

## Appendix E

## AUTHORIZING RESOLUTION

Resolution No. 2014-32

Resolution authorizing the filing of an application for a grant under Section 5311 of amended.

WHEREAS, the U.S. Department of Transportation is authorized to make grants to state Administration (FTA) to support capital, operating and feasibility study assistance project transportation systems under Section 5311 of the FTA Act of 1964, as amended;

WHEREAS, the Office of Transit, Indiana Department of Transportation (INDOT) has Governor to make Section 5311 grants for public transportation projects;

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

NOW, THEREFORE, BE IT RESOLVED BY Hendricks County Commissioners:

1. That Phyllis A. Palmer, President on behalf of Hendricks County Commissioners is authorized to make the necessary assurances and certifications and be empowered to enter into an agreement with INDOT for the provision of rural public transportation services.
2. That Patrick Cockrum, CEO, Sycamore Services is authorized to execute and file an application on behalf of Hendricks County Commissioners with the INDOT to aid in the financing of transit assistance projects pursuant to Section 5311 of the Federal Transit Act, as amended.
3. That Patrick Cockrum, CEO, Sycamore Services, is authorized to furnish such additional information as INDOT may require in connection with the application.
4. That Patrick Cockrum, CEO, Sycamore Services, is authorized to execute grant contract agreements on behalf of Hendricks County Commissioners.

## CERTIFICATE

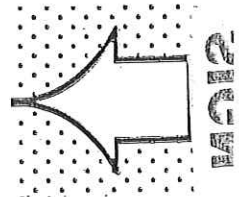
The undersigned duly qualified and acting County Auditor, of the Hendricks County Commissioners certifies that the foregoing is a true and correct copy of a resolution adopted at a legally convened meeting of the Hendricks County Commissioners held on August 26, 2014.

If Applicant has an official seal, impress here.

Cinda Kattau  
Signature of Recording Officer

Hendricks Co. Auditor  
Title of Recording Officer

8/26/14  
Date





1/1/15 - 12/31/15

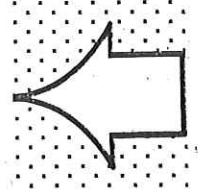
FEDERAL FISCAL YEAR 2014 CERTIFICATIONS AND ASSURANCES FOR  
FEDERAL TRANSIT ADMINISTRATION ASSISTANCE PROGRAMS

Name of Applicant: Hendricks County Commissioners

The Applicant agrees to comply with applicable requirements of Categories 01 - 24.  
(The Applicant may make this selection in lieu of individual selections below)

OR

The Applicant agrees to comply with applicable requirements of the following  
categories it has selected:



01. Required Certifications and Assurances for each Applicant \_\_\_\_\_
02. Lobbying (Applies to grants in excess of \$100,000) \_\_\_\_\_
03. Procurement and Procurement Systems \_\_\_\_\_
04. Private Sector Protections \_\_\_\_\_
05. Rolling-Stock Reviews and Bus Testing \_\_\_\_\_
06. Demand Responsive Services \_\_\_\_\_
07. Intelligent Transportation Systems \_\_\_\_\_
08. Interest and Finance Costs and Acquisition of Capital Assets by Lease \_\_\_\_\_
09. Transit Asset Management Plan and Public Transportation Agency Safety Plan \_\_\_\_\_
10. Alcohol and Controlled Substances Testing \_\_\_\_\_
11. Fixed Guideway Capital Investment Program (New Starts, Small Starts & Core Capacity)  
And Capital Investment Program in Effect before MAP-21 \_\_\_\_\_
12. State of Good Repair Program \_\_\_\_\_
13. Fixed Guideway Modernization Grant Program \_\_\_\_\_
14. Bus/Bus Facilities Formula Grant Program & Bus and Bus Related Equipment and  
Facilities Grant Program (Discretionary) \_\_\_\_\_
15. Urbanized Area Formula Programs & Job Access, Passenger Ferry Grant Program,  
and Job Access and Reverse Commute (JARC) Program \_\_\_\_\_
16. Seniors/Elderly/Individuals with Disabilities Programs and New Freedom Program \_\_\_\_\_
17. Rural/Other Than Urbanized Areas/Appalachian Development/Over-the-Road Bus  
Accessibility Programs \_\_\_\_\_
18. Public Transportation on Indian Reservations Program (Tribal Transit Programs) \_\_\_\_\_
19. Low or No Emission/Clean Fuels Grant Program \_\_\_\_\_
20. Paul S. Sarbanes Transit in Parks Program \_\_\_\_\_
21. State Safety Oversight Program \_\_\_\_\_
22. Public Transportation Emergency Relief Program \_\_\_\_\_
23. Expedited Project Delivery Pilot Program \_\_\_\_\_
24. Infrastructure Finance Programs \_\_\_\_\_



**FTA Certifications and Assurances for Federal Fiscal Year 2014**

Name of applicant: Hendricks County Commissioners

Name and Relationship of Authorized Representative: Phyllis A. Palmer, President

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 administrative guidance and follow applicable Federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its authorized representative makes to the Federal Transit Administration (FTA) in Federal Fiscal Year 2014, irrespective of whether the individual that acted on its Applicant's behalf continues to represent the Applicant.

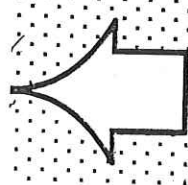
FTA intends that the Certifications and Assurances the Applicant selects on the other side of this document should apply, as provided, to each Project for which the Applicant seeks now, or may later seek FTA funding during Federal Fiscal Year 2014.

The Applicant affirms the truthfulness and accuracy of the Certifications and Assurances it has selected in the statements submitted herein with this document and any other submission made to FTA, and acknowledge that the provisions of the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. 3801 *et seq.*, and implemented by 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 the Federal public transportation program authorized in 49 U.S.C. Chapter 53 or any other statute.

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

Date: 8-26-14

Phyllis A. Palmer  
Authorized Representative of Applicant



**AFFIRMATION OF APPLICANTS ATTORNEY**

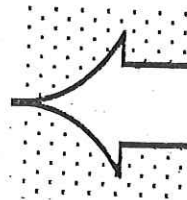
For \_\_\_\_\_ (name of Applicant)

As the undersigned Attorney for above named Applicant, I hereby affirm to the Applicant that it has authority under State, local or tribal government law, 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 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.

Date: 8-26-14

Greg Stuenkel  
Applicant's Attorney



Unless the Applicant seeks only an FTA university and research training grant authorized by 49 U.S.C. 5312(b), the Applicant's legal counsel is required to affirm the legal capacity of the Attorney's affirmation.

FTA Certifications and Assurances for Fiscal Year 2014



## ATTACHMENT 7

### LOCAL ASSURANCES

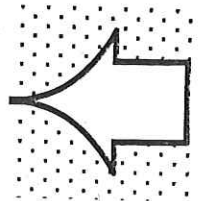
The Hendricks County Commissioners hereby assures and certifies with respect to this application  
(Applicant)  
for Section 5311 assistance that:

1. The Applicant has the requisite fiscal, managerial, and legal capability to carry out the Section 5311 Program and to receive and disburse federal funds.
2. Some combination of state, local, and/or private funding sources has or will be committed to provide the required local share.
3. The Applicant has or will have by the time of delivery, sufficient funds to operate the vehicles and/or equipment purchased under this project, as applicable.
4. Private for-profit transit and paratransit operators have been afforded a fair and timely opportunity by the applicant to participate to the maximum extent feasible in the planning and provision of the proposed transit services.
5. The Applicant has to the maximum extent feasible coordinated with other transportation providers and users, including social service agencies capable of purchasing service.

Phyllis A. Palmer  
Signature of Authorized Official

President  
Title of Authorized Official

8-26-14  
Date





## ATTACHMENT 8

### STATEMENT OF ACCEPTANCE OF THE SPECIAL SECTION 5333(b) WARRANTY

All Applicants/Recipients must execute the following statement of acceptance:

The Hendricks County Commissioners and N/A  
(Applicant) (Recipient/Contract Provider if not Applicant)

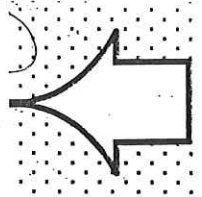
Agree to make use of the Special Section 5333(b) Warranty developed for exclusive application to the Rural and Small Urban Transit Assistance Program – Section 5311 of the Federal Transit Act, as amended.

The Applicant and Recipient/Contract Provider agree to be bound by the terms and conditions of the Special Section 5333(b) Warranty for its pending Section 5311 assistance grant. This warranty shall become a part of any contract between INDOT and the applicant.

Philip A. Palmer  
Signed by Applicant

8-26-14  
Date

\*\*\*\*\*



\_\_\_\_\_  
Signed by Recipient/Contract Provider

\_\_\_\_\_  
Date

\_\_\_\_\_  
(Address)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
(Telephone #)

\_\_\_\_\_  
(Fax #)

\_\_\_\_\_  
(E-Mail Address)

NOTE: The Warranty is provided in **Appendix F** for review.

**\*\* FTA requires that each subrecipient post the Special Warranty (Appendix F) with Attachment 8 and Attachment 9 where affected employees may see it.**



## ATTACHMENT 9

### SPECIAL SECTION 5333(b) WARRANTY LIST OF PUBLIC TRANSPORTATION PROVIDERS & LABOR UNIONS

This form must be completed by all Applicants/Recipients. If there are no other eligible providers in your service area, mark a "N/A" under the Other Eligible Providers section.

Applicant: Hendricks County Commissioners Union Rep.: N/A

Service Area Description: \_\_\_\_\_

\_\_\_ Operating Assistance for FY 2015

\_\_\_ Capital Assistance to purchase \_\_\_\_\_

Recipients/Contract Providers  
(if different than Applicant):

Union Representation (Union & Local #):

<u>N/A</u>	<u>N/A</u>
_____	_____
_____	_____
_____	_____

Other Eligible Providers in  
Applicant's Service Area:

Union Representation (Union & Local #):

<u>N/A</u>	<u>N/A</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____



## ATTACHMENT 10

### CATEGORICAL EXCLUSION CLASSIFICATION OF CAPITAL PROJECTS CHECKLIST

The following checklist identifies transit projects that are considered Categorical Exclusions (CEs) by FTA. Please check the category or categories under which your project should be classified. If your project does not fall under any of the standard categories, but you feel it meets the criterion of a CE (the project will have no significant impact on the environment), then provide project information justifying a CE classification.

The \_\_\_\_\_ capital project is a categorical exclusion because it is for:  
(Name of Applicant)

- ☐ Planning and technical studies which will not fund the construction of facilities or acquisition of capital equipment.
- ☐ Engineering to define the elements of a proposal or alternatives sufficiently so that environmental effects can be assessed.
- ☐ Ridesharing activities and transportation corridor fringe parking facilities.
- ☐ Program administration and technical assistance activities by the applicant to administer Section 5311 funds.
- ☐ Project administration and operating assistance to continue existing service or increase service to meet demand.
- ☐ Purchase of vehicles of the same type (same mode) either as replacements or to increase the size of the fleet where such increase can be accommodated by existing facilities or by new facilities which themselves are within a categorical exclusion.
- ☐ Rehabilitation or reconstruction of existing rail and bus buildings and ancillary facilities where no additional land is required and there is no substantial increase in the number of users.
- ☐ Purchase and installation of operating or maintenance equipment to be located within the transit facility and with no significant physical impacts off the site where the facility is located.
- ☐ Installation of signs, small passenger and bus shelters, and traffic signs where no substantial land acquisition or traffic disruption will occur.
- ☐ Construction of new bus storage and maintenance facilities in areas used predominantly for industrial or transportation purposes where such construction is not inconsistent with existing zoning and located on or near a street with adequate capacity to handle anticipated bus and support vehicle traffic.
- ☐ Acquisition of land in which the property will not be modified, the land use will not be changed, and displacements will not occur. For projects other than FTA advance land loans, this categorical exclusion is limited to the acquisition of minor amounts of land. This is undertaken for the purpose of maintaining the current land use and preserving alternatives to be considered in the environmental process. Advance land acquisition shall not limit the evaluation of alternatives, including shifts in alignment for a construction project, which may be required in the National Environmental Policy Act process.
- ☐ Emergency repairs under 23 U.S.C. 125 which do not substantially change the design and are commenced during or immediately after the occurrence of a natural disaster or catastrophic failure.



## ATTACHMENT 11

### Applicant's Certification of Use of Project Equipment, Facilities and Property

---

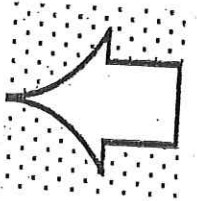
I hereby certify that Project equipment, facilities and property continue to be used in accordance with the terms and conditions of all applicable capital and operating grant agreements, and that no part of the local contribution has been refunded or reduced.

Phyllis A. Palmer

Name of Authorized Official

*Phyllis A. Palmer*

Signature of Authorized Official



President

Title of Authorized Official

Name of Applicant

*8-26-14*

Date



ATTACHMENT 12  
**PASS-THROUGH AGREEMENT**

THIS AGREEMENT made this \_\_\_\_ day of \_\_\_\_\_, 20\_\_ among (County) \_\_\_\_\_ Indiana, acting through the \_\_\_\_\_ Hendricks County Commissioners (hereinafter referred to as the "Applicant") and \_\_\_\_\_ Sycamore Services, Inc., a private nonprofit corporation, (hereinafter referred to as the "Service Provider"), by its duly authorized representative(s), whose mailing address is: 1001 Sycamore Lane, PO Box 369, Danville, IN 46122-1474.

**WITNESSETH**

WHEREAS, the Applicant has made application for the Operating Assistance Program under section 5311 of the Federal Transit Act with the Application incorporated and made a part of this Agreement by reference (see attached "Exhibit A");

WHEREAS, the goals of the Operating Assistance Program are to enhance access to people in non-urbanized areas for purposes such as health care, shopping, education, recreation, public services, and employment;

WHEREAS, the Service Provider has the expertise and desire to provide said transportation; and

WHEREAS, the Applicant has agreed by resolution, or such similar instrument, to subcontract with the Service Provider.

NOW THEREFORE, in consideration of the mutual promises and covenants herein set forth, the Applicant and Service Provider agree as follows:

***SECTION I: Purpose***

The purpose of this Agreement is to provide for the undertaking of transportation services to the general public in and around Hendricks County, Indiana,

hereinafter referred to as the "Project," by the Service Provider as outlined in Section I, Paragraph A, Subparagraph 1 of the Application and to state the terms, conditions and mutual understandings of the parties as to the manner in which the Project will be undertaken and completed.

***SECTION II: Project Implementation***

The Service Provider agrees, based on the Grant Assistance provided, to undertake and complete the Project as described in the Application, filed with the approval of the Indiana Department of Transportation ("INDOT") and the Federal Transportation Administration ("FTA") in accordance with the terms and conditions of this Agreement.

***SECTION III: Project Duration***

The Service Provider shall commence activities associated with the Project described in the Application from January 1, 2015 until December 31, 2015, as authorized by FTA and INDOT.



#### ***SECTION IV: Level of Funding***

Reimbursement to the Service Provider shall be through a cost reimbursement contract. These expenditure levels are contingent upon the necessary State and Federal funds to operate the Project. If State or Federal funding sources are not available and alternative funding cannot be obtained, the Project will be adjusted so as not to incur un-reimbursable expenses.

#### ***SECTION V: Eligible Project Expenditures***

Project expenditures eligible for reimbursement under the Cost Reimbursement Contract are only for those expenditures which are eligible for Section 5311 reimbursement and are further identified in the budget form accompanying the Applicant's Application.

Federal Office of Budget and Management Circular A-87 (OMB-A87) shall be used as guidance in establishing cost principals applicable to the grant.

#### ***SECTION VI: Reimbursement***

Eligible Project costs will be reimbursed on a quarterly basis by the Applicant upon presentation of claim voucher, State Form 3211, by the Service Provider.

#### ***SECTION VII: Financial Statement***

The Service Provider shall submit to the Applicant, at such times as it may require, such financial statements, records, and fiscal documents as may be deemed necessary by FTA and INDOT. Furthermore, the Service Provider shall submit to the Applicant an annual certified audit performed by an independent Certified Public Accountant ("CPA"). The Service Provider shall develop and maintain financial reports which are necessary for the effective control and management of operations and shall maintain financial records required by funding sources in accordance with generally accepted accounting procedures.

#### ***SECTION VIII: Audit and Inspection***

The Service Provider shall permit the Applicant, INDOT, FTA, or their authorized representative, to inspect all vehicles, facilities and equipment purchased by the Applicant, including those obtained through the Section 5311 Project, all transportation services rendered by the Service Provider by the use of such vehicles, facilities and equipment and all relevant Project data and records. The Service Provider shall also permit the above-named persons to audit the books, records and accounts of the Service Provider pertaining to the Project. Any overpayment to the Service Provider as determined by an audit must be immediately refunded to the Applicant.

#### ***SECTION IX: Use of Applicant's Equipment***

Any vehicles, equipment or facilities purchased under the Section 5311 Assistance Program and titled in the name of the Applicant, hereinafter referred to as "Capital Assets," are hereby leased to the Service Provider for an annual fee. The vehicles, equipment or facilities covered by this lease shall only be used by the Service Provider for the purpose of transportation services. Any fares, fees or other proceeds, including leases or sub-lease obtained by the Service Provider, shall be used in the performance of the transportation services and shall be reported quarterly to the Applicant. Any such proceeds shall be deducted from the monthly operating costs as allowed.

The Service Provider will maintain proper liability, collision, and property damage insurance for the service provided in the Project.

Upon the release of Capital Assets by FTA and INDOT, or in the event the Project is terminated, the Applicant will transfer ownership of any Capital Assets for which the Service Provider has provided the required local matching funds to the Service Provider.



**SECTION X: Consultant Contracts**

Contracts for consultant services in excess of \$10,000 must be submitted by the Service Provider for review and prior approval by the Applicant, INDOT and FTA. The Applicant and/or Service Provider will abide by the requirements of FTA Circular 4220.1E (Third Party Contracting Requirements) in procuring services.

**SECTION XI: Project Monitoring and Evaluation Data**

The Service Provider will provide quarterly and monthly financial and ridership reports to the Applicant. The quarterly and monthly reports shall include revenue and expense statements including a detailed report of expenses by budget category as identified in the Budget Form accompanying the Applicant's Application.

The Service Provider shall provide all data for the monitoring and evaluation of the Project as requested by INDOT and/or FTA. The Service Provider shall provide necessary information such as ridership, vehicle, hours of service, operations costs and revenues when such information is requested by INDOT and/or FTA.

**SECTION XII: Changes in Project Scope or Budget**

The Service Provider shall immediately notify the State, FTA and the Applicant of any change in conditions, or of any event, which will affect its ability to perform the Project in accordance with the provisions of this Agreement.

**SECTION XIII: Labor Protection**

Provisions of the Department of Labor Special Section 5333(b) Warranty signed by the Service Provider and the Applicant are hereby incorporated into this Agreement by reference (see attached "Appendix C").

**SECTION XIV: Equal Employment Opportunity**

In connection with the execution of this Agreement, the Service Provider shall not discriminate against any employee or applicant for employment because of race, religion, color, sex, or national origin. The Service Provider shall take affirmative action to insure the applicants are employed and treated fairly during their employment. Such action shall include, but not be limited to the following; employment, upgrade, demotion, or transfer, recruitment, or advertising, layoffs, or termination, rate of pay, or other forms of compensation; and selection for training including apprenticeship.

**SECTION XV: Non-Discrimination**

The Service Provider agrees that as a condition to the Agreement that no otherwise qualified disabled person shall, solely by reason of his/her disability, be excluded from participation in, be denied, the benefits of, or otherwise be subjected to discrimination under this program or activity that receives or benefits from Federal financial assistance administered by the Applicant through funding by the United States Department of Transportation.

**SECTION XVI: Civil Rights Act of 1964**

The Service Provider shall comply with all requirements imposed under Title VI of the Civil Rights Act of 1964 (78 Stat. 252), as amended, and any and all regulations issued pursuant thereto (CFR Title 49, Subtitle A, Part 21).

**SECTION XVII: Section 5311 Program Compliance**

The Service Provider shall comply with all other assurances and regulation included in the Section 5311 Program as cited in the Operating Assistance Application.



***SECTION XVIII: Termination***

The Applicant may, by written notice to the Service Provider, terminate the Project and cancel this Agreement

***SECTION XIX: Agreement Changes***

Any proposed change in this Agreement must have the approval of both the Applicant and the Service Provider prior to becoming effective.

***SECTION XX: Dispute***

Any dispute concerning a question of fact in connection with purposes contained within this Agreement shall be referred to the Commissioner of INDOT, whose decision shall be final.

***SECTION XXI: Responsibility for Claims and Liability***

The Service Provider shall be responsible for and save harmless the Applicant for all damage to life and property due to activities of the Service Provider, its subcontractors, agents or employees, in connection with the execution of the Project.

***SECTION XXII: Employment Eligibility Verification***

All Indiana governmental employers are required to utilize E-Verify to verify the work eligibility of all employees hired after June 30, 2011. Additionally, all Indiana employers who have "public contracts for services" with a state agency or receive grants exceeding \$1000 from a state agency will also be required to participate in the E-Verify Program. The obligation for private employers will arise as a result of governmental employers (*i.e.* state agencies) being obligated to require recipients of public service contracts and grants in excess of \$1000 entered into after or renewed after June 30, 2011, to participate in E-Verify. In order to enroll in the E-Verify program contractors, grantees & sub-grantees may search [www.everify.uscis.gov/enroll](http://www.everify.uscis.gov/enroll).

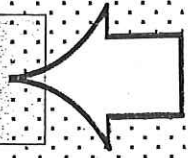
(Remainder of this page intentionally left blank)



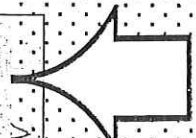
IN WITNESS WHEREOF, Sycamore Services, Inc. and Hendricks County Commissioners have caused this Agreement to be executed in their respective names.

EXECUTED THIS \_\_\_\_ DAY OF \_\_\_\_\_, 20\_\_

Date: 8-26-14  
By: Phyllis A. Palmer Authorized Representative of Applicant



Date: \_\_\_\_\_  
\_\_\_\_\_  
Authorized Service Provider Representative

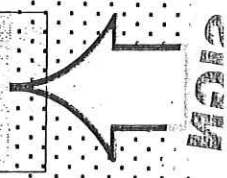


**CERTIFICATION OF APPLICANT'S ATTORNEY**

I affirm that to the best of my knowledge the Applicant and Service Provider are in total compliance with all items and conditions of the grant agreement executed between the Indiana Department of Transportation and the Applicant, hereby incorporated by reference, and as attached as Exhibit A to this Agreement.

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or threatened that might adversely affect the validity of these certifications and assurances or of the performances of the Project. Furthermore, if I become aware of circumstances that change the accuracy of the foregoing statements, I will notify the Applicant, Service Provider and INDOT.

Date: 8-25-14  
By: Gary Stunckel





## APPENDIX A

### SECTION 5311 BUDGET - EXPENSE AND REVENUE DEFINITIONS

#### EXPENSE DEFINITIONS

##### 501 LABOR

**501.01 Operators' Salaries and Wages:** The pay and allowances due employees in exchange for the labor services they render on behalf of the transit system. This category includes only those employees who are classified as revenue vehicle operators.

**501.02 Other Salaries and Wages:** The labor and employees of the transit system who are not classified as revenue vehicles operators. This category includes dispatchers, mechanics, bus washers, building (garage) maintenance workers, etc. Also includes the labor of employees of the transit system (or sponsoring agency) who perform administrative functions, such as managers, other professionals, and clerical staff.

**502 FRINGE BENEFITS** - are payments or accruals to others (insurance companies, governments, etc.) on behalf of an employee. These include the employer's share of FICA, PERF, other retirement, health insurance, life insurance, dental plans, unemployment insurance, dental plans, unemployment insurance, workmen's compensation insurance, and other benefits not associated with a piece of work. Also included are payments or accruals directed to an employee arising from something other than his performance of a piece of work. These include uniform and work clothing allowances, and paid absences, such as sick leave, holidays, vacation, jury duty, death in the family, military duty, etc.

**503 SERVICES** - is labor and other work provided by outside organizations for fees and related expenses. In most instances, service from an outside organization is procured as a substitute for in-house employee labor, except in the case of independent audits which could not be performed by employees in the first place. The substitution is usually made because the skills offered by the outside organization are needed for only a short period of time or are better than internally available skills. The charge for these services is usually based on the labor hours invested in performing the service.

**503.02 Advertising Fees:** The labor and materials provided by an advertising agency in the development and production of advertising campaigns. Advertising media fees, regardless of whether they are paid to the advertising agency or to the media, are included in object class 509.08 (Miscellaneous Expense - Advertising/Promotion Media).

**503.03 Professional and Technical Services:** The labor provided by attorneys, accountants and auditors, marketing firms, investment banker, computer service companies, engineering firms, management consultants, transit industry consultants, etc. These services generally require specialized technical knowledge, and are usually performed under the supervision of the outside organization, rather than transit system personnel.

**503.05 Contract Maintenance Service:** The maintenance of equipment under contract or on a single job basis with an outside organization. This category is for repair or maintenance work on operating vehicles, equipment, and garage buildings only, and is differentiated from professional and custodial services.

**503.06 Custodial Services:** The performance of janitorial services, under contract or on a single job basis with an outside organization.

**503.99 Other Services:** All other services not specifically identified in 503.02 - 503.06.

**504 MATERIALS AND SUPPLIES CONSUMED** - are tangible products obtained from outside suppliers or manufactured internally. Freight-in, purchase discounts, cash discounts, sales taxes and excise taxes (except on fuel and lubricants) are to be included in the cost of the material or supply. Charges to these expense accounts will be for the materials and supplies issued from inventory for use and for the materials and supplies purchased for immediate use, i.e. without going through inventory.



Appendix A (continued)

- 518 **INDIRECT EXPENSE** - is cost incurred for a common or joint purpose benefiting more than one cost objective. (Refer to Section Program Manual, OMB Circular A-87, Attachment A, page 9 for complete description of indirect expenses.)

\*\*\*\*\*

REVENUE DEFINITIONS

- 401 **PASSENGER FARES** - includes revenue earned from carrying passengers during regular transit service. This includes base fare, zone changes, transfer costs, and quantity purchase discounts applicable to the passenger's ride.
- 401.01 *Full Adult:* The revenue earned from carrying passengers who pay the full adult fare.
- 401.02 *Senior Citizen:* The revenue earned from carrying passengers who pay a special, reduced fare because they are older than a prescribed age limit.
- 401.03 *Student:* The revenue earned from carrying passengers who pay a special, reduced fare because they are enrolled in an educational institution.
- 401.04 *Child:* The revenue earned from carrying passengers who pay a special, reduced fare because they are younger than a prescribed age limit.
- 401.05 *Disabled:* The revenue earned from carrying passengers who pay a special, reduced fare because they have a disability.
- 401.99 *Other Fares:* The revenue earned from carrying passengers who pay a special, reduced fare for some reason other than those specified in items 401.02 - 401.05.
- 402 **SPECIAL TRANSIT FARES** - includes revenues for rides given in regular transit service, but paid for by some organization rather than by the rider. Also, it includes rides given along special routes for which revenue is guaranteed by a beneficiary of the service.
- 402.03 *Special Route Guarantees:* The amounts paid by industrial firms, shopping centers, public and private universities, etc., to guarantee a minimum revenue on a line operated especially for the benefit of the payer.
- 402.04 *State and Local Government Contracts:* The revenue earned under contractual arrangements with state or local governments for transit fares.
- 402.05 *Other Contracts:* The revenue earned under contractual arrangements with nongovernmental entities for transit fares.
- 403 **SCHOOL BUS SERVICE** - revenues earned from operating vehicles under school bus contracts.
- 405 **CHARTER SERVICE** - includes revenues earned from operating vehicles under charter service contracts. The amount recorded should be net income generated from the charter service.
- 406 **AUXILIARY TRANSPORTATION** - includes revenues earned from operations closely associated with transportation operations.
- 406.01 *Station Concessions:* The revenue earned from granting rights to concessionaires to operate newsstands, candy counters, etc., in transit system stations.
- 406.03 *Advertising Services:* The revenue earned from displaying advertising materials on transit system vehicles and property. The amounts recorded herein should be net of any fees paid to advertising agencies that place the advertisements with the transit system. This may be used as local match.
- 406.99 *Other Auxiliary:* The revenue earned from other auxiliary services during regular transit services; such as delivery of packages, telegrams, medicine, etc.



## Appendix B

### SAMPLE CAPITAL BUDGET

( ) CAPITAL PROJECT BUDGET 5311/5311(f)

( ) INTERCITY MARKETING/PLANNING

**CAPITAL PROJECT BUDGET** (double-click spreadsheet to enter figures)

<b>SYSTEM NAME:</b>	Transit City
<b>PROJECT TIME PERIOD:</b>	January 1, 2015 through June 30, 2016

#### **PROJECT DESCRIPTION**

#### **COST**

Please Identify **SCOPE & ACTIVITY** of each item.

SCOPE: 111-01 Bus - Rolling Stock (Qty: 2)

ACTIVITY:

11.12.15 Lift Equip. Van (1) - Replace

\$30,000.00

11.62.03 Two Way Radio (1)

\$1,000.00

SCOPE: 113-01 Bus - Stations/Stops/Terminals (Qty: 3)

ACTIVITY:

11.33.10 Passenger Shelters (3)

\$9,000.00

SCOPE: 114-02 Bus - Support Equip./Facilities (Qty: 1)

ACTIVITY:

11.42.07 Computer Hardware (1)

\$3,500.00

#### **TOTAL EXPENSES**

**\$43,500.00**

#### **PROJECT FINANCING**

Local (specify source)

\$4,350.00

State Match (PMTF)

\$4,350.00

Federal (FTA)

\$34,800.00

Other (specify source)

\$0.00

#### **TOTAL PROJECT FINANCING**

**43,500.00**

<b>Prepared by:</b>	John Q. Public	<b>Date:</b>	August 16, 2014
---------------------	----------------	--------------	-----------------



## Appendix D

### SAMPLE FORMAT FOR OPPORTUNITY TO HOLD A PUBLIC HEARING

#### NOTICE OF OPPORTUNITY TO HOLD A PUBLIC HEARING

RE: (Brief title or description of project, e.g., C.Y. 2015 Capital Assistance to purchase four small diesel transit vehicles.)

1. Notice is hereby given that, \_\_\_\_\_ (*Applicant*) will provide an opportunity for a public hearing for the purpose of considering a grant for which federal capital assistance under Section 5311 of the Federal Transit Act, as amended, is being sought. The hearing will be held if any person interested in a hearing submits a request in writing that a hearing be held by \_\_\_\_\_ (*Applicant*) within a ten (10) day period, after the publication of this notice.

The project is generally described as follows:

#### A. Description of Project

- *Indicate the project period, name of applicant, and name(s) of public transportation operator(s) to be assisted.*
- *Indicate capital items you will purchase or build.*
- *Identify the estimated project cost, federal and local match, and the anticipated sources of local match.*

#### B. Relocation

- *Only applies to acquisition of real or personal property and construction.*

\_\_\_\_\_ (*Specify #*) persons, families and/or businesses are estimated to be displaced by this project. Persons, families and businesses so displaced will be afforded rights as required by the Uniform Relocation Assistance and Real Property Acquisition Act of 1970.

#### C. Environment

- *Only applies to acquisition of real or personal property and construction.*

(Indicate whether the proposed project will or will not have a significant environmental impact upon the service area.)

2. If a hearing is requested and scheduled, \_\_\_\_\_ (*Applicant*) will afford an opportunity for interested person, agencies and private transportation providers to be heard with respect to the social, environmental, and economic aspects of the grant. Interested persons may submit orally or in writing evidence and recommendations with respect to said grant at the public hearing.
3. A copy of the application is currently available for public inspection at \_\_\_\_\_ (*location*).

\_\_\_\_\_  
Applicant's Authorized Representative

