to be followed:

1. In December of each year, the 5311(f) Transit Program Coordinator verifies that at least the full 15% apportionment will occur. Intercity bus transportation needs will be assessed for the entire state relative to other rural needs in the state.
2. If GDOT intends to use less than 15% of its apportionment, the Transit Program Coordinator must gather data from a statewide intercity modality needs assessment conducted no more than four (4) years before the apportionment determination. The assessment of the intercity bus needs is normally included in the development of the Coordinated Public Transit-Human Services Transportation Plan.
3. Once confirmed, the Transit Program Coordinator prepares the Letter for the Governor or his designee's signature, and routes the letter to FTA for review and approval.

Consultation Procedures

Below are the procedures to be followed:

- Inform intercity bus carriers of the State's rural planning process and encourage their participation in that process, and if GDOT is considering possible certification, provide an opportunity to submit comments and/or request a public meeting to identify unmet needs and discuss proposals for meeting those needs.
- Include intercity providers' participation in scheduled meetings, such as GDOT transit meetings and public transit conferences.
- Meet with individual intercity providers periodically and with major carriers via Internet and email contact, as well as with American Bus Association, ABA and the National Bus Association.
- Notify potential providers either through direct mail or advertise in various locations around the State of availability of funds for the current year's intercity bus program.
- Inform intercity bus providers about the development of the locally developed, coordinated public transit-human services transportation plans and encourage their participation.
- Solicit comments through direct mail and advertise in newspapers in various locations around the State if the State
intends to certify, unless needs are identified.

- Ensure that Intercity Bus Projects are included in the annual 5311 POP.

### 6.3. Award Procedures

Project applications must be solicited by GDOT annually. Selection of payments to be funded should be made based on predetermined selection criteria. Additional detail about the Award process in the SMP.

**Procedures**

Below are the procedures to be followed:

- The Section 5311(f) Transit Program Coordinator, in conjunction with the GDOT Purchasing Office, establishes project evaluation criteria in areas such as the following:
  - Identification of Needs (25 pts)
  - Utilization of Services (20 pts)
  - Coordination of Efforts (15 pts)
  - Availability of Safety and Training (15 pts)
  - Financial Engagement/Grants Capability (15 pts)
  - Local Commitment to Transit (15 pts)
- The Transit Program Coordinator should Distribute Applications to potential Subrecipients in March. The format and instructions for applications should be provided to potential applicants.
- The Transit Program Coordinator should hold application workshops at designated locations in each District.
- The Transit Program Coordinator should work with potential Subrecipients on application issues, offering guidance and advice
- The Transit Program Coordinator should ensure the receipt of applications by June 15, 2010 by following-up on application status at least once every two weeks beforehand.
- In conjunction with the GDOT Purchasing Office, the Transit Program Coordinator establishes the evaluation committee and ensures that all staff understand how to rate each application.
- The Transit Program Coordinator forwards complete applications and recommendations to the Intermodal 5311 Program Coordinator.
- The Review Committee meets to rank projects and make funding decisions and provides results to Section 5311(f) Transit Program Coordinator in July. The GDOT Purchasing Office ensures that all FTA provisions are included in ICB contracts.
- The Transit Program Coordinator receives the evaluation committee’s recommendations and forwards to the 5311 Program Coordinator.
- The Intermodal 5311 Program Coordinator prepares list of funded projects for distribution to the Subrecipients by the Section 5311(f) Transit Program Coordinator in August.
- The Transit Program Coordinator works with the Contracts and Fiscal Services Manager and the GDOT Purchasing Office to prepare standard agreements for signature in October.

### 6.4. 5311(f) Forms

Most of the forms required during the pre-award, award, post-award, and closeout stages are included in the SMP. The forms that are specific just to the 5311(f) programs are listed in the following table.

**Pre-Award Phase**

- Application for Motor Property Carrier and Broker Authority

**Post-Award Phase**

- Sample ICB Lease Agreement
7.0 Additional Planning Guidance

7.0.1 Criteria for Project Approval
A project may be approved if the costs are reasonable, necessary and justified as detailed in the project description portion of the application. In addition, project approval is dependent on the following:

1. Compliance with Service Policy guidelines;
2. Completion of an application including the Project Description and Compliance Requirements;
3. Inclusion of capital and/or operating assistance requests in the RTIP.

7.0.2 Eligible Project Expenses
The GDOT Section 5311 program makes available two types of assistance to sub recipients; Capital and Operating assistance. Capital assistance provides funding for the purchase of equipment needed to provide public transportation and facilities, while Operating assistance provides funding towards the provision of services. Under the Georgia program, administrative costs are treated as part of the operating budget and funded at the same ratio as Federal to local funds.

7.0.3 Restrictions on Eligible Operating Expenses
Federal funding may be applied to system operational deficits subject to availability of funds. Federal participation is allowed up to 50 percent of the eligible net operating deficit/expenses. These expenses must be reasonable, necessary and justified. Eligible operating expenses are those costs directly related to system operations and at a minimum include, driver, mechanic, and dispatcher salaries, licenses, vehicle insurance, drug/alcohol testing, uniforms, fringe benefit, maintenance and repairs (includes oil, tire and parts), and fuel. Monthly service fees for cell phones and/or two-way radio services are eligible operating expenses. Operating revenues include farebox and agency contract revenues. At the local sub recipient's discretion, purchase of service, contract revenue may be treated as operating revenues or local match.

7.0.4 Policy on Eligibility of Capital Costs
GDOT Intermodal office purchase vehicles to replace existing transit vehicles that have reached the end of their useful life based on GDOT’s Intermodal Office useful life standards, or may purchase vehicles for service expansion if so indicated based on unmet demand and high utilization of the existing fleet. Transit providers are not allowed to make direct purchases of any transit vehicles. The Intermodal Programs Division currently assumes the responsibility of purchasing vehicles statewide. No vehicles should be purchased as spares, or as additions to a fleet that would displace other operating vehicles to the role of spares or for the exclusive use for purchase of services. In the event a vehicle is down due to major vehicle repairs, back-up vehicles are available for short-term lease at $.10 per mile. Lease vehicle expenses are treated as eligible operating expenses. GDOT recognizes that the use of computers can assist public transportation operators by facilitating the effective use of operations and fiscal information to improve public services and in contrast to past practices, laptop computers are now considered eligible capital expense.

Regarding the purchase of lift-equipped vehicles, GDOT enforces the Federal equivalency requirement “that prior to purchasing or leasing of new vehicles for use in a system, the operator shall ensure that the vehicle is readily accessible to and usable by individuals with disabilities.” The exception to this is, “if the system, when viewed in its entirety, provides a level of service to individuals with disabilities, including individuals who use wheelchairs, equivalent to the level of service it provides to individuals without disabilities, it may purchase new vehicles that are not readily accessible to and usable by individuals with disabilities.”
Equivalent service is evaluated with respect to the following service characteristics:

1. Response time,
2. Fares,
3. Geographic area of service,
4. Hours and days of service,
5. Restrictions on trip purpose,
6. Availability of information and reservations capability,
7. Capacity constraints.

Local applicants are required to demonstrate compliance with the above prior to receiving vehicles not equipped with ADA accessible equipment. A new Certification of Equal Access (Exhibit 13 of the Administrative Guide) is included as part of the Grant Application. All systems must have, at a minimum, one, ADA wheelchair equipped vehicle available for service. However, GDOT requires that each Section 5311 provider must meet the current demands of the disabled population, and if one lifequipped vehicle is not sufficient to meet that demand, then additional lift-equipped vehicles must be provided.

### 7.1 Charter Service Policy

Section 5311 subrecipients and their contractors are **prohibited** from using federally-funded equipment and facilities to provide charter service. GDOT does not allow its subrecipients to provide charter services. The only allowable exception would be in cases where a transit provider has to provide transit services to or transport governmental official(s), such as local government staff and elected officials. Such services or transportation **MUST** be reported to GDOT and also to FTA using the TEAM reporting module. The transit services/transportation provided to government or elected officials must not exceed **80 hours** in a given year. (For more information on charter service, please read **49 CFR 604**.) As a condition for continuous FTA funding, subrecipients are required to annually sign a certification of no intent to provide charter services with their applications. This prohibition applies to bus and van services provided by direct recipients, subrecipients, or TPOs that provide bus or van services funded by FTA.

**What is Charter Service?**

Charter service refers to transportation provided by a recipient or subrecipient at the request of a third party for the **exclusive use** of a bus or van for a negotiated price. The following features may be characteristic of charter service but does not include demand response services to individuals:

(I) A third party pays the transit provider a negotiated price for the group  
(II) Any fares charged to individual members of the group are collected by a third party  
(III) The service is not part of transit provider’s regularly scheduled service, or is offered for a limited period of time; or  
(IV) A third party determines the origin and destination of the trip as well as the scheduling; or  
(V) Transportation provided by a recipient to the public for events or functions that occur on an irregular basis or for a limited duration and (i) A premium fare is charged that is greater than the usual or customary fare. (ii) The service is paid for in whole or in part by a third party.

### 7.2 GDOT Meals-on-Wheels Service Policy

The purpose of the Section 5311 program is to provide funding and assistance for public passenger transportation services. FTA does not explicitly prohibit meals-on-wheels programs under the Section 5311 program. However, incidental use of a Section 5311 vehicle for non-passenger transportation on an occasional or regular basis must not result in a reduction of service quality or availability of public transportation service.

Specific language on this topic can be found in FTA Circular 9040.1F, which provides guidance on the administration of the transit assistance program for nonurbanized areas under 49 U.S.C. § 5311.

Transit service providers receiving assistance under Section 5311 may coordinate and assist in providing meal delivery service for homebound persons on a regular basis if the meal delivery service:

1. Does not conflict with the provision of transit services.
2. Does not result in a reduction of services to transit passengers.
3. Covers the fully-allocated cost of providing the service – it is expected that the operating costs attributable to meal
delivery will be assumed by the nutrition program which provides the meals. GDOT requires that operators providing meals-on-wheels service charge the fully-allocated cost of providing this service. A subrecipient can calculate their fully-allocated hourly operating cost using the fully-allocated cost form provided in Appendix H. This form must be included in the application package if a subrecipient intends to provide meals-on-wheels services (which should be explicitly mentioned in the application description of services). A subrecipient must also keep a separate accounting of all the meals-on-wheels miles operated by each vehicle, which will be subtracted from the actual mileage on a vehicle when assessing useful life replacement purposes.

Finally, there are restrictions to Section 5311 capital assistance. Specifically, funds may not be used to:

1. Purchase special vehicles used solely for meal delivery
2. Purchase vehicles used solely for purchase of service contracts
3. Purchase specialized equipment – i.e. racks, heating units, or refrigeration units related to meal delivery.

Section 5311 operators providing service to the DHS Coordinated Transportation program should be aware that it does not fund or provide meals-on-wheels services. Any such service operated by Section 5311 operators must be under a separate contract with the Area Agency on Aging in that locality.

7.3 Purchase of Non-Lift Equipped Vehicles

GDOT requires that all Section 5311 systems must have, at a minimum, one wheelchair equipped vehicle available for service. GDOT further requires that each Section 5311 provider must meet the current demands of the disabled population, and if one lift-equipped vehicle is not sufficient to meet that demand, then additional lift-equipped vehicles are required.

In general, public transit systems must purchase only accessible vehicles meeting the standards set forth in 49 CFR Part 38. However, systems that offer only demand-responsive service may purchase nonaccessible vehicles … “if the system, when viewed in its entirety, provides a level of service to individuals with disabilities, including individuals who use wheelchairs, equivalent to the level of service it provides to individuals without disabilities, it may purchase new vehicles that are not readily accessible to and usable by individuals with disabilities.” Equivalent service is evaluated with respect to the following service characteristics:

(1) Response time
(2) Fares
(3) Geographic area of service
(4) Hours and days of service
(5) Restrictions on trip purpose
(6) Availability of information and reservations capability
(7) Capacity constraints

GDOT requires that subrecipients be able to provide equivalent service with their current level of fleet accessibility before allowing the subrecipient to order a non lift-equipped vehicle. If a local applicant is requesting capital funding for the purchase of a non-accessible vehicle they must demonstrate compliance with the above by signing the Certification of Equal Access for Persons with Disabilities Georgia Rural Public Transportation Program Administrative, and attaching a completed GDOT Equivalency Analysis for Demand-Responsive Public Transportation (also part of Exhibit 13) as part of the application.

7.4 Policy and Information Regarding Personal Care Attendants, Persons with Respirators (Oxygen Tanks), and Service Animals

GDOT requires that subrecipients under the Section 5311 program meet all ADA service provisions, including:

- Service to persons using respirators or portable oxygen,
- Permitting service animals to accompany individuals with disabilities in vehicles and facilities, and
- Permitting personal care attendants to accompany persons with disabilities in vehicles and facilities.

Subrecipients should have a written policy stating these policies on file, and include this information in their public information flyer and in any other public information such as a web-site. Marketing is an eligible expense under the Section 5311 program and GDOT encourage Subrecipient’s to avail itself of this funding opportunity to provide public information including printing fliers. A marketing model or template is available and can be obtained upon request from a PTC. This model or template can be modified locally to include the specific names, logos, hours of service, etc.
7.5 ADA Compliance Monitoring

GDOT will monitor subrecipient’s compliance with the ADA requirements during the compliance review conducted by its staff every three years, and or during site visits associated with the annual vehicle or inventory inspections. The purpose for the monitoring is to make sure that GDOT’s subrecipients are in compliance and the following questions are satisfactorily answered on a continuing basis:

A. Is the vehicle ADA accessible?

B. Are the lifts being cycled before service is provided?

C. Have you denied service over the last six months? How much? Why?

D. Have you refused service animals?

E. How do you ensure that service animals are allowed?

F. How are you meeting ADA regulations?

7.6 Continuous Control & Vehicle Monitoring/Storage

In order to maintain continuous control of all FTA funded equipment at all times, it is GDOT’s policy not to allow any FTA funded property to be removed from its designated location.

Under very limited circumstance must a section 5311 vehicle(s) be taken or driven home without prior written approval from Georgia Department of Transportation. All section 5311 vehicles must be stored in a lighted, safe, fenced and patrolled or controlled area. Requests to allow a vehicle to be taken away from the storage area must be in writing addressed to the appropriate District Public Transportation Coordinator in your area. The District Public Transportation Coordinator will forward the request including justification to the Atlanta office for consideration. GDOT recommends that requests be submitted thirty (30) days prior to the proposed scheduled date and at the minimum, should include the following:

- Justification for exception
- Mileage from the transit office to proposed initial stop
- Mileage from driver’s home to transit office
- Mileage from driver’s home to initial passenger pick up stop
- Mileage driven each day
- Time of initial passenger pick up
- Driver’s home address including phone number
- Additional insurance coverage

Transit providers must demonstrate how they intend to monitor the use of the vehicle when not stored within transit locations.

GDOT may request driver(s) to include vehicle in his/her home insurance policy to protect both GDOT and FTA’s interest in case of any loss therein. Failure to comply with this policy may result in the denial of future funding by FTA and Georgia Department of Transportation and may include denial of any reimbursement. Should providers have any questions on this policy, they should contact their respective District Public Transportation Coordinator, or the Atlanta office for guidance.

7.7 Interstate Service Requirements

In order to legally carry passengers across state lines, private (for-profit or non-profit) Section 5311 recipients or contract operators are required to register as a “for-hire” carrier with the Federal Motor Carrier Safety Administration (FMCSA) of the U.S. Department of Transportation (USDOT) and obtain a USDOT number.

“For Hire” – a “for hire” status results from public funding, indirect contract revenue, purchase-of-service agreements, and subsidies for individual trips. Operators transporting school children and/or teachers to and/from school; taxicab service with seating capacity less than seven passengers; and daily commuter service (a single, daily roundtrip) for fewer than 15 are exempt operations.

- Crossing State Lines – any small portion of a route that takes place in another state qualifies a service as interstate, even if pick-up and drop-off points are in Georgia. There are two cases in which registration is not required. Public entities who:
1) provide service entirely within the boundary of a municipality, even if the municipal boundary crosses state lines, or

2) provide service entirely within the commercial zone of a municipality, even if the commercial zone boundary crosses state lines

However, a public entity that directly operates service that crosses state lines and does not meet either the requirements of 1) or 2) above, would need to register with the Federal Motor Carrier Safety Administration, FMCSA. For example, a service operated across state lines, outside the commercial zone of a municipality, would require registration. In addition, it would appear that if county contracts with a TPO to operate the vehicles and the TPO transport passengers across state lines, it (the TPO) would have to register and obtain a USDOT number.

7.8 Insurance Requirements for Interstate Operation

To register and obtain a USDOT number an operator must first meet minimum insurance requirements. These vary depending on whether or not the service is provided under an agreement that provides FTA funding. The FMCSA minimum insurance requirements for “…passenger carriers providing transportation within a transit service area under an agreement with a Federal, State, or local government funded, in whole or in part, with a grant under 49 U.S.C. 5311…” are liability insurance at least at the highest level required for any of the States in which the transit services will be provided. Minimum liability insurance requirements in the states surrounding Georgia that regulate public motor carriers are listed in Table 1. These levels may need to be verified with the responsible state agencies in each state, which are also listed along with their phone numbers. At this time it appears that a Georgia Section 5311 subrecipient meeting the Georgia insurance requirements would need to purchase additional liability insurance to operate into NC or TN, but not AL, FL, or SC.
SECTION 5316 AND 5317 — JOB ACCESS REVERSE COMMUTE AND NEW FREEDOM PROGRAMS

Prepared by the Division of Intermodal Programs

Georgia Department of Transportation

www.dot.ga.gov
# TABLE OF CONTENTS

1.0 Introduction ....................................................................................................... 3  
   1.1. Purpose of the Program Procedure Manual .................................................. 3  
   1.2. Overview of Related Documents .................................................................... 3  
2.0 JARC and New Freedom Program overview ....................................................... 4  
   2.2. Program Goals and Objectives ........................................................................ 4  
   2.3. Eligibility ......................................................................................................... 4  
   2.4. Local Share and Funding Requirements ....................................................... 6  
3.0 Pre-Award Requirements and Procedures ......................................................... 9  
   3.1. Planning ......................................................................................................... 9  
   3.2. Application ...................................................................................................... 11  
4.0 Award, Post-Award, and Closeout .....................................................................15  
   4.1. Program Measures ......................................................................................... 15  
5.0 Forms, Checklists & Templates .........................................................................17  
6.0 Application .........................................................................................................17
1.0 INTRODUCTION

The Section 5316 or Job Access and Reverse Commute (JARC) Program funds are used to improve access to transportation services to employment and employment-related activities for eligible low-income individuals and to transport residents outside of urbanized areas to employment opportunities. Section 5317 or New Freedom Program funding supports new public transportation services that reach beyond those required by the Americans with Disabilities Act of 1990 (ADA).

1.1. Purpose of the Program Procedure Manual

The Section 5316 and 5317 Program Procedure Manual (Manual) is intended to facilitate both Georgia Department of Transportation (GDOT)’s management and Federal Transit Administration (FTA) oversight by documenting program-specific information, policies and procedures for administering the two programs in a single document. The Manual is also intended to be useful to GDOT’s sub-recipients.

The purpose of the Manual is:

- To provide guidelines to GDOT staff and subrecipients about the Section 5316 (Job Access and Reverse Commute-JARC) and Section 5317 (New Freedom) programs.
- To assist GDOT staff and subrecipients in completing quality applications and maximizing the probability of funding.
- To assist the FTA in performing designated recipient-level management review of the JARC and New Freedom Programs, and to provide public information on GDOT’s administration of the two programs.
- To complement the GDOT General Program Management Manual (GPMM) by providing program-specific information about the two programs.
- To serve as GDOT’s State Management Plan (SMP) for the JARC and New Freedom programs, as required by the FTA.

The Manual presents information for both Section 5316 and 5317 transit procedures. These were combined due to similar requirements for grants management for both programs.

1.2. Overview of Related Documents

This Manual replaces three prior documents used to manage the Section 5316 and 5317 program, including the prior SMP, the Program Management Manual and the Administrative Guide. The Manual works in conjunction with the newly created GPMM to provide an overview of State policies and procedures for the Section 5316 and 5317 program. It also serves as the FTA-mandated State Management Plan for the Section 5316 and 5317 programs.

The GPMM includes:

- An overview of FTA programs that are administered by GDOT
- Responsibilities of GDOT staff who administer grants
- Responsibilities of subrecipients as GDOT grantees
- Grant management policies and procedures
- The Full cycle of pre-award, award, and post-award and award closeout requirements of the FTA grants management process
- Checklist and forms to help adhere to general FTA requirements
- General programmatic information common to all programs

The Manual provides:

- Information, checklists and special forms specific to the Section 5316 and 5317 programs
2.0 JARC AND NEW FREEDOM PROGRAM OVERVIEW

2.1.1. JARC Program (5316)

The goals of the Section 5316 or Job Access and Reverse Commute (JARC) Program are (1) to improve access to transportation services to employment and employment-related activities for welfare recipients and eligible low-income individuals and (2) to transport residents of the small urbanized areas (50,000 to 200,000) and non-urbanized areas (under 50,000) to employment opportunities. GDOT administers this program for individuals living in the rural and small urban areas of the state (population under 200,000). For a full description of the use of funds, see link for FTA Circular 9050.1 and the Federal Register.

2.1.2. New Freedom Program (5317)

The goals of the Section 5317 or New Freedom Program is to support new public transportation services beyond those required by the Americans with Disabilities Act of 1990 (ADA) and new public transportation alternatives beyond those required by the ADA designed to assist individuals with disabilities in accessing transportation services, including transportation to and from jobs and employment support services. GDOT administers this program for individuals living in the rural and small urban areas of the State (population under 200,000). For a full description of the use of funds, see link for FTA Circular 9045.1 and the Federal Register.

The designated recipient ensures local coordination and consultation with elected officials utilizing state transportation program planning and human services coordination planning procedures. These procedures also require direct input from individual members of the public which are impacted by JARC and New Freedom provisions and rely upon public transportation services.

2.2. Program Goals and Objectives

GDOT has the following objectives in administering the JARC and New Freedom Programs:

1. Maintain and improve existing elderly and disabled transportation providers in the state of Georgia through reliable programming of federal financial assistance;
2. Maximize the efficiency, effectiveness, and safety of existing human service transportation providers and nonurbanized public transportation systems through capital and technical assistance;
3. Enhance the access of all citizens in nonurbanized areas of Georgia, especially the transportation disadvantaged, for a variety of trip purposes, such as health care, shopping, education, recreation, and employment, through the introduction of new transportation services and the protection of existing services;
4. Avoid service duplication and improve the reliability of human service transportation providers;
5. Maintain administrative and technical assistance capabilities at the State level to assist human service transportation providers and local governments in the management of their systems;
6. Ensure that there is a fair and equitable distribution of JARC/New Freedom program funds;
7. Ensure a process whereby private transit operators are provided an opportunity to participate to the maximum extent feasible; and
8. Promote coordination of public transportation assisted by FTA with transportation services assisted by other federal sources.

2.3. Eligibility

2.3.1. Eligible Recipients

Under the GDOT programs, there are three categories of eligible subrecipients of JARC and New Freedom funds:
Georgia Department of Transportation
Division of Intermodal

- State or local governmental bodies (cities, counties, and Regional Development Centers or other public regional commissions).
- Public operators of public transportation services.
- Private non-profit or private for-profit applicants can partner with an eligible subrecipient and receive federal funds; however, they cannot be a direct subrecipient in the State of Georgia.

All public bodies that apply for funding are required to provide an adequate opportunity for public review and comment on a project, and, after providing notice, must provide an opportunity for a public hearing if it is requested. This notice must be advertised in the local newspaper and should appear at least 14 days before the application submittal deadline.

In addition, applicants for JARC and New Freedom funds are expected to reasonably meet technical capacity requirements for grant administration and program management. These requirements are included as an appendix in the appropriate Program Information and Instructions Packet.

2.3.2. Eligible Projects

Project eligibility for funding through the JARC and New Freedom Programs is consistent with FTA guidance on these programs. To use funds through the programs most effectively, new and innovative projects to meet the unmet transportation needs of older adults, people with disabilities, and individuals with low incomes are encouraged. In addition, projects must respond to one or more of the strategies identified in the regional Coordinated Service Plans. Examples of eligible projects for specific programs include, but are not limited to the following:

Figure 1 Eligible JARC Projects

<table>
<thead>
<tr>
<th>Operating Activities</th>
<th>Capital Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Late night and weekend service</td>
<td>Vehicles, related communications equipment, dispatching, scheduling and coordination hardware and software and ITS (Intelligent Transportation Systems).</td>
</tr>
<tr>
<td>Guaranteed ride home service</td>
<td></td>
</tr>
<tr>
<td>Shuttle service</td>
<td></td>
</tr>
<tr>
<td>Expanded fixed-route public transit routes</td>
<td></td>
</tr>
<tr>
<td>Demand-responsive service (including expanded hours or coverage)</td>
<td>Promotion of operating activities</td>
</tr>
<tr>
<td>Transit related aspects of bicycling</td>
<td>Vehicles</td>
</tr>
<tr>
<td>Ridesharing and carpooling activities</td>
<td>Mobility management activities</td>
</tr>
<tr>
<td>Voucher programs</td>
<td></td>
</tr>
<tr>
<td>Day-care related transportation – to and from</td>
<td></td>
</tr>
<tr>
<td>Employment training (i.e. job skills, interviewing, trainee development, etc.)</td>
<td></td>
</tr>
<tr>
<td>Costs of promoting the use of transit by workers with nontraditional work schedules, the use of transit vouchers, and the use of employer-provided transportation including the promotional advertisement of transit benefits</td>
<td></td>
</tr>
</tbody>
</table>

Figure 2 Eligible New Freedom Projects

<table>
<thead>
<tr>
<th>Operating Activities</th>
<th>Capital Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expansion of paratransit service beyond the minimum requirements of ADA</td>
<td>Acquisition of accessibility equipment beyond ADA requirements</td>
</tr>
<tr>
<td>Expansion of current hours for paratransit service</td>
<td>Purchasing accessible vehicles to support taxi, vanpooling,</td>
</tr>
</tbody>
</table>
2.4. **Local Share and Funding Requirements**

2.4.1. **Local Match Requirement**

Local share requirements for the JARC and New Freedom Program funds are consistent with FTA matching requirements. The federal share of eligible capital expenses may not exceed 80% of the net project costs, and the federal share of eligible operating expenses may not exceed 50% of the net operating costs.

*Figure 3  Match Requirements*

<table>
<thead>
<tr>
<th>Type of Funding</th>
<th>Federal Share</th>
<th>State Share*</th>
<th>Local Share</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capital</td>
<td>80%</td>
<td>10%</td>
<td>10%</td>
</tr>
<tr>
<td>Operating</td>
<td>50%</td>
<td>0%</td>
<td>50%</td>
</tr>
</tbody>
</table>

*This funding is based on availability. If the department cannot provide the match, it is the sub-recipients responsibility to pay the match percentage.

For Sections 5311 and 5316/17, non-DOT federal funds, such as block grant and Title III funds can be used for local match if authorized by the originating program to be used for transportation. No FTA program funds can be used as a source of local match for other FTA programs, even when used to contract for service. However, 49 U.S.C. §5310 contains language permitting Federal Lands Highway Program funds to be used as match, and FTA has determined that this program can be used as match for the Section 5316 (JARC) and 5317 (New Freedom) programs as well. Programs funded through the Federal Lands Highway Program, such as the Indian Reservation Roads program, can only be used as match for those JARC and New Freedom projects that serve the populations for whom Federal Lands Highways Program funds were also intended to serve. Non-cash share (e.g. volunteer services or other in-kind contributions) is not permitted under GDOT transportation programs at this time under the JARC and New Freedom programs.

2.4.2. **Distribution of Funds**

Funds are distributed through a competitive application process that is initiated by an annual call for projects, described below.

2.4.3. **Evaluation Criteria**

Projects applied for through JARC and New Freedom are selected through a competitive review and selection process. In the JARC and New Freedom application narratives, applicants should exhibit a high probability of success by presenting a sound managerial and operating strategy, and reflect their capability to properly monitor, maintain, and repair equipment to ensure safe and reliable transportation.

The statewide competitive selection process is conducted by GDOT in collaboration with the Georgia Department of Human resources (DHR) and the Department of Community Health (DCH). The evaluation subcommittee evaluates all project applications in accordance with the scoring criteria to determine the extent to which the proposed project meets the overall program goals and objectives of the programs. Eligible applications will be evaluated and scored, up to a maximum of 100 points, for the following criteria:

- Project Needs/Goals and Objectives
- Implementation Plan
- Ability of Applicant
JARC and New Freedom applications are evaluated based on the following criteria:

1. **Addresses current work-related transportation needs of low-income individuals:** Need for proposed service or equipment; target population; ridership; existing vehicle fleet; replacement or expansion; other transportation services available (availability, sufficiency, appropriateness or other services in area); anticipated increase, decrease or no change in service.

2. **Effective utilization of equipment or service:** Number of clients served; trips; proposed services and trip priorities; hours of equipment operation per day and week; annual miles of vehicle operation; limitations on services.

3. **Supports local and regional coordination plan:** Demonstrates attempts to coordinate with other agencies and public or private transit and paratransit systems, and other services; Demonstrates willingness to participate in a coordinated system; Participation on local and/or regional coordination committee(s); Project is clearly derived from the regional plan and demonstrates support of the local strategies; Working agreements in place or under construction.

4. **Management Capability:** Demonstrates ability to or have/indicate: Availability of—and/or process to obtain—matching funds; funds to operate and maintain a vehicle for at least four years or 100,000 miles; program transportation experience; designated budget and staff to fund and manage program; adequacy of maintenance program Past Civil Rights or EEO complaints and outcomes.

In general each application will be awarded points based on answers provided to questions related to management of operations, preventive maintenance practices, and coordination of transportation services with other transportation providers.

Questions about the following topics may be included:

- Staff involved in the project, and the number of hours each person will be devoting to the project over the course of the year, and in what capacity (such as administration, supervision, and service delivery)
- Training courses completed by drivers and management staff
- Preventive Maintenance Program and maintenance schedule
- Checklist forms such as pre-trip inspection practices
- Insurance (level and amount)
- Financial management

In addition, there may be questions concerning coordination, including:

- Relationship of the project to the Coordinated Service Plan strategies and potential projects, and relationship of the applicant agency to that planning process
- Detailed description of the agency’s coordination program, including:
  - Specific agencies or programs involved in coordination with the applicant
  - Specific actions or services provided in a coordinated manner
  - Participation in ongoing transportation coordination planning process

Although each subrecipient may apply for funding for more than one project, it is possible awards could be made for one proposed activity and not another. Furthermore, projects may not be fully funded up to the dollar amount requested on the application.

As part of the annual application process (call for projects), GDOT will identify core emphasis areas that will be used to evaluate and prioritize JARC and New Freedom applications and in the development of the Annual POP (Program of Projects). These emphasis areas and how they will be used to evaluate and prioritize applications will be explained in detail within the annual application process, so that all applicants are aware of how their application will be reviewed and prioritized. The point system for grading each year’s application for the Programs may vary depending on the emphasis areas chosen that particular year.
3.0 PRE-AWARD REQUIREMENTS AND PROCEDURES

The purpose of this section is to provide guidance to GDOT and Subrecipients in the pre-award stage of the grant management process of developing a draft grant application package. It covers the requirements and procedures associated with the pre-award phase. The pre-award steps include:

3.1. Planning

General Planning Requirements

The basis of the FTA application is a statewide Program of Projects (POP), developed through a statewide planning effort that incorporates subrecipient needs.

Under the pre-award stage, there are a number of activities and processes that must be completed in order to award grants. GDOT and its subrecipients are responsible for careful execution of pre-award procedures.

GDOT and its subrecipients are also held accountable for adhering to FTA and GDOT policies and procedures in this pre-award phase. The list of requirements is below in Figure 4 and further explained in sections 3.8, 3.9 and 3.10 of the GPMM.

Figure 4: General Pre-Award Requirements

<table>
<thead>
<tr>
<th>Requirements</th>
<th>GPMM Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public participation process</td>
<td>3.8</td>
</tr>
<tr>
<td>Statewide Transportation Implementation Plan (STIP)</td>
<td>3.9.1</td>
</tr>
<tr>
<td>Metropolitan Transportation Improvement Plan (TIP)</td>
<td></td>
</tr>
<tr>
<td>Program of Projects</td>
<td>3.9.2</td>
</tr>
<tr>
<td>Coordinated planning requirements</td>
<td>3.9.3</td>
</tr>
<tr>
<td>Environmental Protection</td>
<td>3.10</td>
</tr>
</tbody>
</table>

Program-Specific Planning Requirements

3.1.1. Coordinated Planning Requirements

SAFETEA-LU requires that projects funded through the JARC and New Freedom Programs must be derived from a locally developed, coordinated public transit-human services transportation plan. In partnership with the Georgia DHS Statewide Coordinated Transportation Program, GDOT has supported the development of Coordinated Public Transit-Human Services Transportation Plans (Coordinated Services Plans) through a statewide process utilizing the existing Regional Transportation Coordinating Committees, which include representatives of human service agencies, transportation providers, user groups, and both DHS and GDOT.

The locally developed Coordinated Services Plans serve as the basis for selection of future projects to be funded through the JARC and New Freedom Programs. For non-urban (rural) areas and small-urban areas, Section 5316 and 5317 projects will be awarded through a statewide competitive selection process conducted by GDOT in collaboration with DHS, and the Department of Community Health (DCH) and the Georgia Department of Labor (DOL). It is important to note that 5316 and 5317 projects flow out of the competitive selection process and the area's TIP and the STIP. The designated recipient is responsible for conducting the competitive selection process.

These plans do include the identified transportation needs of individuals with disabilities, older adults, and people with low incomes, strategies for meeting these local needs, and potential projects that correspond to each strategy.
Georgia Department of Transportation  
Division of Intermodal  

Development of the Coordinated Services Plans involved a variety of key stakeholders throughout the state, and included:

- **Community Services Boards (CSBs) and Behavioral Health Authorities (BHAs).** These boards provide or arrange for mental health, mental retardation, and substance abuse services within each locality.
- **Georgia Department of Social Services (GDSS).** GDSS programs and services help people triumph over poverty, abuse and neglect, achieve self-sufficiency, and shape strong futures for themselves, their families, and their communities.
- **Employment Support Organizations (ESOs).** These organizations provide employment services for persons with disabilities within localities around the state.
- **Area Agencies on Aging (AAAs).** These organizations offer a variety of community-based and in-home services to older adults, including senior centers, congregate meals, adult day care services, home health services, and Meals-on-Wheels.
- **Public Transit Providers.** These include publicly or privately-owned operators that provide transportation services to the general public on a regular and continuing basis. They have clearly published routes and schedules, and have vehicles marked in a manner that denotes availability for public transportation service.
- **Disability Services Boards.** These boards provide information and resources referrals to local governments regarding the ADA, and develop and make available an assessment of local needs and priorities of people with physical and sensory disabilities.
- **Centers for Independent Living (CILs).** These organizations serve as educational/resource centers for persons with disabilities.
- **Brain Injury Programs** that serve as clubhouses and day programs for persons with brain injuries.
- **Other appropriate associations and organizations,** including Alzheimer’s Chapters, Association of Retarded Citizens (ARC), American Association of Retired Persons (AARP), and the Georgia Association of Community Services Boards (GACSB).

**Procedures**

- Subrecipients must provide documentation of maximum feasible coordination of public transportation service with transportation assisted by other Federal sources.
- The subrecipient must participate in a local planning process for coordinated public transit-human service transportation. Coordination may include consideration of intercity bus transportation needs for the targeted seniors, people with disabilities, and low income people. (See description of the planning requirements above). The following are examples of effective ways of coordinating with other agencies.
  - Sends drivers to training held by others
  - Invites other drivers to attend their training
  - Shares back-up vehicles with other agencies
  - Provides information to clients on other available services (i.e. centralized info/call center, inter-agency referral system etc.)
  - Purchases rides for clients on other agencies
  - Sells rides on service to other agencies
  - Provides or participates in joint maintenance arrangements
  - Participates in a joint or coordinated insurance pool
3.2. Application

The processes under this activity include the preparation of a grant application and the steps leading to its submission. These processes are designed to ensure that GDOT submits an application that is in compliance with all FTA requirements and that it can be processed by the Regional Office in a timely manner to prevent delays in making an award.

Requirements

Application requirements common to all programs are defined in the GPMM, including procedures relating to certifications and assurances; documentation of legal, financial and technical capacity; and civil rights submissions. Figure 5 outlines these requirements and their location within the GPMM.

Figure 5 General Application Requirements

<table>
<thead>
<tr>
<th>Requirements</th>
<th>GPMM Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certifications and Assurances</td>
<td>3.2.2</td>
</tr>
<tr>
<td>Legal, financial, and technical capacity</td>
<td>3.2.4</td>
</tr>
<tr>
<td>Title VI Submissions</td>
<td>3.11</td>
</tr>
</tbody>
</table>

Procedures

Below are the procedures to be followed during the application stage.

3.2.1. Call for Projects

- The Transit Program Coordinator issues a call for projects:
  - An electronic, statewide memorandum sent to human service agencies, Metropolitan Planning Organizations (MPO), local governments and Regional Commissions (RC).
  - A public notice, published on the GDOT website announcing the call for projects to the general public and any public or private agency interested in the JARC program.
- The Transit Program Coordinator transmits the application package to human service agencies, Metropolitan Planning Organizations (MPO), local governments and Regional Commissions (RC). Applications are submitted to the Transit Program Coordinator by interested parties for JARC and/or New Freedom funding by the designated deadline.

3.2.2. Application Package

- Each grant application must contain the applicable certifications and assurances, authorizing resolution, and civil rights submissions defined in the GPMM.
- Subrecipients must provide a complete project description (1-2 pages) of their projects to be included in the application to the Transit Program Coordinator. The Program of Projects and Budget form summarizes this information.
- Subrecipients must at a minimum include project scope and milestone information that will:
  - Identify the geographic area to be served (including maps).
  - Identify the type of service provided (e.g., fixed route, demand response, etc.).
  - Identify who will operate the service. If service is or will be provided by a private operator under contract with the subrecipient, identify the contractor and include a copy of the existing contract or proposed contract.
  - Describe the special efforts that are being made to provide transportation services to persons with disabilities. (See Certification form at the end of the section)
  - Describe the accessibility of the subrecipient's system to persons with disabilities.
For **Operating Projects**, subrecipients must also:
- Identify the project period by fiscal year.
- Discuss farebox recovery and service schedules. If brochures are available providing this information, copies should be attached.
- Itemize cost of transit service operation in the project budget.

For **Capital Projects**, subrecipients must also:
- Provide adequate description of the transit vehicles being procured (i.e. quantity, type, passenger capacity, vehicle length, fuel type, service life.
- Indicate procurement type being utilized—either State Contract or Local Procurement.
- For procurements utilizing the State Department of General Services Contract include a draft purchase order to the contract approved vendor.
- For procurements using -Local‖ methods, a Request for Proposals (RFP) must be included with the application for review and approval by the ID prior their release. Allow four (4) weeks for review and approval.
- If vehicles are for fleet ―expansion‖ include a statement regarding number of vehicles in current fleet.
- If vehicles are for ―replacement‖ include current fleet information for vehicle being replaced.

Subrecipients must provide required description of efforts to coordinate services with social services agencies.

Subrecipients must develop a realistic budget, to include an estimate of actual administrative and operating costs, rather than basing their budget on known funding sources and amounts. Subrecipients should use the **Sample Operating Budget Form** when completing their operating budget and the **Sample Capital Project Budget Form** when completing their capital budgets.

If projected costs exceed available funding, they will need to scale back services, increase their local match, or secure additional funding from other sources.

All projected increases in budget line items from the current year's budget must be explained and justified in the annual grant application.

Subrecipients should complete the budget for the application period using the format as shown in the **Sample Budget Form** (Projected expenses should balance with projected revenues for the application period).

Subrecipients should use the **Application for Funding Template** to complete their draft application.

Subrecipients should complete the **Georgia Intergovernmental Consultation Clearinghouse Review Form**. This is submitted directly to the Clearinghouse Office. The response from the Clearinghouse Office must accompany the grant application.

The Transit Program Coordinator ensures that subrecipients include in their applications a transcript of the oral proceedings at each public hearing conducted. A copy of the transcript, advertisements and publisher affidavit must be incorporated into subrecipient applications.

Potential subrecipients submit completed applications to GDOT. Additional information may be included with the application:
- Articles of Incorporation/profit non-profit (for private non-profit or for-profit partners of eligible public applicants)
- Authorizing Resolution
- Milestone Dates
- Copy of Letter of Exemption IRS Section 501 C (for private non-profit or for-profit partners of eligible public applicants)
3.2.3. Selection and Evaluation Procedures

- The Transit Program Coordinator conducts a call for projects review meeting with the selection committee members to rate and select projects for JARC and/or New Freedom funding.
- Applicants are notified via letter of the approval of funding for their project within 7 business days.
- GDOT will notify all non-qualifying subrecipients through a letter, at minimum, and/or a phone review detailing the shortfalls of the application and areas to improve upon for future submittals. Applicants whose applications are not approved by GDOT may file a protest to GDOT within 60 days following notification of non-acceptance. An applicant that files a protest must send a letter to GDOT Transit Program Manager explaining the reason for the protest and including a copy of the applicant’s application. The Transit Program Manager will officially respond to the JARC protest within 30 days.

3.2.4. Submittal of Applications to FTA

- The Transit Program Coordinator reviews all subrecipient applications and proposed budgets before entering it into TEAM.
- The Transit Program Coordinator consolidates and includes the approved subrecipient budgets in the application package in preparation to enter the information in TEAM.
- The Transit Program Coordinator coordinates with subrecipients to resolve any issues found in the draft application.
- The Transit Program Coordinator addresses the requirements mentioned above in the application process by completing and signing the **Private Enterprise Coordination Certification**.
- The Transit Program Coordinator is responsible for submitting the application for 5316 and 5317 funds in TEAM. The application should include all the required information related to:
  - Project Information
  - Budget Information
  - Project Milestones
  - Project Environmental Findings
  - Project Fleet Status
- The Transit Program Coordinator consolidates and develops the program draft application and enters it into TEAM for transmittal to FTA (See **TEAM Application Checklist**).
- Once the application is submitted in TEAM, the Transit Program Coordinator communicates any changes to the FTA.
- The Transit Program Coordinator receives comments from FTA. If necessary, all revisions or amendments are entered into TEAM up to the point of award.
The Transit Program Coordinator modifies the draft application according to any comments provided by FTA after submission of the draft application in TEAM. The Transit Program Coordinator reviews the **TEAM Application Checklist** to ensure that all FTA-required elements of the application are included.

- The GDOT Transit Program Manager of the GDOT Intermodal Programs Division submits the final application to FTA in TEAM.

- The GDOT Transit Program Coordinator notifies subrecipients selected for funding of their local match requirements after FTA approves funding.

- The GDOT will post the approved project list on the GDOT website for public information.
4.0 AWARD, POST-AWARD, AND CLOSEOUT

Procedures for the award, post-award and closeout stages of the grant life-cycle are common to all FTA programs, and are therefore contained in the GPMM. Figure 6 summarizes the requirements and procedures that apply.

Figure 6 Award, Post-Award and Closeout Requirements

<table>
<thead>
<tr>
<th>Requirements</th>
<th>GPMM Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant Obligation and Award</td>
<td>3.2.5</td>
</tr>
<tr>
<td>Funding and Contracts Setup (see Financial Management Procedures)</td>
<td>3.4</td>
</tr>
<tr>
<td>Procurement</td>
<td>3.6</td>
</tr>
<tr>
<td>Invoice Submittal and Payment Reimbursement</td>
<td>3.3.1</td>
</tr>
<tr>
<td>Fixed Assets</td>
<td>4.2</td>
</tr>
<tr>
<td>Monthly Accounting Systems Reconciliation</td>
<td>3.3.2</td>
</tr>
<tr>
<td>Reporting, including DBE Reporting, Financial Reporting, Milestone Progress Reporting</td>
<td>3.3</td>
</tr>
<tr>
<td>Charter Service</td>
<td>3.14</td>
</tr>
<tr>
<td>Title VI Audits</td>
<td>3.11</td>
</tr>
<tr>
<td>A-133 Audits</td>
<td>3.5</td>
</tr>
<tr>
<td>Budget Revision and Amendment</td>
<td>3.4.7</td>
</tr>
<tr>
<td>Oversight</td>
<td>3.2.6</td>
</tr>
<tr>
<td>Closeout</td>
<td>3.2.9</td>
</tr>
</tbody>
</table>

Program-Specific Requirements

In addition to general program requirements, the JARC and New Freedom program have program-specific program measures for which Subrecipients are required to report.

4.1. Program Measures

Additional data for the measures below must be collected with data from the quarterly report forms or the supplemental JARC/New Freedom reporting FTA website. While FTA is not currently funding tracking of measures for the JARC/New Freedom program, subrecipients are encouraged to collect this information should FTA decide to begin requiring program measures reporting again.

4.1.1. JARC Program Measures
  - Actual or estimated number of jobs that can be accessed as a result of geographic or temporal coverage of JARC projects implemented in the current reporting year.
  - Actual or estimated number of rides (as measured by one-way trips) provided as a result of the JARC projects implemented in the current reporting year.

4.1.2. New Freedom Program Measures
  - Increases or enhancements related to geographic coverage, service quality and/or service times that impact availability of transportation services for individuals with disabilities as a result of the New Freedom projects implemented in the current reporting year.
Georgia Department of Transportation
Division of Intermodal

- Additions or changes to environmental infrastructure (e.g., transportation facilities, sidewalks, etc), technology, and vehicles that impact availability of transportation services as a result of the New Freedom projects implemented in the current reporting year.

- Actual or estimated number of rides (as measured by one-way trips) provided for individuals with disabilities as a result of the New Freedom projects implemented in the current reporting year.

Procedures

Subrecipients are required to submit quarterly reports. These reports are due on the 10th of each month following the last month of the preceding quarter. FTA requires special reporting on an annual basis for JARC and New Freedom programs. This information should be compiled by the subrecipient and kept on file until the annual reporting deadline requires their submission of the information.
5.0 FORMS, CHECKLISTS & TEMPLATES

All forms, checklists and templates for this program are contained in the GPMM.
The JARC program supports the development
and531m6 –a5in31t7eAnpapnliccaetioonf services designed to transport
welfare recipients and eligible low-income
individuals to and from jobs and activities related to
FFY 2012 JARC & New Freedom
their employment.
Grant application
Georgia Department of Transportation
Division of Intermodal

According to FTA’s guidance, projects need to be
derived from a Coordinated Public Transit –
Human Services Transportation Plan called for
under SAFETEA-LU. Projects for 20062007 funding cycle were exempt from this
requirement. However, the projects must be based on
previously completed planning efforts that meet
certain minimum criteria, such as an assessment of
existing services, an assessment of needs or gaps in
such services, and strategies for addressing these
shortcomings. These plans must also be based on a
dATE

division of Intermodal Programs


good faith effort for coordinating with existing
**Georgia Department of Transportation**  
**Division of Intermodal**

<table>
<thead>
<tr>
<th><strong>Agency (Applicant) Name</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Address</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>City</strong></th>
<th><strong>County</strong></th>
<th><strong>Zip</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Contact Person</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Phone</strong></th>
<th><strong>FAX</strong></th>
<th><strong>E-Mail Address</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Metropolitan Planning Agency/Regional Transportation Planning Agency**

---

**Georgia Department of Transportation**  
**Division of Intermodal Programs**  
One Georgia Center  
600 West Peachtree Street  
Atlanta, GA 30308  
www.dot.ga.gov/
Ms. Carol L. Comer, Director Division of Intermodal Programs Georgia Department of Transportation 600 West Peachtree Street, N.W. Atlanta, Georgia 30308

Dear Ms. Comer:

The (Applicant) is applying for __________ grant to ___________ (discuss efforts pertaining to your project submission for JARC and/or New Freedom). The capital and/or operating assistance requested in this project has been reviewed and approved by the local transportation planning process and is listed in the current Transportation Improvement Program/Statewide Transportation Improvement Program. Furthermore, the requests within this submission are reflected within our coordinated human services transportation plan and convey the holistic sentiment of all agencies which participated within the process.

We are requesting federal assistance in the amount of $__________ for JARC funding, and $__________ for New Freedom funding. State assistance in the amount of $__________ is also requested which will be matched with local assistance in the amount of $__________. (Repeat this sentence with relevant information if applying for both JARC and New Freedom funds).

We attest that all of the information contained in this JARC and New Freedom Program request is correct and the applicant has the legal, financial and technical capacity to carry out the proposed project(s).

If you have any questions on this request, please contact (principal contact) at (phone number).

Sincerely,

Signature of Designated Official

Title
### A. Applicant Information:

<table>
<thead>
<tr>
<th>Field</th>
<th>Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal Name</td>
<td></td>
</tr>
<tr>
<td>Address</td>
<td></td>
</tr>
<tr>
<td>City/State/Zip</td>
<td></td>
</tr>
<tr>
<td>Contact Person</td>
<td></td>
</tr>
<tr>
<td>E-mail</td>
<td></td>
</tr>
<tr>
<td>Phone</td>
<td></td>
</tr>
<tr>
<td>Fax</td>
<td></td>
</tr>
</tbody>
</table>

- [ ] Current 5310 Recipient
- [ ] Current 5311 Recipient
- [ ] Applying for other federal funds this year.

**Source:**

### B. Project Type (check one):

- [ ] Capital Only (80%)
- [ ] Operating Only (50%)
- [ ] Capital (80%) and Operating (50%)
- [ ] Mobility Management (80%)

### C. Program (check one):

- [ ] Small-Urban JARC Project - FTA Section 5316
- [ ] Non-Urban (Rural) JARC Project - FTA Section 5316
- [ ] Small-Urban NF Project – FTA Section 5317*
- [ ] Non-Urban (Rural) NF Project – FTA Section 5317*

### D. JARC/New Freedom Project Information:

<table>
<thead>
<tr>
<th>Field</th>
<th>Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of JARC welfare recipients</td>
<td></td>
</tr>
<tr>
<td>Number of eligible JARC low-income** persons</td>
<td></td>
</tr>
<tr>
<td>Number of persons with disabilities</td>
<td></td>
</tr>
<tr>
<td>Project Title/Summary</td>
<td></td>
</tr>
</tbody>
</table>

### E. Funding Request:

<table>
<thead>
<tr>
<th>Funding Request</th>
<th>FFY</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## JARC Non-Urban Request

<table>
<thead>
<tr>
<th></th>
<th>$</th>
</tr>
</thead>
<tbody>
<tr>
<td>JARC Small Urban Request:</td>
<td></td>
</tr>
<tr>
<td>JARC Non-Urban Request:</td>
<td></td>
</tr>
<tr>
<td>NF Small Urban Request:</td>
<td></td>
</tr>
<tr>
<td>NF Non-Urban Request:</td>
<td></td>
</tr>
<tr>
<td>Total Match Funds:</td>
<td></td>
</tr>
<tr>
<td><em>(Non-DOT federal, state, local or private)</em></td>
<td></td>
</tr>
<tr>
<td>Total Cost of Project:</td>
<td></td>
</tr>
</tbody>
</table>

### APPLICANT ELIGIBILITY

## Agency Profile & Budget

Briefly describe your agency’s purpose and services. Supporting documentation must be attached (e.g., agency brochure).

Briefly describe the current population and geographic area(s) that is served and the population and geographic area(s) that will be served by this project. Please attach supporting documentation such as an 8-1/2 x 11 map of the service area.

### Annual Budget:

#### Estimated Income:

- a. Passenger Revenue
- b. Other Revenues
- c. Total grants*, donations, subsidy from other agency funds

**TOTAL INCOME**

*Not including this grant request.

#### Estimated Expenses:

- a. Wages, Salaries and Benefits (non-maintenance personnel)
- b. Maintenance & Repair (include maintenance salaries)
- c. Fuels

---

*Not including this grant request.*
Georgia Department of Transportation  
Division of Intermodal

d. Casualty & Liability Insurance $  
e. Administrative & General Expense $  
f. Other Expenses (e.g., materials & supplies, taxes) $  
g. Contract Services (specify) $  
**TOTAL EXPENSES** $  

---

**Fund Sources:**  

<table>
<thead>
<tr>
<th>SOURCES</th>
<th>AMOUNTS</th>
<th>Prior Year (20XX)</th>
<th>Current Year (20XX)</th>
<th>Budget Year (20XX)</th>
</tr>
</thead>
<tbody>
<tr>
<td>a.</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>b.</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>c.</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td>d.</td>
<td>$</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>TOTAL</strong></td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

---

**Identify Source(s) of Local Match:**  

<table>
<thead>
<tr>
<th>AMOUNTS</th>
<th>$</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$</td>
</tr>
<tr>
<td></td>
<td>$</td>
</tr>
<tr>
<td></td>
<td>$</td>
</tr>
<tr>
<td><strong>TOTAL LOCAL MATCH</strong></td>
<td>$</td>
</tr>
</tbody>
</table>
Coordinated Plan Certification

Reference: FTA C 9070.1F Section V

The projects selected for funding under the Section 5316 and 5317 program must be “derived from a locally developed, coordinated public transit-human services transportation plan” (Coordinated Plan) that was “developed through a process that includes representatives of public, private, and non-profit transportation and human services providers and participation by members of the public.” (Circular, V-5)

Required Elements: Projects shall be derived from a coordinated plan that minimally includes four elements and a level consistent with available resources and the complexity of the local institutional environment. (Circular, V-2)

Adoption of a Plan: As part of the local coordinated planning process, the lead agency in consultation with participants should identify the process for adoption of the plan. This grant application must document the local plan from which each project is derived, including the lead agency, the date of adoption of the plan, or other appropriate identifying information. (Circular, V-7 & V-8)

Draft Plan: Agencies who do not have a final adopted Coordinated Plan may submit an application for funding if the project was derived from a Draft Coordinated Plan that had been submitted to GDOT for review.

Coordinated Plan Lead Agency (Agency preparing the Coordinated Plan)

<table>
<thead>
<tr>
<th>Agency</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Title of Coordinated Plan</th>
<th>Date Plan Adopted (attach documentation)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Date of Draft Plan</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Agency Representative Name (Print)</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

5.1.1. Grant Applicant

<table>
<thead>
<tr>
<th>Agency</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Agency Representative (Print)</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Resolution authorizing the filing of an application with Department of Transportation, United States of America, and the Georgia Department of Transportation for a grant under Title 49 U.S.C., Section 602.

WHEREAS, the Secretary of US DOT Transportation and Commissioner of the Georgia Department of Transportation are authorized to make grants for mass transportation; and

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

WHEREAS, it is required by the U.S. Department of Transportation in accord 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 Title 49 U.S.C., Section 602, the applicant gives an assurance that it will comply with Title VI of the Civil Rights Act of 1964 and other pertinent directives and the U.S. Department of Transportation requirements thereunder; and

WHEREAS, it is the goal of the Applicant that Minority Business Enterprise (Disadvantaged Business Enterprise and Woman Business Enterprise) be utilized to the fullest extent possible in connection with this/these project(s), and that definite 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 (Governing Body of Applicant)

1. That (Title of Designated Official) is authorized to execute and file (an) application(s) on behalf of (Legal Name of Applicant) with the Georgia Department of Transportation to aid in the financing of planning, capital and/or operating assistance projects pursuant to Title 49 U.S.C., Section 602, (insert name of program).

2. That (Title of Designated Official) is authorized to execute and file with such applications an assurance 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 (Title of Designated Official) is authorized to furnish such additional information as the U.S. Department of Transportation and the Georgia Department of Transportation may require in connection with the application for the Program of Projects and Budget.

4. That (Title of Designated Official) is authorized to set forth and execute affirmative minority business policies in connection with the Program of Projects and Budget's procurement needs.

5. That (Title of Designated Official) is authorized to execute grant agreements on behalf of (Legal Name of Applicant) with the Georgia Department of Transportation for aid in the financing of the planning, capital and/or operating assistance requested in the Program of Projects and Budget.

CERTIFICATION

The undersigned duly qualified and acting (Title of Designated Official) of the (Legal Name of Applicant) certifies that the foregoing is a true and correct copy of a resolution, adopted at a legally convened meeting of the (Governing Body of Applicant) held on ________________, 20__.

If applicant has an official seal, impress here.

__________________________
Signature of Recording Officer

__________________________
Title of Recording Officer

__________________________
Date
**APPLICANT ELIGIBILITY**

**FEDERAL FISCAL YEAR 2012 CERTIFICATIONS AND ASSURANCES FOR FEDERAL TRANSIT ADMINISTRATION ASSISTANCE PROGRAMS**

(*Signature page alternative to providing Certifications and Assurances in TEAM-Web*)

**Name of Applicant:**

The Applicant agrees to comply with applicable provisions of Groups 01 – 24. ______

OR

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

<table>
<thead>
<tr>
<th>Description</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>01. Assurances Required For Each Applicant.</td>
<td></td>
</tr>
<tr>
<td>02. Lobbying.</td>
<td></td>
</tr>
<tr>
<td>03. Procurement Compliance.</td>
<td></td>
</tr>
<tr>
<td>04. Protections for Private Providers of Public Transportation.</td>
<td></td>
</tr>
<tr>
<td>05. Public Hearing.</td>
<td></td>
</tr>
<tr>
<td>06. Acquisition of Rolling Stock for Use in Revenue Service.</td>
<td></td>
</tr>
<tr>
<td>07. Acquisition of Capital Assets by Lease.</td>
<td></td>
</tr>
<tr>
<td>08. Bus Testing.</td>
<td></td>
</tr>
<tr>
<td>09. Charter Service Agreement.</td>
<td></td>
</tr>
<tr>
<td>10. School Transportation Agreement.</td>
<td></td>
</tr>
<tr>
<td>11. Demand Responsive Service.</td>
<td></td>
</tr>
<tr>
<td>12. Alcohol Misuse and Prohibited Drug Use.</td>
<td></td>
</tr>
<tr>
<td>13. Interest and Other Financing Costs.</td>
<td></td>
</tr>
<tr>
<td>15. Urbanized Area Formula Program.</td>
<td></td>
</tr>
<tr>
<td>16. Clean Fuels Grant Program.</td>
<td></td>
</tr>
<tr>
<td>17. Elderly Individuals and Individuals with Disabilities Formula Program and Pilot Program.</td>
<td></td>
</tr>
<tr>
<td>18. Nonurbanized Area Formula Program for States.</td>
<td></td>
</tr>
<tr>
<td>22. Tribal Transit Program.</td>
<td></td>
</tr>
<tr>
<td>23. TIFIA Projects</td>
<td></td>
</tr>
<tr>
<td>24. Deposits of Federal Financial Funding to a State Infrastructure Banks.</td>
<td></td>
</tr>
</tbody>
</table>

Section 5316 and 5317 (JARC and New Freedom)
FEDERAL FISCAL YEAR 2012 FTA CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE

(Required of all Applicants for FTA assistance and all FTA Grantees with an active capital or formula project)

AFFIRMATION OF APPLICANT

Name of Applicant: ____________________________

Name and Relationship of Authorized Representative: ____________________________

BY SIGNING BELOW, on behalf of the Applicant, I declare that the Applicant has duly authorized me to make these certifications and assurances and bind the Applicant’s compliance. Thus, the Applicant agrees to comply with all Federal statutes, regulations, executive orders, and directives, and with the certifications and assurances as indicated on the foregoing page applicable to each application it makes to the Federal Transit Administration (FTA) in Federal Fiscal Year 2012.

FTA intends that the certifications and assurances the Applicant selects on the other side of this document, as representative of the certifications and assurances in this document, should apply, as provided, to each project for which the Applicant seeks now, or later, seek FTA assistance during Federal Fiscal Year 2012.

The Applicant affirms the truthfulness and accuracy of the certifications and assurances it has made in the statements submitted herein 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 fraud provisions of 18 U.S.C. 1001 apply to any certification, assurance, or submission made in connection with a Federal public transportation program authorized in 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 correct.

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 the Applicant.

I further affirm to the Applicant 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 the project.

Signature: ____________________________ Date: ____________________________

Name: ____________________________

Attorney for Applicant
Each Applicant for FTA financial assistance and each FTA Grantee with an active capital or formula project must provide an Affirmation of Applicant’s Attorney pertaining to the Applicant’s legal capacity. The Applicant may enter its signature in lieu of the Attorney’s signature, provided the Applicant has on file this Affirmation, signed by the attorney and dated this Federal fiscal year.

* Federal Register/Vol. 76, No. 211/Tuesday, 11/01/2011/pg. 67522/(See Appendix A of this document).

**APPLICANT ELIGIBILITY**

**LABOR UNION INFORMATION**

Name of Applicant: ____________________________________________________________

Project Description: __________________________________________________________

Union Representation of Applicant’s Employees

Organization Name: ____________________________________________________________

Contact Person: ______________________________________________________________

Address: ____________________________________________________________________

Telephone: __________________________________________________________________

(required) Email: _____________________________________________________________

Other Surface Public Transportation Providers If Any

Section 5316 and 5317 (JARC and New Freedom)

Program Procedure Manual
<table>
<thead>
<tr>
<th>Organization:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact Person:</td>
<td></td>
</tr>
<tr>
<td>Address:</td>
<td></td>
</tr>
<tr>
<td>Telephone:</td>
<td></td>
</tr>
<tr>
<td><em>(required)</em> Email:</td>
<td></td>
</tr>
<tr>
<td>Organization:</td>
<td></td>
</tr>
<tr>
<td>Contact Person:</td>
<td></td>
</tr>
<tr>
<td>Address:</td>
<td></td>
</tr>
<tr>
<td>Telephone:</td>
<td></td>
</tr>
<tr>
<td><em>(required)</em> Email:</td>
<td></td>
</tr>
<tr>
<td>Organization:</td>
<td></td>
</tr>
<tr>
<td>Contact Person:</td>
<td></td>
</tr>
<tr>
<td>Address:</td>
<td></td>
</tr>
<tr>
<td>Telephone:</td>
<td></td>
</tr>
<tr>
<td><em>(required)</em> Email:</td>
<td></td>
</tr>
</tbody>
</table>
Civil Rights

Describe any lawsuits or complaints that have been received or acted on in the last year based on Title VI of the Civil Rights Act or other relevant civil rights requirements; and subrecipient must provide a status of lawsuits or an explanation of how complaints were resolved including corrective actions taken.

If NO lawsuits or complaints were received or acted on – subrecipient must provide the following statement:

THERE WERE NO LAWSUITS OR COMPLAINTS RECEIVED OR ACTED ON IN THE LAST YEAR RELATING TO TITLE VI OR OTHER RELEVANT CIVIL RIGHTS REQUIREMENTS.

Additionally, all applicants for FTA funding are required to maintain and provide GDOT and FTA with certain Title VI information. The required information is outlined in Part I - General Reporting Requirements. Updated information should be provided to the Department as conditions warrant but at a minimum, Part I should be submitted annually.

Part II - Grantees Monitoring Procedures - For the purpose of this section, FTA is requiring that all grants that provide public transit service develop and implement procedures to monitor their level and quality of transit service to determine compliance with Title VI. These comparisons of the level and quality of transit service provided to the minority community, against overall system averages, will measure the actual realization of established service policies and standards. FTA requests that the following methodologies be incorporated in the grantee's monitoring procedures for reviewing levels and quality of service (this is to be done annually). The information should be relevant to the organizational entity actually submitting the application, not necessarily the larger agency or department of which the entity is a part.

Part I - General Reporting Requirements:

1. A list of any active lawsuits or complaints naming the applicant which allege discrimination on the basis of race, color, or national origin with respect to service or other transit benefits. The list should include:

   (a) The date the lawsuit or complaint was filed;
   (b) A summary of the allegation; and
(c) The status of the lawsuit or complaint.

2. A description of all pending applications for financial assistance, and financial assistance currently provided by other federal agencies.

3. A summary of all civil rights compliance review activities conducted in the last three years. The summary should include:

   (a) The proposed reason for the review;
   (b) The name of the agency or the organization that performed the review;
   (c) A summary of the findings and recommendations of the review; and
   (d) A report on the status and/or disposition of such findings and recommendations.

---

**Part II - Grantees Monitoring Procedures**

I. **Level of Service Methodology** - This section will examine the recipients, minority community, service policy and standards. Census breakdowns must be obtained from the latest U.S. Census report, which is available at any RDC, MPO, or County Commissioner’s Office.

   A. Select Cities/Counties that have a minority population which can be monitored and analyzed when collecting data (service should be monitored at a minimum of one month).

      1. Select City/County where Section 5311 transportation is provided.
      2. Look at each City/County area where service is provided and determine the percentage of minority population to total population.

   B. Using the criteria listed below to provide an overview of the transit service:

      1. Type of service
      2. Days and hours of operation
      3. Number of vehicles
      4. Number of wheelchair equipped vehicles
5. Total seating capacity
6. Service area

C. Conduct a survey using the criteria listed below to determine the performance of rural transit in the area:
   1. Total number of trips
   2. Total number of trips provided to minorities
   3. Percentage total (minority trips / total number of trips)

D. Review the transit service provided and the provider’s standards and policies. Make sure all State, Federal, Civil Rights and Title VI mandates and requirements are met. Also, in cases where there are findings, give recommendations.

E. Compare the average performance for each City/County transit system to the grantee’s service policies and standards. If there are findings, give recommendations.

II. Quality of Service Methodology - This section will determine whether the quality of service is consistent among different user groups and the degree to which transit service is responsive to minority needs (service should be monitored at a minimum of one month).

A. Select Cities/Counties where rural transit service is provided.

B. Conduct a survey and identify the users travel pattern (shopping trips, work trips, medical trips, etc.).

C. Conduct a survey and identify the travel pattern for minorities and non-minorities (shopping trips, work trips, medical trips, etc.).

D. Give a transit cost analysis using the survey results which identify the minority and non-minority travel pattern. Select the top three most traveled destinations and respond to the questions listed below:

   1. Cost per hour for transit service
   2. Total cost of trip destination
   3. Cost per mile of trip to destination
E. In using this methodology, the grantee must compare the overall quality of service of minorities with non-minorities and take action on the disparities.

---

**APPLICANT ELIGIBILITY**

**Disadvantaged Business Enterprise**

**Disadvantaged Business Enterprise (DBE) Requirements**

All successful applicants of the JARC/NF funds for Other Equipment (non-vehicle) projects must adhere to the Georgia *Disadvantaged Business Enterprise Program Plan* as it applies to local agencies.

**FTA DISADVANTAGED BUSINESS ENTERPRISE (DBE): 49 CFR Part 26**

**Background and Applicability**

The newest version on the Department of Transportation’s Disadvantaged Business Enterprise (DBE) program became effective July 16, 2003. The rule provides guidance to grantees on the use of overall and contract goals, requirement to include DBE provisions in subcontracts, evaluating DBE participation where specific contract goals have been set, reporting requirements, and replacement of DBE subcontractors. Additionally, the DBE program dictates payment terms and conditions (including limitations on retainage) applicable to all subcontractors regardless of whether they are DBE firms or not.

The DBE program applies to all DOT-assisted contracting activities. A formal clause such as that below must be included in all contracts above the micro-purchase level. The requirements of clause subsection b flow down to subcontracts.

A substantial change to the payment provisions in this newest version of Part 26 concerns retainage (see section 26.29). Grantee choices concerning retainage should be reflected in the language choices in clause subsection d.

**Clause Language**

The following clause language is suggested, not mandatory. It incorporates the payment terms and conditions applicable to all subcontractors based in Part 26 as well as those related only to DBE subcontractors. The suggested language allows for the options available to grantees concerning retainage, specific contract goals, and evaluation of DBE subcontracting participation when specific contract goals have been established.

**Disadvantaged Business Enterprises**
a. This contract is subject to the requirements of Title 49, Code of Federal Regulations, Part 26, Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs. The national goal for participation of Disadvantaged Business Enterprises (DBE) is 10%. The agency’s overall goal for DBE participation is __%. A separate contract goal [of __ % DBE participation has] [has not] been established for this procurement.

b. The contractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of this DOT-assisted contract. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as {insert agency name} deems appropriate. Each subcontract the contractor signs with a subcontractor must include the assurance in this paragraph (see 49 CFR 26.13(b)).

c. {If a separate contract goal has been established, use the following} Bidders/offerors are required to document sufficient DBE participation to meet these goals or, alternatively, document adequate good faith efforts to do so, as provided for in 49 CFR 26.53. Award of this contract is conditioned on submission of the following [concurrent with and accompanying sealed bid] [concurrent with and accompanying an initial proposal] [prior to award]:

1. The names and addresses of DBE firms that will participate in this contract;
2. A description of the work each DBE will perform;
3. The dollar amount of the participation of each DBE firm participating;
4. Written documentation of the bidder/offeror’s commitment to use a DBE subcontractor whose participation it submits to meet the contract goal;
5. Written confirmation from the DBE that it is participating in the contract as provided in the prime contractor’s commitment; and
6. If the contract goal is not met, evidence of good faith efforts to do so.

{Bidders} {Offerors} must present the information required above [as a matter of responsiveness] [with initial proposals] [prior to contract award] (see 49 CFR 26.53(3)).

{If no separate contract goal has been established, use the following} The successful bidder/offeror will be required to report its DBE participation obtained through race-neutral means throughout the period of performance.

d. The contractor is required to pay its subcontractors performing work related to this contract for satisfactory performance of that work no later than 30 days after the contractor’s receipt of payment for that work from the {insert agency name}. In addition, [the contractor may not hold retainage from its subcontractors.] [is required to return any retainage payments to those subcontractors within 30 days after the subcontractor's work related to this contract is satisfactorily completed.] [is required to return any retainage payments to those subcontractors within 30 days after incremental acceptance of the subcontractor’s work by the {insert agency name} and contractor’s receipt of the partial retainage payment related to the subcontractor’s work.]

e. The contractor must promptly notify {insert agency name}, whenever a DBE subcontractor
performing work related to this contract is terminated or fails to complete its work, and must make good faith efforts to engage another DBE subcontractor to perform at least the same amount of work. The contractor may not terminate any DBE subcontractor and perform that work through its own forces or those of an affiliate without prior written consent of {insert agency name}.

**APPLICANT ELIGIBILITY**

Georgia Intergovernmental Consultation Process

<table>
<thead>
<tr>
<th>Applicant:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Name:</td>
</tr>
<tr>
<td>Applicant’s Address:</td>
</tr>
<tr>
<td>Name and Title of Contact Person:</td>
</tr>
<tr>
<td>Phone:</td>
</tr>
<tr>
<td>Impacted City/Cities:</td>
</tr>
<tr>
<td>Impacted County/Counties:</td>
</tr>
<tr>
<td>Project Description (Nature, Purpose, Location):</td>
</tr>
</tbody>
</table>

**6.0**

**7.0 FUNDING**

<table>
<thead>
<tr>
<th>Source</th>
<th>$ Amount</th>
<th>Federal Program Name: 52</th>
</tr>
</thead>
<tbody>
<tr>
<td>Basic Federal Grant</td>
<td></td>
<td>Federal Agency Name: Federal Transit</td>
</tr>
</tbody>
</table>

Federal Catalog Number: 20.507
Impacted Regional and Metropolitan Clearinghouse:

<table>
<thead>
<tr>
<th>Signature of Authorizing Official</th>
<th>Title</th>
<th>Date</th>
</tr>
</thead>
</table>

* Please send completed form to: State Clearinghouse c/o Barbara Jackson, Office of Planning and Budget, Suite 8069, 270 Washington Street, S.W., Atlanta, Georgia 30334. (404) 656-3855, Fax#: (770) 344-3568.

* Send copy to the affected MPO (except Atlanta) if appropriate. Do Not Send to the Regional RDC.

The original form should be sent to the State Clearinghouse, c/o Barbara Jackson, Office of Planning and Budget, Suite 8069, 270 Washington Street, S.W., Atlanta, Georgia 30334. If the project is to be located in a locale served by a Metropolitan Clearinghouse, a legible copy must be sent to the appropriate MPO for review and approval (except in Atlanta).

When completing the Intergovernmental Consultation Form, the applicant must be sure to include the following information:

1. Identification of the applicant.

2. Federal program title, number and agency under which assistance is sought as listed in the latest Catalog of Federal Domestic Assistance.

3. Geographic location of the proposed project by type accompanied by a map (physical development only).
4. Brief description of the proposed project by type, purpose, general size, or scale, estimated cost, beneficiaries or other characteristic details.

*Note:* The State Clearinghouse will coordinate area wide clearinghouse responses with the respective Regional Development Centers including ARC. **DO NOT SEND TO RDC.**
APPLICANT ELIGIBILITY

Anti-Drug Program Certification

(Official Letter Head)

I, (Name of Official), (Title)

Certify that (Name of Organization) and its contractors as required under 49 of U.S Code (U.S.C) Parts 655 and 40 for the section 53 program, has established and implemented an anti-drug and alcohol misuse prevention program in accordance with the above federal regulations.

I further certify that the following statements are true:

(a) Random testing of safety sensitive employees will be conducted in a manner consistent with requirements of 49 CFR Parts 655 and 40 and that these tests will be spread reasonably throughout the calendar year to include all workdays and hours of service and shall be unpredictable.

(b) Employee training will be conducted in a manner consistent with requirements of 49 CFR Parts 655 and 40.

__________________________  ____________________________
Signature of Recipient/Subrecipient  Signature of Contractor

Date: ______________________  Date: ______________________
1. Please indicate the date of your last drug and alcohol policy revision: 

   If your policy has been revised since your last submittal to GDOT, please attach a copy with the changed text highlighted

2. Have you changed any of your testing service providers since your last submittal to GDOT?
3. How many transit supervisors have been hired since your last submittal? 

Please provide the following substance abuse class information for each new hire:

<table>
<thead>
<tr>
<th>Name of hire</th>
<th>Name of Instructor</th>
<th>Location</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

4. How many new safety-sensitive employees have been hired since your last submittal: 

Please provide the following substance abuse class information for each new hire:

<table>
<thead>
<tr>
<th>Name of hire</th>
<th>Name of Instructor</th>
<th>Location</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
5. How many drug tests have been performed since January 1st?

How many blind sample tests have been performed since January 1st?

6. Has there been any change in the technician or equipment used for alcohol testing since your last submittal?

<table>
<thead>
<tr>
<th>Evidential Breath Testing Device (EBT)</th>
<th>Same</th>
<th>Changed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Breath Alcohol Technician (BAT)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*If there has been a change, please describe the change including the make and model number of the EBT and attach documentation of the BAT's credentials:*

________________________________________________________________________

________________________________________________________________________

7. Has there been any change in the random selection process since your last submittal?

*If yes, please describe the new process providing enough detail to determine the scientific validity of the method:*

8. How many safety-sensitive employees are currently on staff?

9. How many drug tests are required per year:
How many alcohol tests are required per year:

10. If you use a turnkey provider to provide your testing services, have there been any changes in the way or the location services are provided?
   - [ ] Not applicable
   - [ ] Yes
   - [ ] No

   If yes, please specify the nature and extent of changes:

11. If you are part of a consortium, have there been any changes in the way or location services are provided?
   - [ ] Not applicable
   - [ ] Yes
   - [ ] No

   If yes, please specify the nature and extent of changes:

12. Have there been any changes in the manner in which records are stored, or who has access to the files?
   - [ ] Yes
   - [ ] No

   If yes, please describe these changes:

13. If you have any contractors that perform safety-sensitive job functions, list any additions or deletions since your last submittal:

   ______________________________________________________
   ______________________________________________________
   ______________________________________________________
   ______________________________________________________
   ______________________________________________________

Section 5316 and 5317 (JARC and New Freedom)
Program Procedure Manual
Are all of these vendors in compliance with the FTA drug and alcohol testing regulations?

Yes ☐ No ☐

Please describe how you are monitoring their compliance:

(APPLICANT ELIGIBILITY)

CERTIFICATION OF NO INTENT OF CHARTER SERVICE

(Official Letterhead)

(Legal Name of City/County) certifies that it does not intend to provide charter service with FTA funded equipment or facilities during the operating period of this application. Should the Applicant decide to provide charter service, the Applicant will notify the Georgia Department of Transportation no less than 90 days prior to implementation of this service.

DATE: ______________________

Section 5316 and 5317 (JARC and New Freedom)
Program Procedure Manual Page 18 of 16
Sole Source, Single-Bid, and Brand Name Procurement

The Federal Transit Administration (FTA) requires full and open competition in procurements for goods and services and encourages grantees to award contracts to the lowest responsive and responsible bidder. However, sole-source, single-bid, and brand-name or equal awards can be used. In such situations, the grantee should have appropriate documentation for the award which is described below.

Sole-Source

In the case of a sole-source award, the documentation should be a sole-source justification, which includes a cost analysis.
Single-Bid

With a single-bid, the documentation should include a cost analysis, as well as an explanation as to why a single bid was obtained.

Brand-Name

For brand-name or equal awards, the procurement specification should list the product’s salient characteristics and allow an equal product to be offered.

I hereby assure that the FTA requirements for single bid, sole source and brand name or equal procurements are understood and will be followed for procurements involving FTA funds.

Signature of Official
Title of Official
Date

APPLICANT ELIGIBILITY

ADA Paratransit Plan Annual Update

( DATE )
AMERICANS WITH DISABILITIES ACT (ADA)
### Transit Agency:

<table>
<thead>
<tr>
<th><strong>Six Service Criteria</strong></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Service Area</td>
<td></td>
</tr>
<tr>
<td>Service to all origins and destinations within the defined area</td>
<td></td>
</tr>
<tr>
<td>Coordination with contiguous/overlapping service areas</td>
<td></td>
</tr>
<tr>
<td>2. Response Time</td>
<td></td>
</tr>
<tr>
<td>Requests accepted during normal business hours on “next day” basis</td>
<td></td>
</tr>
<tr>
<td>Requests accepted on all days prior to days of service (e.g. weekends/holidays)</td>
<td></td>
</tr>
<tr>
<td>Requests accepted at least 14 days in advance</td>
<td></td>
</tr>
<tr>
<td>Trips scheduled within one hour of requested pickup time</td>
<td></td>
</tr>
<tr>
<td>3. Fares</td>
<td></td>
</tr>
<tr>
<td>No more than twice the base fixed fare for eligible individuals</td>
<td></td>
</tr>
<tr>
<td>Compliance with companion fare requirement</td>
<td></td>
</tr>
<tr>
<td>Compliance with personal care attendant fare requirement</td>
<td></td>
</tr>
<tr>
<td>4. Days &amp; Hours of Service</td>
<td></td>
</tr>
<tr>
<td>Paratransit provided during all days and hours when fixed route service is in operation</td>
<td></td>
</tr>
<tr>
<td>5. Trip Purposes</td>
<td></td>
</tr>
<tr>
<td>No restriction on types of trip purposes</td>
<td></td>
</tr>
<tr>
<td>No restriction by trip purpose in scheduling</td>
<td></td>
</tr>
<tr>
<td>6. Capacity Constraints</td>
<td></td>
</tr>
<tr>
<td>No restrictions on the number of trips an individual will be provided</td>
<td></td>
</tr>
<tr>
<td>No waiting list for access to the service</td>
<td></td>
</tr>
<tr>
<td>No substantial numbers of significantly untimely pickups for initial or return trips</td>
<td></td>
</tr>
</tbody>
</table>
No substantial number of trip denials or missed trips
No substantial trips not meeting on-time performance.
No substantial numbers of trips with excessive trip lengths
When capacity in unavailable, subscription trips are less than 50%

CERTIFICATION OF PARATRANSIT PLAN

The (transit agency name) hereby certifies that it has completed the most recent Paratransit Review as required under 49 CFR 37.139(j) and finds it to be in conformance with the transportation plan developed under 49 CFR part 613 and 23 CFR part 450 (the FTA/FHWA joint planning regulation). This certification is valid for one year and includes sample schedules and fare materials to validate.

Signed by:
Title:
Date:

APPLICANT ELIGIBILITY

Physical Facilities Certification

(Official letterhead)

XXXXXXX TRANSIT SYSTEM
CERTIFICATION NOTE:

DATE: __________
I certify that a physical inventory has been conducted within the department. All capital and fixed assets charged to this department on the current Capital Fixed Assets list dated ________________, are on hand and in serviceable condition. A copy of the Capital Fixed Asset List page(s) are attached.

Department Name & Number

Department Head Name & Title

(Signature)

---

### FTA FUNDED FLEET INVENTORY

<table>
<thead>
<tr>
<th>Description</th>
<th>I.D. Number</th>
<th>Acquisition Date</th>
<th>Cost</th>
<th>Federal %</th>
<th>Grant No.</th>
<th>Location</th>
<th>Use &amp; Condition</th>
<th>Disposition Action</th>
<th>Vested Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
APPLICANT ELIGIBILITY

NTD Closeout

Please provide your most recent close-out letter for the NTD reporting.
PROJECT DESCRIPTION & JUSTIFICATION

Briefly provide a project summary description. Within this exhibit, the application should list and describe all projects and activities in sufficient detail for GDOT & FTA to concur that the grant request is eligible for funding. For bus purchases, please include the length or size of the bus(s).

Provide a brief yet descriptive summary of the capital projects requested. Detailed capital justifications will be requested if needed for project management and oversight.

Name of Applicant: ____________________________________________

Congressional District: ____________

Project Start Date: _______________  Project Duration: _______ (months)

Clearinghouse Number: ____________  Approval Date: ____________

Section 5316 and 5317 (JARC and New Freedom)
Program Procedure Manual
Proposed Funding:

<table>
<thead>
<tr>
<th>SCOPE:</th>
<th>TOTALFEDERAL</th>
<th>STATE</th>
<th>LOCAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>AMOUNT</td>
<td>AMOUNT</td>
<td>DESCRIPTION:</td>
<td>AMOUNT</td>
</tr>
<tr>
<td>_____</td>
<td>_____</td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

Quantity: ______________

**ACTIVITY:**

__________________________

__________________________

Quantity: ______

__________________________

__________________________

Quantity: ______

__________________________

__________________________

Quantity: ______

**SCOPE:**

______  ____________________________  $  $  $  

Quantity: ______________

**ACTIVITY:**

_________  ____________________________

__________________________

Quantity: ______
**TOTAL CAPITAL:**

<table>
<thead>
<tr>
<th>Samples – Please Insert Project Specific Information</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>SCOPE</th>
<th>TOTAL</th>
<th>FEDERAL</th>
<th>STATE</th>
<th>LOCAL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>100%</td>
<td>80%</td>
<td>10%</td>
<td>10%</td>
</tr>
<tr>
<td>111-01</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>BUS-ROLLING STOCK</td>
<td>$601,000</td>
<td>$480,800</td>
<td>$60,100</td>
<td>$60,100</td>
</tr>
<tr>
<td>QUANTITY:4</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ACTIVITY</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.13.03</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>BUY 30-FT BUS FOR SERVICE EXPANSION</td>
<td>$580,000</td>
<td>$464,000</td>
<td>$58,000</td>
<td>$58,000</td>
</tr>
<tr>
<td>QUANTITY:4</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.32.06</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ACQ FARE COLLECTION EQUIPMENT</td>
<td>$5,000</td>
<td>$4,000</td>
<td>$500</td>
<td>$500</td>
</tr>
<tr>
<td>QUANTITY:5</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.62.03</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PURCHASE BUS RADIOS 30-FT BUSES</td>
<td>$16,000</td>
<td>$12,800</td>
<td>$1,600</td>
<td>$1,600</td>
</tr>
<tr>
<td>QUANTITY:3</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>SCOPE</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>113-01</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>BUS – STATIONS/STOPS/TERMINALS</td>
<td>$25,000</td>
<td>$20,000</td>
<td>$2,500</td>
<td>$2,500</td>
</tr>
<tr>
<td>ACTIVITY</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.13.10</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PURCHASE PASSENGER AMENITIES</td>
<td>$25,000</td>
<td>$20,000</td>
<td>$2,500</td>
<td>$2,500</td>
</tr>
<tr>
<td>QUANTITY:5</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL CAPITAL</td>
<td>$626,000</td>
<td>$500,800</td>
<td>$62,600</td>
<td>$62,600</td>
</tr>
</tbody>
</table>
### Rolling Stock

#### BUSES TO BE PURCHASED

<table>
<thead>
<tr>
<th>Size</th>
<th>Fuel Type</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### BUSES TO BE REPLACED

<table>
<thead>
<tr>
<th>Make</th>
<th>Age</th>
<th>Size</th>
<th>Fuel Type</th>
<th>Mileage</th>
<th>Vehicle #</th>
<th>VIN #</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

A separate milestone schedule needs to be prepared for each capital item. For the estimated dates and budget amounts, “varies” is not an acceptable response. Milestones should be sensible for the particular item description. Should you need assistance developing your milestone schedule, please contact your GDOT Transit Planner immediately. Upon the final reimbursement, all funds should be exhausted or an explanation provided.

### 8.0 GRANTEE NAME: ABC TRANSIT

Contact Name: __________________________ Contact Phone: __________________________

---

Section 5316 and 5317 (JARC and New Freedom) Program Procedure Manual
<table>
<thead>
<tr>
<th>Budget Activity No.</th>
<th>Budget Line Item Description</th>
<th>Budget Request</th>
</tr>
</thead>
<tbody>
<tr>
<td>11.13.03</td>
<td>Purchase Three (3) 30ft Diesel Buses</td>
<td>$ 1,000,000</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>8.1. Estimated Completion Date</th>
<th>8.2. Amount Exhausted</th>
</tr>
</thead>
<tbody>
<tr>
<td>RFB/IFB Out for Bid</td>
<td>7/1/2008</td>
<td>0</td>
</tr>
<tr>
<td>Contract Award</td>
<td>8/15/2008</td>
<td>$ 10,000</td>
</tr>
<tr>
<td>Final specifications</td>
<td>9/1/2008</td>
<td>$ 50,000</td>
</tr>
<tr>
<td>delivered to vendor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bus 1 delivered</td>
<td>8/1/2009</td>
<td>$ 350,000</td>
</tr>
<tr>
<td>Bus 2 delivered</td>
<td>6/1/2010</td>
<td>$ 550,000</td>
</tr>
<tr>
<td>Bus 3 delivered</td>
<td>3/1/2011</td>
<td>$ 950,000</td>
</tr>
<tr>
<td>Final reimbursement</td>
<td>5/1/2011</td>
<td>$ 1,000,000</td>
</tr>
<tr>
<td>submitted</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>8.3. Estimated Completion Date</th>
<th>8.4. Amount Exhausted</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant requests</td>
<td>7/1/2008</td>
<td>$ 0</td>
</tr>
<tr>
<td>notice to proceed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Applicant granted</td>
<td>9/15/2008</td>
<td>$ 5,000</td>
</tr>
<tr>
<td>notice to proceed</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Section 5316 and 5317 (JARC and New Freedom) Program Procedure Manual
PROJECT NO.:  
MOST RECENT AMENDMENT NO.:  
TOTAL FTA SHARE: $3,300,000

MILESTONE SCHEDULE

<table>
<thead>
<tr>
<th>Line Item Description</th>
<th>8.5. Milestone Description</th>
<th>8.6. Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Purchase three (3) 30ft diesel buses</td>
<td>RFB/IFB Out for Bid</td>
<td>7/1/2008</td>
</tr>
<tr>
<td></td>
<td>Contract Award</td>
<td>8/15/2008</td>
</tr>
<tr>
<td></td>
<td>Final specifications delivered to vendor</td>
<td>9/1/2008</td>
</tr>
<tr>
<td></td>
<td>Bus 1 delivered</td>
<td>8/1/2009</td>
</tr>
<tr>
<td><strong>Line Item Description</strong></td>
<td><strong>8.7. Milestone Description</strong></td>
<td><strong>8.8. Date</strong></td>
</tr>
<tr>
<td>--------------------------</td>
<td>-----------------------------</td>
<td>--------------</td>
</tr>
<tr>
<td>Acquisition of Intermodal Facility</td>
<td>Applicant requests notice to proceed</td>
<td>7/1/2008</td>
</tr>
<tr>
<td></td>
<td>Applicant granted notice to proceed</td>
<td>9/15/2008</td>
</tr>
<tr>
<td></td>
<td>RFB/IFB Out for Bid</td>
<td>9/30/2008</td>
</tr>
<tr>
<td></td>
<td>Contract Awarded</td>
<td>11/1/2008</td>
</tr>
<tr>
<td></td>
<td>Phase I completed</td>
<td>11/1/2009</td>
</tr>
<tr>
<td></td>
<td>Phase II completed</td>
<td>6/30/2010</td>
</tr>
<tr>
<td></td>
<td>Phase III completed</td>
<td>3/31/2011</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Line Item Description</strong></th>
<th><strong>8.9. Milestone Description</strong></th>
<th><strong>8.10. Date</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Purchase/install communications equipment</td>
<td>RFB/IFB Out for Bid</td>
<td>7/1/2008</td>
</tr>
<tr>
<td></td>
<td>Contract Award</td>
<td>8/15/2008</td>
</tr>
<tr>
<td></td>
<td>Final specifications delivered to vendor</td>
<td>9/1/2008</td>
</tr>
<tr>
<td></td>
<td>Server room prepared</td>
<td>12/1/2008</td>
</tr>
<tr>
<td></td>
<td>Internal lines installed</td>
<td>1/15/2009</td>
</tr>
<tr>
<td></td>
<td>External networking completed</td>
<td>2/10/2009</td>
</tr>
<tr>
<td></td>
<td>Final reimbursement submitted</td>
<td>3/15/2009</td>
</tr>
</tbody>
</table>
A. Goals and Objectives
1. Briefly describe how your proposed project is consistent with the goals and objectives of either the JARC or New Freedom grants programs.

1. Specify how your project addresses the gap(s) and/or barrier(s) identified through your Coordinated Plan. (Indicate the section/page number in the Coordinated Plan addressing the gaps and/or barriers)

8.11. B. Operational/Implementation Plan

2. For Operating projects, describe your operational plan that includes defined routes, schedules, current/projected ridership, key personnel, and marketing strategies; and/or for Capital and Mobility Management projects, describe your implementation plan that includes project tasks, timeframes, benchmarks, key milestones, key personnel, deliverables and estimated completion date.

C. Program Effectiveness and Performance Indicators

3. Identify the performance measures and indicators to track the effectiveness of your proposed project and include the number of persons you anticipate to be served and the number and purpose of trips (and other measurable units of service) the project will provide. Include the desired outcome (impact) that the project will have on low-income individuals (JARC) or individuals with disabilities.

4. Based upon the performance objectives and outcomes identified in Question 4 above, describe your methodologies and procedures for ongoing monitoring and evaluation of the project or service.

8.12. D. Communication and Outreach

5. List all stakeholders involved in the project. List should include, but not be limited to, Health and Human Services Agencies, public/private sector, non-profit agencies, transportation providers, and members of the public representing low-income (JARC) and individuals with disabilities (New Freedom).

6. Describe how you will promote public awareness of the project and how you will keep stakeholders involved and informed throughout the project.
E. Proposed Project Budget

7. Applicants should provide a complete budget plan, showing revenues and expenditures in the format provided below. Estimate the proposed cost per trip (or other unit of service). Briefly describe efforts to ensure its cost-effectiveness.

<table>
<thead>
<tr>
<th>Proposed Budget Plan – Operating Assistance Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>Applicant:</td>
</tr>
<tr>
<td>Contractor (if applicable):</td>
</tr>
<tr>
<td>Project Period:</td>
</tr>
<tr>
<td>Grant Program Type:</td>
</tr>
<tr>
<td>JARC □ NF □</td>
</tr>
</tbody>
</table>

(1) Total Operating Expenses (Itemize)

<table>
<thead>
<tr>
<th>$</th>
<th>$</th>
<th>$</th>
<th>$</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL OPERATING EXPENSES</td>
<td>$</td>
<td>$</td>
<td>(1)</td>
</tr>
</tbody>
</table>

(2) Less Fare box and Other Revenue (For Public Operators Only)

<table>
<thead>
<tr>
<th>$</th>
</tr>
</thead>
<tbody>
<tr>
<td>$</td>
</tr>
<tr>
<td>$</td>
</tr>
<tr>
<td>$</td>
</tr>
<tr>
<td>Description</td>
</tr>
<tr>
<td>---------------------------------------------------------------------------</td>
</tr>
<tr>
<td>TOTAL FAREBOX AND OTHER REVENUE APPLIED AGAINST ELIGIBLE EXPENSES</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>(3) Less Ineligible Expenses (within operating expense) *</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>TOTAL INELIGIBLE EXPENSES</td>
</tr>
<tr>
<td>(4) NET PROJECT COST (Line 1 – Line 2 – Line 3)</td>
</tr>
<tr>
<td>(5) Local Share (Itemized by Source Type &amp; Amount)</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>TOTAL LOCAL SHARE</td>
</tr>
<tr>
<td>(6) FEDERAL SHARE *</td>
</tr>
<tr>
<td>(7) BUDGET SUMMARY: Local Share + Federal Share = Net Project Cost</td>
</tr>
</tbody>
</table>

LOCAL SHARE: (50%) $ (5)

FEDERAL SHARE: (50%) + $ (6)

NET PROJECT COST: = $ (7)
** Examples of ineligible expense may include lobbying, depreciation, contributions, inter-department salary, etc.

### Proposed Budget – Capital Project (Part 1 of 2)

#### Vehicles

<table>
<thead>
<tr>
<th>Capital Equipment on State Procurement Contract</th>
<th>Number</th>
<th>Unit Cost</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vehicles</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Standard seating capacity examples by vehicle type</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Other Capital Equipment

Applicant must attach three (3) estimates of equipment with this application. The average of the 3 estimates may become the requested grant amount. If equipment is to be sole sourced, written justifications must be attached. Other eligible equipment includes: wheelchair lifts and restraints; radios and communication equipment; initial component installation costs; computer hardware and software (scheduling and vehicle maintenance software); transit related intelligent...
transportation systems (ITS); and the introduction of new technology through innovative and improved products into public transportation.

<table>
<thead>
<tr>
<th>Equipment</th>
<th>Number</th>
<th>Unit Cost</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Computer Hardware</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Computer Software</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maintenance Equipment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other Eligible Equipment (describe)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Communications Equipment</th>
<th>Number</th>
<th>Unit Cost</th>
<th>Total Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base Station</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mobile Radio</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Applicant:  

Project Description:  

Grant Program Type:  [ ] JARC  [ ] NF  

(Choose One)  

<table>
<thead>
<tr>
<th>ITEM DESCRIPTION</th>
<th>COST</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

NET PROJECT COST: $ 

LOCAL SHARE (Itemize by Source Type & Amount)  

<table>
<thead>
<tr>
<th>AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>$</td>
</tr>
<tr>
<td>$</td>
</tr>
</tbody>
</table>

Section 5316 and 5317 (JARC and New Freedom)  
Program Procedure Manual  
Page 39 of 16
<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>TOTAL LOCAL SHARE = Allowable Percentage (20%)</td>
<td>$</td>
</tr>
<tr>
<td>TOTAL FEDERAL SHARE= Allowable Percentage (80%)</td>
<td>$</td>
</tr>
</tbody>
</table>
PART VI. OTHER EQUIPMENT JUSTIFICATION

1. Describe the type of equipment you are interested in purchasing. Specifically identify the components and provide cost estimates for each item. Please include a detailed description of the make and year model of equipment to be replaced.

2. Discuss how the requested ancillary equipment will be used to support the transportation program. Discuss any expected improvements in service delivery or coordination and any reduction in the cost to provide service. If computer equipment is being requested, also describe current method of collecting and tracking information.

ADDITIONAL PROJECT DETAILS

9.0 ENVIRONMENTAL REVIEW

Please submit the following information for the environmental components related to this application

(a) Date of FTA’s signing of Finding of No Significant Impact (FONSI), or
(b) Date of FTA’s signing of Record of Decision (ROD), or
(c) Grant applicant’s Categorical Exclusion (CE) recommendation if neither of the above two choices applies

10.0 AIR QUALITY

Please submit the following information for the air quality components related to this application

(a) Date of project level conformity determination by FTA, or
(b) Applicant’s recommendation concerning project’s category of exemption
11.0 TRANSCRIPT FOR PUBLIC HEARING, IF HELD

Please attach affidavit for opportunity of public hearing or attach transcript if public hearing was held.

12.0 STIP - DATE OF APPROVAL BY GDOT TRANSPORTATION BOARD

Please note the date of approval and page number of the STIP which includes your project.

INFORMATION CONFIRMING THAT CAPITAL FUNDS ARE PROGRAMMED

Please note the date of approval and page number of the TIP which includes your project.
**OPINION OF COUNSEL**

FTA requires Discretionary Program grant applicants to submit an Opinion of Counsel. The Opinion of Counsel identifies the legal authority of the grant applicant and states whether any significant legislation or litigation is pending that may affect the legal status of the applicant. The authority to apply for subsequent grants will be certified to in the annual certification process. A new Opinion of Counsel would be required if there is a change in status of the grantee, and the grantee is required to notify FTA if there are any changes in local law, conditions, or litigation that may hamper the ability of the grantee to carry out the project. It must be demonstrated that the public body grant applicant has the authority to file an official grant application through either an authorizing resolution, statute or an ordinance that is done by officials acting on behalf of the applicant. This exhibit should be on official letterhead.

**Name of Applicant**

Address of Applicant

Dear (Responsible Official for Applicant):

This communication will serve as the requisite opinion of counsel to be filed with the Georgia Department of Transportation and Federal Transit Administration, United States Department of Transportation, in connection with the application of (Name of Applicant) for Federal transportation assistance authorized by Title 49 U.S.C. Section 5316 and other Federal statutes authorizing activities administered by the Federal Transit Administration. Citations to laws, regulations, etc. establishing the legal authority of (Name of Applicant) to carry out transportation projects for which Federal assistance is sought is set forth below:

1. (Name of Applicant) is authorized by (cite and quote from legal authority) to provide and assist transportation by ________________________________.

2. The authority of (Name of Applicant) to provide funds for the local share of the project is set forth in (city source and provide a copy of, for example, the local ordinance passed by City Council or other governing body authorizing funding for the local share).

3. I have reviewed the pertinent federal, state, and local laws, and I have concluded there is no legal impediment to your filing an application for the project for which (Name of Applicant) seeks assistance. Furthermore, as a result of my examination, I find there is no pending or threatened litigation or other action which might in any way adversely affect the proposed project or the capability of (Name of Applicant) to carry out the project.

   Sincerely,

   Legal Counsel
PRE-AWARD CAPITAL PURCHASE CERTIFICATION FORM

☐ This purchase was made from a State of Georgia Contract.

Initial all that apply.

☐ PRE-AWARD PURCHASER’S REQUIREMENTS CERTIFICATION (purchases over $5000)
As required by Title 49 of CFR, Part 663-Subpart B, the organization identified below certifies by the signature of its authorized representative that the vehicles(s) listed below is/are the same product(s) described in the recipient’s solicitation specification and that the proposed manufacturer is a responsible manufacturer with capability to produce a vehicle that meets the specifications.

☐ PRE-AWARD BUS TESTING
(all vehicle purchases other than unmodified sedans, station wagons, vans and minivans)
The organization identified below certifies by the signature of its authorized representative, that the vehicle(s) obtained in this procurement complies with 49 U.S.C .A 5323(c) and FTA’s implementation regulation at 49 CFR Part 665.

The undersigned understands that misrepresenting the testing status of a vehicle acquired with Federal financial assistance may subject the undersigned to civil penalties as outlined in the Department of Transportation’s regulation on Program Fraud Civil Remedies, 49 CFR Part 31. In addition, the undersigned understands that FTA may suspend or debar a manufacturer under the procedures in 49 CFR Part 29.

☐ FEDERAL MOTOR VEHICLE SAFETY STANDARDS (FMVSS) CERTIFICATION
The organization identified below certifies by the signature of its authorized representative that the vehicle described below meets all Federal Motor Vehicle Safety Standards (FMVSS) which are applicable to this type of vehicle. This also certifies that any modifications to the vehicle have not violated the integrity of the structure, design, or systems that have been tested to conform to the FMVSS for this vehicle.

☐ PRE-AWARD BUY AMERICA COMPLIANCE CERTIFICATION (purchases over $100,000)
As required by Title 49 of the CFR, Part 663-Subpart B, the organization identified below certifies by the signature of its authorized representative that the vehicle/equipment to be purchased from the vendor listed below meet(s) the requirements of Section 165(b)(3) of the Surface Transportation Assistance Act of 1982 as amended. The recipient listed below has reviewed documentation provided by the manufacturer, which lists (1) the proposed component and sub-component parts of the vehicle/equipment identified by the manufacturer, country of origin and cost; and (2) the proposed location of the final assembly point for the vehicle/equipment, including a description of the activities that took place at the final assembly point and the cost of final assembly.

YEAR, MAKE, MODEL: ________________________________  VIN: ________________________________
For certification of multiple vehicles of the same year, make, and model attach a list of the VINs for each vehicle.

REGISTERED OWNER: ________________________________ DATE: ________________________________

SECURITY INTEREST HOLDER: ____________________ AGREEMENT #: ____________________

RECIPIENT AGENCY: ________________________________

ADDRESS: ______________________________________

CITY: ____________________________________________ STATE: , ZIP: ____________________

SIGNATURE: ________________________________ TITLE: ________________________________
POST-DELIVERY CAPITAL PURCHASE CERTIFICATION FORM

☐ This purchase was made from a State of Georgia Contract.

Initial all that apply.

☐ POST-DELIVERY PURCHASER'S REQUIREMENTS CERTIFICATION (purchases over $5000)

As required by Title 49 of CFR, Part 663-Subpart C, after visually inspecting and road testing the contract vehicle(s), the organization identified below certifies by the signature of its authorized representative, that the vehicle(s) listed below meet(s) the contract specifications.

☐ POST-DELIVERY BUS TESTING

(all vehicle purchases other than unmodified sedans, station wagons, vans and minivans)

The organization identified below certifies by the signature of its authorized representative, that the vehicle(s) obtained in this procurement complies with 49 U.S.C.A 5323(c) and FTA's implementation regulation at 49 CFR Part 665.

The undersigned understands that misrepresenting the testing status of a vehicle acquired with Federal financial assistance may subject the undersigned to civil penalties as outlined in the Department of Transportation’s regulation on Program Fraud Civil Remedies, 49 CFR Part 31. In addition, the undersigned understands that FTA may suspend or debar a manufacturer under the procedures in 49 CFR Part 29.

☐ FEDERAL MOTOR VEHICLE SAFETY STANDARDS (FMVSS) CERTIFICATION

The organization identified below certifies by the signature of its authorized representative that the vehicle described below meets all Federal Motor Vehicle Safety Standards (FMVSS) which are applicable to this type of vehicle. This also certifies that any modifications to the vehicle have not violated the integrity of the structure, design, or systems that have been tested to conform to the FMVSS for this vehicle.

☐ POST-DELIVERY BUY AMERICA COMPLIANCE CERTIFICATION (purchases over $100,000)

As required by Title 49 of the CFR, Part 663-Subpart C, the organization identified below certifies by the signature of its authorized representative that the vehicle/equipment listed below meet(s) the requirements of Section 165(b)(3) of the Surface Transportation Assistance Act of 1982 as amended. The recipient listed below has reviewed documentation provided by the manufacturer, which lists (1) the component and sub-component parts of the vehicle/equipment identified by the manufacturer, country of origin and cost; and (2) the location of the final assembly point for the vehicle/equipment, including a description of the activities that took place at the final assembly point and the cost of final assembly.

YEAR, MAKE, MODEL: ____________________________
VIN: ____________________________

Section 5316 and 5317 (JARC and New Freedom)
Program Procedure Manual

Page 46 of 16
Georgia Department of Transportation
Division of Intermodal

For certification of multiple vehicles of the same year, make, and model attach a list of the VINs for each vehicle.

REGISTERED OWNER: ___________________________ DATE: ___________________________

SECURITY INTEREST HOLDER: ___________________________ AGREEMENT #: ___________________________

RECIPIENT AGENCY: ________________________________________________________________

ADDRESS: ________________________________________________________________

CITY: ________________________________________________________________ STATE:, ZIP: ___________________________

SIGNATURE: ___________________________ TITLE: ___________________________

*The information in this application is public record. Therefore, applicants should not include information regarded as confidential.
APPENDIX B