

**CONNECTICUT  
STATE MANAGEMENT PLAN**

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**SECTION 5311 PROGRAM**



**PUBLIC TRANSPORTATION  
FOR NONURBANIZED AREAS**

---

**AUGUST 2010**



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*This 2010 State Management Plan  
Supersedes the Plan of February 2001*

**STATE OF CONNECTICUT  
DEPARTMENT OF TRANSPORTATION  
BUREAU OF PUBLIC TRANSPORTATION  
OFFICE OF TRANSIT AND RIDESHARING**

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CHAPTER 1.0 | INTRODUCTION

The Federal Transit Administration (FTA) Section 5311 program makes federal funds available to the states to assist in the development, implementation and promotion of public transportation systems in rural and small urban areas, using a population based distribution formula. Eighty percent (80%) of the statutory formula is based on the nonurbanized population of the states. Twenty percent (20%) of the formula is based on land area. A state may provide its Section 5311 program funds to subrecipients that are state or local governmental authorities, non-profit organizations, operators of public transportation services, or intercity bus operators to assist the financing of operating, administrative and capital costs of approved projects. Funds are available to finance the administrative expenses of the state agency assigned the task of overseeing the program and also to provide technical planning assistance to non-urbanized areas.

Acting in accordance with 49 U.S.C. Section 5311, the Governor has designated the Connecticut Department of Transportation (ConnDOT) as the agency to apply for, receive and administer funds under the Section 5311 program.

ConnDOT will administer the program in compliance with the regulations set forth in FTA Circular 9040.1F dated April 1, 2007. Along with these regulations, the State will incorporate goals and objectives tailored to Connecticut's non-urbanized systems.

A program of projects will be submitted at least annually to the Secretary of Transportation for approval. The program of projects denotes the fair and equitable distribution of funds within the State and ensures maximum feasible coordination with transportation services funded through other federal program sources.

This State Management Plan (SMP) has been prepared to incorporate policy changes in the administration of the Section 5311 program due to the issuance of FTA Circular 9040.1F which incorporates provisions of the Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU) signed into law on August 10, 2005, and codified in 49 U.S.C. Chapter 53. This legislation provides a forty-six percent (46%) increase over transit funding guaranteed in the previous authorization, Transportation Equity Act for the 21<sup>st</sup> Century (TEA-21). The higher funding levels for the non-urbanized area formula program authorized under SAFETEA-LU will enable the State to improve service levels in rural and small urban areas where the assessment of the mobility needs of those communities warrants it.

Any changes to federal regulations, state laws and/or policies governing the FTA Section 5311 program will automatically be incorporated as a part of ConnDOT's management procedure, whether or not the State Management Plan has been updated to reflect these modifications. Any questions concerning this document may be addressed to:

Transit Manager (Operations)  
Connecticut Department of Transportation  
Bureau of Public Transportation  
Office of Transit and Rideshare  
Room 1137 NE  
P.O. Box 317546  
Newington, CT 06131-7546

CHAPTER 2.0 | GOALS AND OBJECTIVES

2.1 | Federal Program Objectives

The goals outlined by the Federal Government for the Section 5311 program are:

1. To enhance the access of people in nonurbanized areas to health care, shopping, education, employment, public services, and recreation.
2. To assist in the maintenance, development, improvement, and use of public transportation systems in rural and small urban areas.
3. To encourage and facilitate the most efficient use of all federal funds used to provide passenger transportation in nonurbanized areas through the coordination of programs and services.
4. To assist in the development and support of intercity bus transportation.
5. To provide for the participation of private transportation providers in nonurbanized transportation to the maximum extent feasible.

2.2 | State Program Objectives

Connecticut is committed to providing transportation alternatives to its citizens. Through the use of public transportation, the people of the rural communities will be able to take advantage of the many opportunities that balanced growth can bring to the area. In addition to the federal goals, Connecticut has established others for its systems. They are:

1. To maximize the level of public transportation services provided, subject to available funding.
2. To foster regional operations to increase efficiency, productivity, and coordination of all public transportation services.
3. To promote the necessary capital purchases within the limits of available program resources.
4. To assist the personnel of systems in procurement of appropriate educational training opportunities when funds for such programs are available.

Since each system has different physical, demographic, economic, and political characteristics, the degree to which the federal and state goals are achieved will not necessarily be the same for every system.

Eligible applicants who would like to apply for Section 5311 funds must submit to ConnDOT data detailing the goals and objectives for their service for the upcoming year. This is submitted as part of the application. At the conclusion of the operating year, the objectives stated in the application are compared to the actual results of the system. All goals and objectives of the individual

operators are incorporated into the development of the Section 5311 program for the State as a whole.

CHAPTER 3.0 | ROLES AND RESPONSIBILITIES

The Governor has designated the Connecticut Department of Transportation (ConnDOT) as the agency to apply for, receive and administer funds under the Section 5311 program.

3.1 | The responsibilities of ConnDOT include, but are not limited to:

1. Documenting the State's procedures in a State Management Plan (SMP).
2. Developing program standards, criteria, procedures and policies in order to standardize the management of FTA assistance and related state programs.
3. Notifying eligible local entities of the availability of the program.
4. Planning for future transportation needs, and ensuring integration and coordination among diverse transportation modes and providers.
5. Announcing availability of funding.
6. Soliciting applications.
7. Developing project selection criteria.
8. Reviewing and selecting projects for approval.<sup>1</sup>
9. Certifying the eligibility of applicants and project activities.
10. Ensuring compliance with federal requirements and applicable federal and state rules and regulations by all subrecipients.
11. Forwarding an annual program of projects and grant application to FTA.
12. Monitoring local project activity.
13. Overseeing timely and proper project audit review and close-out.
14. Filing a National Transit Database (NTD) report each year for each subrecipient.

<sup>1</sup> The State must include its Section 5311 apportionment, along with all other federal highway and transit funds, in a Statewide Transportation Improvement Program (STIP) approved by FTA and the Federal Highway Administration (FHWA). FTA subsequently obligates Section 5311 funds and any flexible funds transferred to Section 5311 based on the program of projects included in the State's Section 5311 grant application. Before the State may expend federal funds on behalf of a subrecipient, the State must enter into an agreement with the subrecipient, and the subrecipient must have met all statutory and program requirements. The State certifies to FTA annually that the State and subrecipients have met, or will meet, all federal requirements.

15. Ensuring that there is a fair and equitable distribution of program funds within the State.
16. Providing technical and management assistance to local recipients.
17. Providing maximum feasible coordination of public transportation services assisted by FTA with transportation services assisted by other federal sources.
18. Coordinating statewide transportation system development.
19. Programming funds for the support of intercity bus transportation to the extent required by law.
20. Ensuring a process whereby private transit operators are provided an opportunity to participate to the maximum extent feasible.
21. Allocating funds for the continuation of the Rural Transit Assistance Program (RTAP).

3.2 | The responsibilities of subrecipients of Section 5311 funds include, but are not limited to:

1. Ensuring compliance with federal requirements and applicable federal and state rules and regulations by all subcontractors and third party contractors.
2. Preparing and submitting to ConnDOT at the periods required by FTA, the certifications and assurances required to obtain Section 5311 funds.
3. Preparing and submitting to ConnDOT for review and approval, a three (3) year grant application, including all estimated operating and capital needs for that period. Future rural grants will be solicited in four (4) year intervals.
4. Submitting reports for each project as mandated by FTA and ConnDOT no later than the 20th of the month for the preceding month's operations. This proper reporting includes:
  - a. Invoice Summary and Processing (ISP) form (or replacement).
  - b. Support of claim for payment with current required form(s).
  - c. Report on system's operating statistics using current required form(s).
5. Maintaining safe and reliable operations through mechanical soundness of equipment and vehicles used for the operation of the system.
6. Supplying, within one hundred eighty (180) days of the conclusion of the project, or as required by the State, three (3) copies of an audit(s) from an accounting firm certified in the State of Connecticut as a certified public accountant.

7. Establishing objectives for quantitatively and qualitatively evaluating the operation of the transit system as that operation pertains to:
  - a. The safety of passengers.
  - b. The financial stability of the operation.
  - c. The personnel employed by the system.
  - d. Other items as applies to the individual systems.
8. Maintaining, at a minimum, a three (3) year capital needs and vehicle replacement schedule along with specific project description sheets on a continuing basis.
9. Participating as necessary in the development of a transit development plan.

Since the inception of the original Section 18 (now Section 5311) program in 1979, ConnDOT has maintained a strong role in the development and promotion of rural transportation services throughout the State. Although the office responsible for administrative oversight of the Rural Transportation Program has been renamed, modified, downsized and relocated within ConnDOT over the years, original management dedicated to the program remains and staff is trained in, and dedicated to, the proper oversight of all rural transportation activity. Rural transit operations in Connecticut today are dynamic modern systems that provide an invaluable service to residents, many of whom have no other transportation modes available to them.

CHAPTER 4.0 | COORDINATION

4.1 | Locally Developed, Coordinated Public Transit Human Services Transportation Plan

Three FTA formula funded programs; the Elderly Individuals and Individuals with Disabilities (Section 5310) Program, the Job Access and Reverse Commute (JARC) (Section 5316) Program, and the New Freedom (Section 5317) Program require that projects must be derived from a locally developed, coordinated public transit human services transportation plan (LOCHSTP).

ConnDOT requires Section 5311 subrecipients to make every effort to participate in the local planning process for coordinated public transit-human service transportation. ConnDOT also makes every effort to provide for maximum feasible coordination with transportation services assisted by other federal sources and for the consolidation of transit services in their areas. ConnDOT will make every effort to inform and include representatives from the intercity bus industry to attend and participate in LOCHSTP meetings in order to address the intercity bus transportation needs of the targeted population of seniors, people with disabilities, and low income people during the local coordinated planning process.

4.2 | Participation

ConnDOT requires that representatives of public, private, and non-profit transportation and human services providers, and the general public participate in the development of the coordinated plan. Section 5311 subrecipients are encouraged to begin their coordination efforts early with other affected stakeholders providing transportation services within their region. As many participants as possible should be involved in these coordination efforts. The process should be continued through planning, implementation, and operation of a project. This can be attained through coordination:

1. Of transit services with other transportation providers - public and private.
2. With public and private nonprofit agencies.
3. Through a transportation brokerage concept.
4. With human services agencies.

ConnDOT will oversee the results of these efforts through:

1. Membership on technical and advisory boards.
2. Monitoring of transit service development.
3. Review of reports and materials developed under this and related programs.

ConnDOT's coordination with other agencies at the state level includes, but is not limited to, Area Agencies on Aging and the Departments of Social Services and Mental Retardation.

CHAPTER 5.0 | ELIGIBILITY

5.1 | Eligible Subrecipients

1. Eligible subrecipients of Section 5311 funding may include:
  - a. State agencies.
  - b. Local public bodies.
  - c. Transit districts.
  - d. Private nonprofit organizations.
  - e. Regional planning agencies.
  - f. Indian tribes and groups.
  - g. Operators of public transportation services.
2. All applications must be submitted to the Connecticut Department of Transportation.
3. Private for-profit operators of transit or paratransit services may participate in the program through contracts with eligible applicants.

5.2 | Eligible Services and Service Areas

Section 5311 funds are available for public transportation projects and intercity bus transportation projects in rural and small urban areas. The terms “nonurbanized areas” and “rural and small urban areas” are used synonymously to mean any area outside of an urbanized area, as designated by the Bureau of the Census. An urbanized area consists of a core area and the surrounding densely populated area with a total population of 50,000 or more, with boundaries fixed by the Bureau of the Census or extended by the State officials.

Public transportation is defined to mean mass transportation by bus, rail, or other conveyance, either publicly or privately owned, which provides to the public general or special service on a regular and continuing basis. This does not include charter, sightseeing, or exclusive school bus transportation. Limitations on the provision of charter and school service are described in CHAPTERS 16.0 CHARTER RULE and 21.0 OTHER PROVISIONS, respectively. Guidance on funding for intercity bus transportation is found in CHAPTER 8.0 INTERCITY BUS TRANSPORTATION.

Section 5311 funded services may be designed to maximize usage by members of the general public who are transportation disadvantaged persons, including elderly persons and persons with disabilities. Coordinated human service transportation which primarily serves elderly persons and persons with disabilities, but which is not restricted from carrying other

members of the public, is considered available to the general public if it is marketed as a public transit service.

The purpose of Section 5311 assistance is the provision of public transportation services. Incidental use of a Section 5311 vehicle for non-passenger transportation on an occasional or regular basis, for example, package delivery, must not result in a reduction of service quality or availability of public transportation service. This policy on incidental use does not preclude the use of Section 5311 assistance to support the transportation of passengers by a private provider not primarily engaged in passenger transportation.

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 services do not conflict with the provision of transit services or result in a reduction of service to transit passengers. It is expected that the operating costs attributable to meal delivery will be borne by the nutrition program which provides the meals. Section 5311 capital assistance may not be used to purchase specialized equipment such as racks or heating or refrigeration units related to meal delivery.

Since the goal of Section 5311 is to enhance access of people living in nonurbanized areas to activities, Section 5311 projects may include transportation to and from urbanized areas.

### 5.3 | Eligible Assistance Categories

Eligible project costs are determined in accordance with Office of Management and Budget Circular A-87 titled "Cost Principles for State, Local, and Indian Tribal Governments," as amended, and rules and regulations issued by the FTA and ConnDOT. Expenditures shall be allowed for state administrative, planning and technical assistance, capital, operating, and project administrative expenses.

1. State Administrative, Planning, and Technical Assistance
  - a. ConnDOT may use an amount not to exceed 15 percent (15%) of its apportioned Section 5311 funds, not including the Rural Transit Assistance Program (RTAP) allocation, to administer the program and to provide technical assistance to local recipients.
    1. Allowable administrative costs include salaries, overhead expenses, supplies, and office equipment used to administer the program.
    2. Allowable technical assistance costs may include, but is not limited to project planning, program development, management development, coordination of public transportation programs (public and private for-profit and non-profit), development of vehicle and equipment specifications, and such research as the State may deem appropriate to promote effective means of delivering public transportation services in nonurbanized areas.

- b. ConnDOT may pass any portion of these funds on to local recipients for the same purposes and, at its discretion, may impose a local share requirement. ConnDOT recognizes the importance of continuing planning activity to ensure the maximum utilization of all rural operations and funding. Historically, ConnDOT has made a portion of these funds available to local planning entities and will continue to do so contingent upon funding availability.

2. Capital Expenses

- a. Eligible capital expenses include the acquisition, construction and improvement of public transit facilities and equipment needed for safe, efficient and coordinated public transportation systems. Examples of eligible capital expenditures include, but are not limited to:

1. Buses.
2. Vans or other paratransit vehicles.
3. Radios and other communications equipment.
4. Passenger shelters, bus stop signs, and similar passenger amenities.
5. ADA accessibility equipment (i.e., wheelchair lifts and restraints).
6. Vehicle rehabilitation, remanufacture, or overhaul (the major overhaul of equipment to bring it up to "as new" operating condition).
7. Spare parts with a unit cost over \$500.
8. Extended warranties which do not exceed the industry standard.
9. Operational support such as computer hardware or software.
10. Installation costs; vehicle procurement, testing, inspection and acceptance costs.
11. Construction or rehabilitation of transit facilities including design, engineering, and land acquisition.
12. Facilities to provide access for bicycles to mass transit facilities or equipment for transporting bicycles on mass transit vehicles.
13. The introduction of new technology, through innovative and improved products, into public transportation.
14. Transit related Intelligent Transportation Systems (ITS).

3. Operating Expenses

a. Operating expenses are those costs directly related to system operations and must include, but are not limited to:

1. Fuel and oil.
2. Replacement tires.
3. Replacement parts which do not meet the criteria for capital items.
4. Maintenance and repairs.
5. Salaries and fringe benefits of drivers and mechanics.
6. Salaries of dispatchers.
7. Licenses.
8. Purchased Transportation Services.

4. Project Administrative Expenses

a. Eligible project administrative costs incurred by a local recipient are those identified in FTA guidelines and may include but are not limited to, general administrative expenses and overhead costs such as:

1. Salaries of the project director, secretary, bookkeeper, or other personnel performing job duties of an administrative nature.
2. Office supplies.
3. Facilities and equipment rental.
4. Insurance premiums or payments to a self-insurance reserve.
5. Marketing expenses.
6. Standard overhead rates.

Depending upon federal funding availability, ConnDOT may treat administrative costs as operating costs or may treat them differently and require subrecipients to report them separately. During the early years of the program, administrative costs were reported separately and reimbursed at a higher funding ratio. Most recently, they have been treated as operating costs. The future treatment of operating costs will depend on the

availability of federal funding with every effort made to assist each rural operator in a fair and equitable manner.

b. Interest on Short Term Loans

Certain project expenses may be considered as project administrative expenses with the prior approval of ConnDOT. An example is the interest on short term loans to finance project administration or operating costs where the loan was necessary because of a delay in the federal apportionment of Section 5311 funds or where there are delays in ConnDOT's execution of the Project Agreement.

5. Meal Delivery

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 services do not conflict with the provision of transit services or result in a reduction of service to transit passengers. Section 5311 capital assistance may not be used to purchase special vehicles used solely for meal delivery or to purchase specialized equipment such as racks or heating or refrigeration units related to meal delivery.

6. Other Incidental Use

Incidental use of a Section 5311 vehicle for non-passenger transportation on an occasional or regular basis, for example, package delivery, must not result in a reduction of service quality or availability of public transportation service. Prior approval must be obtained from ConnDOT.

7. Ineligible Costs

a. OMB Circular A-87 defines items that are ineligible for reimbursement under all federal grant programs. Among the more common items are:

1. Entertainment expenses.
2. Fines and penalties.
3. Charitable donations.
4. Interest expenses on loans not previously approved by ConnDOT.

b. Additionally, the following transit related costs are ineligible for Section 5311 assistance:

1. The costs incurred by advisory councils or transit district/authority board members.

2. Indirect transit related functions or activities of local public governing bodies performed as a normal or direct aspect of public administration (i.e., expenses of a city council in considering transit matters).
3. Depreciation accrued by public agencies on facilities or equipment purchased with federal and state funds.
4. Contributions to a capital reserve account.
5. Lobbying activities.

CHAPTER 6.0 | FUNDING PARTICIPATION RATIOS

For Connecticut, funding for the Section 5311 program is obtained from three sources: federal, state, and local. Since Connecticut contributes to the funding of Section 5311 programs, the State definition of "local" will supersede the federal definition. The term "local" for Connecticut's program will be defined as the subrecipient receiving Section 5311 funds.

6.1 | Operating Ratios

Operating expenses shall be determined each month and revenues subtracted from the total expenses.

1. Federal share may not exceed fifty percent (50%) of the deficit.<sup>1</sup>
2. State share is contingent upon the availability of funds and may be up to thirty-three percent (33%) of the deficit.
3. Local share will be, at a minimum, seventeen percent (17%) of the deficit.

It is understood that the fifty/thirty-three/seventeen percent (50%/33%/17%) matching ratio will be followed for billing purposes until the federal and state contract maximums are attained. Any remaining expenses for the budget year will be the responsibility of the local operator.

6.2 | Administrative Ratios

Administrative expenses shall be determined each month.

1. Federal share may not exceed eighty percent (80%) of the deficit.
2. State share is contingent upon the availability of funds and may be up to ten percent (10%) of the deficit.
3. Local share will be, at a minimum, ten percent (10%) of the deficit.

It is understood that the eighty/ten/ten percent (80%/10%/10%) matching ratio will be followed for billing purposes until the federal and state contract maximums are attained. Any remaining expenses for the budget year will be the responsibility of the local operator.

6.3 | Capital Ratios

1. Federal share of eligible facilities and equipment shall not exceed eighty percent (80%) of the net project cost, except for the following:

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<sup>1</sup> In accordance with 49 U.S.C. § 5311(g)(2)

- a. Capital projects used to provide access for bicycles to transit facilities, or to install racks or other equipment for transporting bicycles on transit vehicles, which may have a ninety percent (90%) federal share.
  - b. The incremental cost of vehicle related equipment required to comply with the American with Disabilities Act of 1990 (ADA) or the Clean Air Act, which may have a ninety percent (90%) Federal share.
2. State share is contingent upon the availability of funds and may be up to twenty percent (20%) of the net project costs.
  3. Local share is contingent upon the amount of State funding available for the project.

#### 6.4 | Variance in Cost Percentages

When federal Section 5311 funding is not available in sufficient amounts to cover the federal share cost percentage ratios specified in Items 1, 2 and 3 above, the state share and/or local share may, subject to the availability of funds, be increased beyond their specified cost percentage ratios. When this situation occurs, ConnDOT will make the determination as to what level of financial participation the State can accommodate.

#### 6.5 | Requirements/Restrictions on Funding Ratios

1. The net operating cost is determined by subtracting all project revenues from total operating expenditures, inclusive of contributed goods, services, and labor. Contra-expenses, defined as revenue items that directly offset transit expenses, should be deducted from operating expenses before calculating the net operating cost. Examples of contra-expenses are:
  - a. Interest income on working capital.
  - b. Cash discounts and refunds which directly offset accrued expenses.
  - c. Insurance claims and reimbursements which directly offset accrued liabilities.
  - d. Rebates of sales and use taxes.
2. At least one-half of the local match must be provided for in cash. The remaining one-half of the local match may be provided for in cash, cash equivalent such as in-kind services, or from unrestricted federal funds.

Non-cash shares such as donations, volunteered services or in-kind contributions are eligible to be counted toward the local match only if the value of each is formally documented and supported, and represents a cost which would otherwise be eligible under the project. Guidance on this subject is provided in the federal administrative rules for grants and cooperative agreements at 49 CFR

parts 18 and 19. The value of in-kind contributions is included in net project cost to the extent it is used as local match.

3. Federal funds are considered unrestricted when a federal agency permits its funds to match Section 5311 funds. Such unrestricted federal fund matches must be directly related to the operational functions of the project. Generally, projects can accrue unrestricted federal funds by three (3) methods:
  - a. Direct federal grant payments made to the project (not Section 5311 or other sources of FTA assistance).
  - b. Purchase of service contracts.
  - c. Contribution of goods, services, or labor from other organizations that have utilized an unrestricted federal funding source to finance the goods, services, or labor.

Use of Title III funds distributed by the Area Agency on Aging as local match is allowed at the request of the local agency with permission of the State. The amount of Title III funds used as local match may not exceed eight and one-half percent (8.5%) of the total deficit or one-half of the local share. Use of these funds is further restricted by maintenance of a reduced fare to eligible riders no higher than one-half the regular local passenger fare. Unrestricted federal funds must be used as revenue until the minimum reduced fare average of revenue per passenger level is reached.

CHAPTER 7.0 | PROJECT SELECTION CRITERIA AND METHOD OF DISTRIBUTING FUNDS

7.1 | Project Selection Criteria

1. Local public transportation projects are evaluated by ConnDOT using the following criteria:
  - a. Demonstrated need and demand.
  - b. Level of coordination among human service agencies, private for-profit public transportation companies, and the public transportation applicant.
  - c. Adequacy of service to the elderly and persons with disabilities.
  - d. Degree to which existing and proposed level of service meets the needs of the general public.
  - e. Local commitment to transportation, which includes but is not limited to:
    1. Willingness of towns to provide input into the decision-making process through coordination and/or active involvement in planning committees, transit district boards, etc.
    2. Willingness to provide funding as necessary to meet service provider's (i.e. transit district's) needs.
  - f. Demonstration of proper control of all aspects of a proposed system:
    1. ConnDOT will evaluate past experience in planning, developing, and implementing similar proposals and/or projects.
    2. For applicants without prior experience, ConnDOT will review the organization's fiscal and administrative structure, as well as other aspects of the organization. This is necessary to insure that the applicant has the requisite components to carry out the proposed project in an effective, efficient, and competent manner.
2. Along with the federal requirements for eligibility for Section 5311 assistance, the following state criteria must be met for approval by ConnDOT:
  - a. Project proposals must include two-year projections of operating deficits and sources of deficit financing.
  - b. In any given service area, the system must be designed to meet as many of the transportation needs of the general public as possible. The service must also address the transportation needs of persons with disabilities, elderly, and minority persons.

- c. The applicant must demonstrate that the project service is coordinated to the maximum extent feasible with other transportation services in the service area. Also, existing transportation resources, particularly those of the private sector must be in use to the fullest extent possible.
  - d. Capital equipment purchases will only be approved when the applicant documents that existing public and/or private equipment is either unavailable, insufficient, or inappropriate to provide the intended service. The current availability of funds will be of prime consideration.
  - e. Reasonable fares, or third-party payments in lieu thereof, are required. While individual fare rates are permitted to vary, average annual revenue per passenger must equal or exceed one-half of the advertised local fare. This will be subject to periodic review by ConnDOT for possible revision. ConnDOT may suspend this requirement, temporarily or permanently, if it is deemed to be in the best interest of the State.
  - f. Competitive applications in the same service area or alternative service proposals which exceed available funding will be evaluated and ranked according to the scope of service proposed and the extent to which coordination and energy conservation have been met.
  - g. The applicant must take positive steps to market the availability of transportation service to the general public, including, but not limited to, the publication, at periodic intervals, of the system's routes and schedules in the media serving the applicant's jurisdiction.
  - h. The applicant must post its routes and schedules in public places.
  - i. The applicant must submit, with the project application, the system's policy for charging fares to the general public and procedures for contracting transportation services to other agencies.
  - j. The applicant's vehicles must be clearly designated as open to the public.
  - k. The applicant's level of service to the public should be based upon the travel demand of the public. A procedure for receiving comments and suggestions regarding service from the public should be developed and submitted with the project application.
  - l. The applicant must submit with the project application an assurance substantiating that the transportation system is available to serve the general public.
3. A regional management organization (i.e., transit district) may be established and perform the following functions:
- a. Contract with the State for all Section 5311 services provided in the region.

- b. Provide or contract with others to provide all Section 5311 services.
  - c. Perform the function of a transit broker (i.e., locate existing underutilized transit equipment and maximize its use through arrangements including ridesharing, third party contracts, user-side subsidies, etc.)
  - d. Arrange for maintenance of all equipment.
  - e. Purchase all new or additional supplies, parts, and related equipment as required.
  - f. Provide or coordinate marketing.
  - g. Provide or coordinate business and accounting services.
4. ConnDOT coordinates with planning agencies statewide, meets with them as necessary to disseminate information relative to the Section 5311 Program and to advise them of any requirements needed for project submission, and works cooperatively with them in this effort.

## 7.2 | Method of Distributing Funds

ConnDOT makes every effort to have Section 5311 funding available for all rural areas. The original Section 18 (now Section 5311) Policy developed by ConnDOT in 1979 programmed a specific percentage of funding for each town, based on rural population density. After several years of experience with the program, it became apparent that only a few rural areas were interested in implementing service.

Since 1980, Section 5311 federal funding has been held relatively constant with few increases other than those necessary to cover the cost of inflation. As all operations increased in scope and cost, federal funding became no longer sufficient to allow for new or expanded services. At this point in time, to allow new areas to make use of Section 5311 funding would necessitate removing essential funding from existing operators, thereby diminishing the services they provide. ConnDOT elected not to do this. Therefore, by act of omission from the ConnDOT Policy Statement Manual which was issued April 15, 1988, the original rural funding policy was eliminated. This does not preclude a rural area from approaching the Department with requests for rural demonstration project funding. Since 1988, top priority for the expenditure of Section 5311 funding has been the continuation of existing rural transit services. ConnDOT is under no obligation to expand rural operations to other areas of the State. If increased funding levels permit the development of a new project, applications will be solicited, received and reviewed by ConnDOT for feasibility of implementation.

CHAPTER 8.0 | INTERCITY BUS TRANSPORTATION

8.1 | Program Summary

Intercity service is defined by the FTA as regularly scheduled bus service for the general public which operates with limited stops over fixed routes connecting two (2) or more urban areas not in close proximity, which has the capacity for transporting baggage carried by passengers, and which makes meaningful connections with scheduled intercity bus service to more distant points, if such service is available. Package express service may also be included, if incidental to passenger transportation.

Commuter service (service designed primarily to provide daily work trips within the local commuting area) is excluded from the definition. Intercity service is not limited by the size of the vehicle used or by the identity of the carrier. Air, water and rail service are not included.

8.2 | Program Objectives

ConnDOT will implement Section 5311(f) as part of its management of the Section 5311 program and will continue to evaluate the intercity bus environment as deemed necessary to provide the best public transportation system to its users in the rural areas that meets their mobility needs in an efficient, economical and reliable manner

Objectives of Section 5311(f) include:

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

8.3 | Governor's Certification

ConnDOT is required to expend at least 15 percent (15%) of its apportionment for an 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." The required percentage applies only to the amount of FTA's announced annual apportionment of Section 5311 funds to the State, not to any funds the State subsequently transfers to its nonurbanized area formula program from another program.

ConnDOT will document and follow the steps (elements) of the consultation process requirements stated within (Section 8.4 Consultation Process Requirements) in order to determine whether its intercity bus service needs are adequately being met or if any part of its Section 5311 apportionment should be set aside for the support of future services.

Upon completing its consultation with affected intercity bus service providers, ConnDOT will forward an intercity bus certification letter to the Federal Transit Administrator, with a copy to the regional office supporting the results of the process.

#### 8.4 | Consultation Process Requirements

ConnDOT has developed the list of elements it will implement in its efforts to consult with affected intercity bus service providers and as necessary, will modify these elements to include and update its list of intercity bus service consultation process activities in order to continue meeting its intercity bus service objectives and to comply with future FTA requirements.

1. Identification of intercity bus service providers in the State.

ConnDOT will identify and update its list of affected intercity bus service providers serving in the State of Connecticut by researching related intercity bus service information including but not limited to the following resources;

- a. Russell's Official National Motor Coach Guide,
- b. Websites of private intercity bus operators,
- c. Bus Industry Directories,
- d. State regulatory agency listings, and
- e. Trade associations, such as the American Bus Association and the United Motorcoach Association.

2. Activities the State will perform as part of consultation with identified intercity bus service providers and the intercity bus industry.

- a. ConnDOT will inform and invite identified intercity bus service providers to participate in the following meetings that are held regularly throughout the state, which ConnDOT facilitates or attends:
  1. Quarterly Transit meetings,
  2. Monthly Connecticut Association for Community Transportation (CACT) meetings,
  3. Monthly Connecticut Public Transportation Commission (CPTC) meetings,
  4. 'Transit for Connecticut' meetings, and
  5. Locally Developed, Coordinated Public Transit Human Services Transportation Plan (LOCHSTP) meetings.

- b. ConnDOT will meet periodically with identified intercity bus service providers to keep them abreast of transit activities statewide and to seek their continued involvement and input during the intercity bus service consultation process.
  - c. ConnDOT will notify statewide rural and urban transit districts and other affected parties seeking their input and comments regarding intercity bus services in the State.
  - d. ConnDOT will coordinate, meet, and follow-up with intercity bus service representatives from neighboring States to discuss intercity bus service issues.
  - e. ConnDOT will update and include intercity bus service providers/services information on its main website located at [www.ct.gov/dot](http://www.ct.gov/dot)
3. An opportunity for intercity bus service providers to submit proposals for funding as part of the State's distribution of its annual apportionment.
  - a. ConnDOT will document and periodically assess its statewide intercity bus service needs no more than four years before the date of its certification.
  - b. ConnDOT will provide an opportunity through direct mailings and public notices via statewide newspapers for intercity bus service providers or other affected parties to submit proposals regarding the results of ConnDOT's assessment of its intercity bus service needs.
  - c. ConnDOT will solicit comments through advertising in newspapers of the State's intention to certify unless needs are identified.
4. A direct correlation between the results of the consultation process and a determination that the State's intercity service needs are adequately being met.

Upon completing the first three (3) elements of the consultation process, ConnDOT will forward a letter to the FTA Administrator documenting its ICB consultation process efforts and explaining the results certifying whether the State's determination of intercity bus service needs are adequately being met or if any part of its Section 5311 apportionment should be set aside for the support of future services.

## 8.5 | Feeder Service

The "coordination of rural connections between small transit operations and intercity bus carriers" may include the provision of service which acts as a feeder to intercity bus service, 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. 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.

CHAPTER 9.0 | ANNUAL PROGRAM OF PROJECTS DEVELOPMENT AND APPROVAL PROCESS

9.1 | State Application to FTA

The State application to FTA for Section 5311 funds consists of an annual program of projects which identifies the local recipients, gives a brief description of each project, an indication of the total project cost and the amount of the federal share. Funds programmed to support rural transit service operations and administration, capital needs and planning are clearly identified, grouped separately and subtotaled. Rural Transit Assistance Program (RTAP) projects are described in either a separate or combined program of projects. Also included is the funding necessary for ConnDOT administration, planning, and technical assistance. Amendments to the annual program may be submitted when ConnDOT deems it necessary.

9.2 | Categories of Approval

Since all projects may not be at the same stage of development at the time the State application must be submitted, projects can be included in the following categories when the application is made:

1. Category A - includes those projects certified by the State as having met all statutory and administrative requirements for approval.
2. Category B - includes projects the State anticipates approving during the upcoming year, but which have not yet met all statutory and administrative requirements.
3. Category C - contains funding earmarked as program reserve and is designed to accommodate unanticipated projects and program needs. This reserve may not exceed ten percent (10%) of the total amount of the State's annual Section 5311 apportionment.

9.3 | Subrecipient Application to ConnDOT

Applications for Section 5311 funds from local recipients are received by ConnDOT on a continuing basis but are consolidated into a program of projects or an amendment and submitted to FTA at least annually. Exceptions to this rule will be considered on a case by case basis. Applicants may contact their regional planning agency for assistance with the Section 5311 application or they may work with ConnDOT staff that administers the Section 5311 program.

ConnDOT has developed an application format that follows requirements established by FTA. Appendix A - Subrecipient Grant Application Format and Contents, is a guide for a local recipient application. ConnDOT will review proposed applications for inclusion in a program of projects to be submitted to FTA for approval.

All administrative and operating grants shall coincide with the State's fiscal year of July 1 through June 30 of the following year. ConnDOT may reconsider this grant period based

on each project's circumstances, upon written request from the applicant. Grant requests for administrative and operating funds may be submitted for a two-year operating period.

1. Opposition to the grant application

If negative comments are received regarding the grant application, the applicants must assess how this will impact private operators and consider measures to alleviate that impact. Both parties must meet to negotiate an acceptable arrangement. If necessary, the proposal must be modified in light of the concerns raised, and the private operator must agree to sign off on the proposal.

If an acceptable arrangement cannot be resolved, the subrecipient that received the negative comment must notify ConnDOT. Once ConnDOT is made aware of a complaint, it will review the situation and work cooperatively with the subrecipient to achieve a fair and equitable solution in the following manner:

- a. The Section 5311 Program Coordinator requests a meeting with the subrecipient and the complainant.
- b. In the event that an equitable solution cannot be reached at this meeting, the complainant will have ten (10) working days from the time of the meeting to file a written grievance with the Transit Manager, Office of Transit and Ridesharing, Bureau of Public Transportation. The Transit Manager (Operations) will review all aspects of the situation, will coordinate with the Section 5311 Program Coordinator and staff, and will issue a decision within ten (10) working days of receipt of the grievance.
- c. If this decision is unsatisfactory to the private operator, a second appeal should be made, in writing, to the Bureau Chief, Bureau of Public Transportation. The Bureau Chief will issue a written decision within thirty (30) working days of receipt of the appeal. The decision of the Bureau Chief will be final. At the Bureau Chief's option, this function may be delegated to the Transit and Ridesharing Administrator, Bureau of Public Transportation.

Unless the objection is resolved to the satisfaction of all parties concerned and the opposition is withdrawn, the applicant will not be funded.

In addition to the above responsibilities, ConnDOT staff will be available to answer questions and to provide technical assistance relative to the Section 5311 program. This assistance may be obtained by writing to:

Transit Manager (Operations)  
Connecticut Department of Transportation  
Bureau of Public Transportation  
Office of Transit and Rideshare  
Room 1137 NE  
P.O. Box 317546  
Newington, CT 06131-7546

#### 9.4 | FTA Approval and the State Agreement Process

Concurrent with the submission of the State application to FTA, ConnDOT will prepare an agreement between the State and the subrecipient. When notification of approval is received from FTA, the agreement package will be forwarded to the subrecipient for execution. As instructed in the transmittal letter, the subrecipient will return the executed agreement to ConnDOT, along with a current resolution authorizing the signatory to enter into a contractual agreement with the State. The current resolution must be signed on or before the day the signatory will sign the agreement.

When required, ConnDOT simultaneously puts in place the State match of a project's expenses. Upon full execution of the agreement, the subrecipient can begin submitting reimbursement requests stipulated in the agreement. Payment by the State is processed as soon as all financial paperwork has been completed.

CHAPTER 10.0 | TRANSFER OF FUNDS

10.1 | Transfer of Funds

Section 5310 (Elderly Individuals and Individuals with Disabilities), 5316 (Job Access and Reverse Commute (JARC)) and 5317 (New Freedom) program funds may be transferred to the Section 5311 program. The purpose of the transfer provision is to allow ConnDOT to apply in one grant for projects selected under those programs that will be implemented by Section 5311 Subrecipients but not to supplement the resources available under Section 5311 apportionment.

Section 5311 funds can be transferred to supplement the State's Section 5307 allocation that FTA apportioned to the State for urbanized areas with populations under 200,000. The amount transferred is subject to any limitations applicable to the original apportionment of such amounts.

ConnDOT may transfer Surface Transportation Program (STP) funds, Congestion Mitigation and Air Quality (CMAQ) funds, and certain other flexible funds, from FHWA to FTA to use for transit projects selected in cooperation with affected local officials in rural and urban areas with populations less than 50,000.

CHAPTER 11.0 | STATE ADMINISTRATION AND TECHNICAL ASSISTANCE

11.1 | State Administration and Technical Assistance

In accordance with FTA Circular 9040.1F dated April 1, 2007 and as allowed by previous FTA guidelines, ConnDOT utilizes up to fifteen percent (15%) of its apportioned Section 5311 funds for administration and oversight of the program.

These funds in conjunction with State funds are used primarily for the salaries and overhead of personnel whose duties include the administration, planning, and oversight of the Section 5311 program.

These administrative, planning, and oversight functions include but are not limited to:

1. Reviewing grant applications submitted by local transit districts.
2. Preparing and submitting of FTA Grant applications.
3. Project planning.
4. Program and policy development.
5. Coordination of public transportation programs.
6. Coordination with inter-departmental staff to include Section 5311 projects in STIP/TIP process.
7. Preparing and processing of contracts and budget addenda with transit districts.
8. Coordinate with inter-departmental staff to program state matching funds.
9. Reviewing and approving payment of reimbursement requests submitted by transit districts.
10. Coordinate with transit districts to assess future budgetary needs.
11. Ensuring local Section 5311 subrecipients are in compliance with audit requirements.
12. Close-out of previous Section 5311 projects.
13. Performing site visits to local operators.
14. Disseminating information on federal/state regulations.
15. Responding to verbal and written correspondence with federal, state, local agencies and the general public.

16. Holding/attending meetings and public hearings related to the Section 5311 program.
17. Studying various elements of rural transportation.

ConnDOT has also made available funds within the fifteen percent (15%) state administration cap available to regional planning agencies for research and transit studies to further promote public transportation in nonurbanized areas of the State.

It has been past practice to use the fifteen percent (15%) state apportionment for the above-mentioned uses while Rural Transit Assistance Program (RTAP) funds have been primarily used for travel, training, a scholarship program, and an annual state-wide bus roadeo.

CHAPTER 12.0 | RURAL TRANSIT ASSISTANCE PROGRAM

12.1 | Program Summary

The Rural Transit Assistance Program (RTAP) provides a source of funding to assist in the design and implementation of training and technical assistance projects and other support services tailored to meet the specific needs of transit operators in nonurbanized areas. In implementing the Rural Transit Assistance Program, ConnDOT will apply for funds that have been allocated to the State specifically for RTAP. This will normally be done in the annual application to FTA.

12.2 | Program Objectives

Objectives of the RTAP Program include:

1. To promote the safe and effective delivery of public transportation in nonurbanized areas and to make more efficient use of public and private sectors.
2. To foster the development of state and local capacity for addressing the training and technical assistance needs of the rural transportation community.
3. To improve the quality of information and technical assistance available through the development of training and technical assistance resource materials.

12.3 | Funding Ratio

For Connecticut, funding for the Section 5311(b)(3) program requires no local (subrecipient) match.

12.4 | Eligible Assistance Categories

ConnDOT will use RTAP funds to support nonurbanized transit activities in four (4) categories: training, technical assistance, research, and related support services. The purchase of equipment to support one of the four (4) eligible activities is an eligible expense. Planning projects and administrative costs are not eligible under this program.

12.5 | Program Development/Delivery

ConnDOT's approach with regard to the utilization of RTAP funding is to create a Statewide Rural Transit Assistance Program (RTAP Consortium). A contractor selected in the process of a competitive solicitation will be designated to administer and coordinate all aspects of the RTAP Consortium and serve as a liaison between ConnDOT and Section 5311(b)(3) program subrecipients. The RTAP Consortium administrator will be responsible for implementing and performing activities including but not limited to the following:

1. Public Outreach – Advocate for the implementation of strategies and action plans for the promotion and improvement of public transportation in Connecticut.
2. Statewide Bus Roadeo – Conduct the Annual Statewide Bus Roadeo which provides opportunities to drivers of all public transit services to enhance their driving skills and knowledge of transit service and safety regulations in a statewide transit competition. The first place individual in each bus type category is sent to the Annual National Bus Roadeo competition to represent the State of Connecticut. The second and third place individuals are awarded with a plaque.
3. Scholarship Program - Review and approve annual scholarship requests (applications) submitted by eligible participants, FTA Section 5311 transit operators and FTA Section 5310 recipients (nonprofit organizations that receive federal and/or state funding for the procurement of transit vehicles), seeking funding to send their administrative staff, drivers or maintenance personnel to training events, conferences, and seminars.

Scholarship funds are limited to the reimbursement of seminar registration fees, travel and transportation, lodging and meals up to \$1,000 per trip per individual. All scholarship requests will be approved based on the basis of demonstrated need, applicability of the training opportunities to the proposed attendee(s), and availability of funding. Each application request must be approved by CONNDOT.

4. Training Program - Submit an annual schedule to CONNDOT for approval containing a list of proposed transit related training courses to be provided to RTAP Consortium participants. The approved list of training courses (schedule) will constitute the annual training program.

Training courses to be provided may include but are not limited to the following: defensive driver, customer relations, passenger assistance, wheelchair lift and securement, and safety orientation (i.e. bloodborne pathogens, accident investigation).

5. RTAP Advisory Committee - Establish an RTAP Advisory Committee dedicated to providing guidance on the State's program development and delivery. In cooperation with CONNDOT, the committee will encourage the participation of rural transit operators in the State to identify and establish priority areas of need for training, technical assistance, research, and other related support services.

CHAPTER 13.0 | PRIVATE SECTOR PARTICIPATION

13.1 | Private Sector Participation

Under the requirements of 49 U.S.C. 5323(a)(1) States or local governmental authorities may use FTA funds to operate public transportation service in competition with or in addition to transportation service provided by an existing public transportation company, only if the grantee “provides for the participation of private companies engaged in public transportation to the maximum extent feasible.”

Private providers of transportation services cannot apply directly to ConnDOT for Section 5311 funding. Application to provide service must be done through an applicant (subrecipient) that is eligible to receive Section 5311 funds (refer to CHAPTER 5.0 ELIGIBILITY, Section 5.1 Eligible Subrecipients). ConnDOT must make assurances to FTA regarding private sector participation in the provision of transit services. To facilitate this matter, the local eligible recipients shall follow the guidelines stated in this section.

Each subrecipient shall adopt a policy statement detailing a set of procedures, which shall include:

1. A statement of intent to fully comply with the intent of FTA Circular 9040.1F.
2. Establishment of a process for notification of all private operators.
3. Establishment of a process to provide opportunity for the involvement of private operators at the earliest stage of study development.
4. Providing the opportunity for continued involvement throughout the planning process, including participation in final recommendations.
5. Maintaining a listing of all private operators in the project service area.

CHAPTER 14.0 | CIVIL RIGHTS

14.1 | Title VI Program Requirements

Title VI of the 1964 Civil Rights Act, Section 601, states:

"No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance." Applicants must submit to ConnDOT an assurance indicating the above statement is true.

FTA's Title VI requirements for States and local recipients are described in FTA Circular 4702.1A 'Title VI and Title VI-Dependent Guidelines for FTA Recipients' [www.fta.dot.gov/laws/circulars/leg\\_reg\\_5956.html](http://www.fta.dot.gov/laws/circulars/leg_reg_5956.html) This circular also implements 49 U.S.C. 5332, which includes age and sex as prohibited bases for discrimination.

Both ConnDOT and the local recipient must file on a one-time basis a signed DOT Title VI Standard Assurance and signed FTA Civil Rights Assurance. ConnDOT submits its assurance to FTA on a one-time basis and retains those it has received from subrecipients. It is unnecessary for ConnDOT or subrecipients to submit new assurances with each new grant application.

14.2 | General Reporting Information

ConnDOT must have on file the following Title VI general reporting information from Section 5311 subrecipients:

1. A concise description of any lawsuits or complaints alleging discrimination in service delivery filed against the subrecipients within the past year.
2. A statement of the status or outcome of each lawsuit or complaint.
3. A summary of all civil rights compliance review activities conducted by the subrecipient in the last year. The summary should include:
  - a. The purpose or reason for the review.
  - b. The organization conducting the review (i.e. a city civil rights office, MPO, or consultant).
  - c. A summary of the findings and recommendations of the review.
  - d. A report on the status or disposition of findings.
4. An analysis of any environmental and or social economic impacts as the result of proposed construction projects, including the impact on minority communities. This information is required only for those projects which do not qualify as a categorical exclusion in the environmental process.

### 14.3 | Equal Employment Opportunity (EEO) Requirements

1. Applicants are required to provide equal employment opportunity. ConnDOT is responsible for maintaining the information submitted by applicants and assuring FTA that all applicants have met the EEO requirements, as detailed in FTA Circular 4704.1, prior to receipt of Section 5311 funds.
2. All applicants, regardless of size or level of funding, must submit to ConnDOT an assurance that they "shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, age, or national origin, and that they shall take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex, age, or national origin." ConnDOT also requires all applicants to submit an assurance that "no person shall on the grounds of race, color, creed, national origin, sex, age, sexual orientation, or disability be excluded from participation in, or denied the benefits of, or be subject to discrimination under any project, program, or activity for which this recipient receives federal financial assistance from the Federal Transit Administration."
3. In addition, those applicants with fifty (50) or more mass transit related employees which have received federal capital or operating assistance grants, or any combination thereof, of \$1,000,000 or more in the previous Federal Fiscal Year, will be required to submit to ConnDOT an EEO program consistent with the criteria set forth in FTA Circular 4704.1.

### 14.4 | Disadvantaged Business Enterprise (DBE) Program Requirements

1. All Section 5311 applicants will adhere to the requirements as specified in the U.S. Department of Transportation's Disadvantaged Business Enterprise (DBE) regulations set forth in 49 CFR part 26 'Disadvantage Business Enterprise' [www.fta.dot.gov/laws/leg\\_reg\\_3304.html](http://www.fta.dot.gov/laws/leg_reg_3304.html)
2. Subrecipients must report to ConnDOT semiannually on the DBE contracting activities. The report (Uniform Report of DBE Commitments and Payments) addresses the contracting opportunities of ConnDOT and Subrecipients. It also must submit to ConnDOT a DBE program and set DBE goals.
3. Contracting opportunities are counted in the aggregate, and include FTA funded purchase orders, capital projects, professional services, TIFIA loan funded projects, and contracting activities of subrecipients.
4. DBE goals will be monitored continually by ConnDOT from the application phase through project close-out.

ConnDOT's "DBE program with DBE goals" reports are prepared and completed by the ConnDOT, Bureau of Administration, Division of Contract Compliance section. Also, the Disadvantaged Business Enterprise (DBE) Directory is now available on the Internet [www.ct.gov/dot/cwp/view.asp?a=2288&q=307380](http://www.ct.gov/dot/cwp/view.asp?a=2288&q=307380)

CHAPTER 15.0 | MAINTENANCE

15.1 | Vehicle Use/Maintenance

The project applicant (subrecipient) must have an up-to-date maintenance plan and shall be responsible for utilizing vehicles in the manner and for the service described in the subrecipient's application to ConnDOT, maintaining property records, conducting physical inventories, implementing adequate property control systems, and maintaining equipment acquired with Section 5311, according to its maintenance plan. These records are subject to periodic reviews by ConnDOT.

ConnDOT will conduct subrecipient site visits and Transit System Audit (refer to CHAPTER 20.0 TRANSIT SYSTEM AUDIT) to inspect vehicles awarded and/or funded by the program to ensure the proper maintenance and good operating order of vehicles and equipment, including ADA accessibility features.

At these site visits and during these Transit System Audit Reviews, ConnDOT will:

1. Request and review the list of inventory of equipment and vehicles,
2. Request and review the subrecipient's vehicle maintenance plan and service contract agreement,
3. Review the subrecipients maintenance log (vehicle history),
4. Select a vehicle(s) at random and compare the vehicle's maintenance log to its scheduled maintenance according to the manufacturers plan,
5. Request and review the log of routine (daily) system checks of ADA features to ensure they are in good operating condition,
6. Prepare a report of any findings,
7. Forward a letter to the subrecipient with the results of the visit listing the items that were found in compliance and findings of non-compliance, including, if necessary, a plan of action and time frame to bring non-compliant items into full compliance, and
8. Schedule a follow-up visit, if necessary.

CHAPTER 16.0 | CHARTER RULE

16.1 | Charter Rule

Subrecipients under section 5311 are not subject to the charter rule when using FTA-funded vehicles to provide public transportation or coordinated human service transportation or to serve groups of individuals with disabilities, the elderly, or low income individuals. The charter rule does apply, however, if the FTA recipient wants to provide other charter service using FTA-funded vehicles. Subrecipients providing charter service under exceptions 604.6 government officials, 604.7 qualified human service agencies, 604.8 leasing, and 604.9 no response from a registered charter provider must report trip information to ConnDOT for reporting to FTA.

I. Definition of Charter

1. Transportation provided at the request of a third party for the exclusive use of a bus or van for negotiated price. The following features may be characteristics of charter service:
  - a) a third party pays a negotiated price for the group;
  - b) any fares charged to individual members of the group are collected by the third party;
  - c) the service is not part of the regularly scheduled service, or is offered for a limited period of time;
  - d) a third party determines the origin and destination of the trip as well as scheduling.
2. Transportation provided to the public for events or functions that occur on an irregular basis or for a limited duration and:
  - a) a premium fare is charged that is greater than the usual or customary fixed route fare; or
  - b) the service is paid for in whole or in part by a third party.

II. Exemptions. These services are not considered charter service; require no notifications to registered charter providers, record-keeping, quarterly reporting, or other requirements.

The following services are exempt from charter service regulations:

- 1) Transportation of Employees, Contractors, Government Officials, official guests to or from transit facilities or projects within its geographic service area for the purpose of conducting oversight functions such as inspection, evaluation or review;
- 2) Private Charter Operators;
- 3) Emergency Preparedness Planning and Operation;
- 4) Section 5310, 5311, 5316, and 5317 for program purposes only;
- 5) Emergency Response.

III. Exceptions. These services are considered charter service and have administrative, record-keeping and reporting requirements. For specific information regarding reporting please go to 49 CFR Part 604.

The following services are exceptions to charter service:

- 1) Service provided to Government Officials for official government business which can include non-transit related purposes within its geographic service area and when no revenue is generated from this service;
- 2) Service provided to Registered Qualified Human Service Organizations (QHSEO) for the purpose of serving persons with mobility limitations related to advanced age, with disabilities and with low income;
- 3) Leasing of Equipment and Driver to registered charter provider which vehicle capacity is exceeded and/or exhausted;
- 4) No response by Registered Charter providers;
- 5) Agreement with All Registered Charter Providers;
- 6) Petition to the Administrator for events of regional or national significance or when providing the service would cause hardship to registered charter providers.

Additional information on charter regulations can be found at [www.fta.dot.gov/laws/leg\\_reg\\_179.html](http://www.fta.dot.gov/laws/leg_reg_179.html)

CHAPTER 17.0 | SECTION 504 AND ADA REPORTING

Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, prohibits discrimination on the basis of disability by recipients of federal financial assistance. In addition, the Americans with Disabilities Act (ADA) of 1990, assures the civil rights of disabled individuals to receive transportation services which are equal to those of non-disabled individuals.

Section 5311 recipients must comply with 49 CFR parts 27, 37, and 38, implementing the ADA and amending the Section 504 rule. Among other requirements, the regulations: prohibit discrimination against individuals with disabilities; require that vehicles acquired be accessible to and usable by individuals with disabilities, including individuals using wheelchairs (with limited exceptions for demand responsive systems providing equivalent service to individuals with disabilities or a demonstration of inability to obtain an accessible used vehicle despite good faith efforts to do so); and require that public entities operating fixed route transit plan for and provide complementary paratransit for individuals with disabilities who cannot use accessible fixed route transit.

In the years following passage of the ADA, ConnDOT worked in concert with many transit operating entities statewide to determine which entities would provide the ADA paratransit services to complement all State contracted fixed route systems throughout the State. As operators were determined, the process of forming these ADA systems began. Utilizing input from public meetings and hearings with the disabled communities, the means of defining eligibility, certifying ADA clients, scheduling trips, handling service disputes and complaints and handling appeals was determined based on standards developed at the local level.

17.1 | ADA Responsibilities

Responsibilities for the implementation of ADA include, but are not limited to the following:

1. Section 5311 subrecipients operating fixed route transit must submit to ConnDOT on a monthly basis an update on comparable paratransit services. This update report will include such elements as passenger trips provided, trip denials statistics, miles and hours of operation and a breakdown of wheelchair and non-wheelchair trips provided as well as the mileage of all vehicles engaged in ADA paratransit service.
2. ConnDOT will ensure that all vehicles acquired with Section 5311 funds are equipped, maintained, and operated in accordance with the regulation and that service provided does not discriminate against individuals with disabilities.
3. The acquisition of ADA vehicles by Section 5311 subrecipients is subject to the ConnDOT Capital Management Process, which requires that each subrecipient submit for approval a descriptive of the vehicles to be purchased. In addition, by State Statute, all vehicles purchased for public transportation must be fully accessible.

4. All Section 5311 subrecipients must maintain an updated maintenance plan for all vehicles used in the provision of ADA services. This must also incorporate all new vehicles acquired by the subrecipient. On-site inspections (refer to CHAPTER 15.0 MAINTENANCE) include a review of maintenance records to insure compliance with the schedule and inspection and random testing of ADA paratransit vehicles to assure that accessibility features are in working order.
5. ConnDOT provides on-site inspection and on-board monitoring to insure that operators of Section 5311 ADA paratransit vehicles are adequately trained and skilled to safely operate the accessibility features of these vehicles. Additionally, RTAP funding is made available to Section 5311 agencies for the training of operators.
6. Newly constructed facilities, including joint use stops and depots for intercity bus transportation, must comply with ADA accessibility standards. For intercity bus transportation, recipients are encouraged to consider the provision of additional optional accessibility equipment, such as portable lifts.
7. In addition, recipients of Section 5311 funds should be aware that they also have responsibilities under other provisions of the ADA in the areas of employment, public accommodations, and telecommunications.

#### 17.2 | ADA Re-certification Process

ConnDOT has initiated a program with ADA providers to periodically re-certify ADA clients through a consultant in order to strive for statewide conformity of eligibility for clients. Section 5311 subrecipients will be scheduled for participation in this program and training of their respective staff personnel.

ConnDOT monitors all facets of this program, utilizing the monthly operating reports, on-site observations and client letters or calls when they occur. ConnDOT becomes especially involved in situations where service complaints or trip denials come to our attention, making the local operators accountable through the client complaint or appeals process.

CHAPTER 18.0 | REPORTING REQUIREMENTS

18.1 | Annual Proposed Operating Budgets

ConnDOT's financial assistance provided to subrecipients of Section 5311 funds for each state fiscal year shall be determined based on the budgetary needs of subrecipients and in consideration of the availability of federal and/or state funds. Subrecipients are required to submit their proposed operating budgets for the next state fiscal year on the forms provided by ConnDOT (see Appendix C - Proposed Budget Format) six (6) weeks before the beginning of that fiscal year. To fulfill this requirement each subrecipient must provide to the State financial and performance statistical information related to its operating services to be provided, including but not limited to the following items:

1. Operational/administrative expenses,
2. Revenues,
3. Deficits,
4. Mileage,
5. Hours, and
6. Passengers.

18.2 | Monthly Financial and Performance Statistical Reports

Subrecipients shall submit no later than twenty (20) days after the end of each calendar month, monthly financial and operating reports for each state project included in each Budget Addendum that has been executed as part of their Agreement with ConnDOT. These reports will include but not be limited to the following:

1. A financial statement setting forth the results of the subrecipient's operations for said calendar month and consolidated for the calendar year-to-date. The financial statement shall be completed using FTA Section 5335 National Transit Database (NTD) reporting forms (see Appendix D - Expense/Revenue Formats), form 201 - Revenue Summary Schedule; form 305 - Expenses Classified by Function, and form 301 - Summary of Expenses Classified by Function, and
2. An Operating Statistic Report per each state project with monthly and year-to-date total expenses, revenues, deficit, mileage, total hours and total linked and unlinked passengers.

18.3 | Annual Audits

Subrecipients of Section 5311 funds are required to submit to ConnDOT within one hundred eighty (180) days of the conclusion of the project, three (3) copies of their audits. The contents of the audit report must be in accordance with government auditing standards issued by the Comptroller General of the United States.

1. Federal Single Audit - Subrecipients that expend a total amount of federal awards equal to or in excess of \$500,000 in any fiscal year shall have either a single audit made in accordance with OMB Circular A-133, "Audits of States, Local Governments

and Non-Profit Organizations or a program specific audit (i.e. an audit of one federal program). Less than \$500,000 shall be exempt for such fiscal year.

2. State Single Audit - Subrecipients that expend a total amount of State financial assistance equal to or in excess of \$100,000 in any fiscal year shall have an audit made in accordance with the State Single Audit Act, Connecticut General Statutes (C.G.S.) §§ 4-230 to 4-236, hereinafter referred to as the State Single Audit Act or a program audit. Less than \$100,000 in any fiscal year shall be exempt for such fiscal year.
3. Supplementary Program Information (SPI) forms - Each Section 5311 subrecipient is required to fill out and submit together with their audit, Supplementary Program Information Forms (see Appendix B - Supplementary Program Information Format) providing the following program/grant information: the program/grant number, ConnDOT project number, federal project number, phase and expenditures by phase. The sum of project expenditures should agree, in total, to the program/grant expenditures in the audit report. Federal and state programs/grants should be listed separately.
4. Requests for Extension - In the event the subrecipient is unable to submit their annual audit report to ConnDOT within the timeframe required by state law and regulations, the subrecipient must request an approval for an extension beyond that deadline by submitting a written request for an extension, prior to the deadline, to:

DOT Accounting Manager (Division of Internal Audits)  
Connecticut Department of Transportation  
2800 Berlin Turnpike  
P. O. Box 317546  
Newington, CT 06131-7546

A carbon copy of the request must be sent to:

Transit Manager (Operations)  
Connecticut Department of Transportation  
Bureau of Public Transportation  
Office of Transit and Rideshare  
Room 1137 NE  
2800 Berlin Turnpike  
P.O. Box 317546  
Newington, CT 06131-7546

#### 18.4 | Annual National Transit Database (NTD) Reports

ConnDOT acting as a direct recipient of Section 5311 funds is required by FTA to submit specific data annually to the National Transit Database (NTD) in which FTA collects transit financial and operating data from nationwide mass transportation system providers. To fulfill this requirement each subrecipient of Section 5311 funds must submit to ConnDOT

annual reports containing information on capital investments, operations, and service provided including but not limited to the following data items:

1. Modal classification,
2. Service area,
3. Volunteer resources,
4. Number of vehicles and characteristics,
5. Number and ownership of maintenance facilities,
6. Annual operating expenses,
7. Operating revenues,
8. Annual capital costs and sources,
9. Annual vehicle miles, hours and passenger trips,
10. Safety information, and
11. Information on intercity bus.

Specific reporting requirements are included in the NTD reporting instructions manual issued each year and available on the NTD website [www.ntdprogram.gov](http://www.ntdprogram.gov)

#### 18.5 | Three (3) Year Grant Application

ConnDOT has developed an application format (see Appendix A - Subrecipient Grant Application Format and Contents) that subrecipients of Section 5311 funds are required to prepare and submit to ConnDOT for review and approval every three (3) years. Subrecipients must provide information including but not limited to following contents;

1. Description of applicant's organization,
2. Description of services,
3. Description of service area, and
4. Proposed operating budget(s).

For additional information, please refer to CHAPTER 9.0 ANNUAL PROGRAM OF PROJECTS DEVELOPMENT AND APPROVAL PROCESS, Section 9.3 Subrecipient Application to ConnDOT.

#### 18.6 | Title VI General Reporting Information

For information on Title VI reporting requirements, please refer to CHAPTER 14.0 CIVIL RIGHTS, Section 14.2 Title VI General Reporting Information.

#### 18.7 | Disadvantaged Business Enterprise (DBE) Program Reports

For information on DBE reporting requirements, please refer to CHAPTER 14.0 CIVIL RIGHTS, Section 14.4 Disadvantaged Business Enterprise (DBE) Program Requirements.

#### 18.8 | Annual Preventive Maintenance Plan Certification

In the initial year of a subrecipient's Agreement with the State, the subrecipient shall provide the State with a copy of its Preventive Maintenance Plan for every vehicle type it

operates along with a certification that this plan has been implemented. Annually, thereafter, a subrecipient shall provide to the State a certification that the subrecipient continues to revise, update and implement its maintenance plan, as necessary.

CHAPTER 19.0 | STATE PROGRAM MANAGEMENT

19.1 | Procurement and Third Party Contracting

Procurement and third party contract activities are the responsibility of the local Section 5311 applicant. The project applicant may use its own procurement system as long as it conforms to applicable federal and state standards. The applicant is also responsible for resolving all contractual and administrative issues arising out of procurement undertaken with Section 5311 financial assistance.

Applications for capital equipment shall be subject to local bidding requirements and procedures. Vehicle specifications must be made available to ConnDOT should ConnDOT request such a review prior to bid advertisement. The local project applicant shall maintain procurement records sufficient to detail the history of the procurement in accordance with the requirements of 49 CFR part 18. FTA's "Third Party Contracting Guidelines", FTA Circular 4220.1F [http://www.fta.dot.gov/laws/circulars/leg\\_reg\\_8641.html](http://www.fta.dot.gov/laws/circulars/leg_reg_8641.html) shall be followed for third party contracts.

To assist subrecipients in the location of circulars, laws and regulations, ConnDOT has developed an Appendix listing all federal and state documents referred to in the service agreement. This Appendix has been made available to all Section 5311 subrecipients. Since some of the documents are voluminous, the Appendix contains the hyperlinks with the Internet addresses where these documents can be located and/or copied. By accessing federal and state laws and regulations directly through the Internet, subrecipients will be able to keep abreast of any and all changes as they occur.

To ensure that subrecipients comply with procurement requirements when procuring goods and services with Section 5311 federal funds, ConnDOT will:

1. Require Section 5311 subrecipients to have a written procedure for the procurement of goods and services that complies with federal and state regulations. The procedure should be reviewed and approved by their board of directors.
2. Request Section 5311 subrecipients to submit a copy of their procedure for ConnDOT's review and approval.
3. At site visits, review procurement documentation for goods and services, including pre-award and post-award delivery reviews, bus testing, Buy America requirements etc., as may be necessary.

To ensure that all federally required clauses are included in subrecipient agreements and the service agreement, ConnDOT will:

1. Prepare a list of all federally required clauses.
2. Include in the subrecipient agreement, a clause requiring the subrecipient to include all federally required clauses in all agreements with subcontractors and subrecipient service providers.

3. Include in the ConnDOT subrecipient agreement, a clause requiring the subrecipient to include in their bid documents and/or their Request for Proposals (RFP), a list of all federally required clauses the successful bidder must comply with, and a list of all certifications and assurances the successful bidder must sign.
4. Request and review a copy of the Bid and/or RFP for ConnDOT approval prior to release of any public notice.
5. Request and review copy of any agreement with subcontractors for ConnDOT approval prior to signature.
6. Forward a letter to subrecipients requesting that subrecipients sign and date all required certifications and assurances.
7. Prepare findings report.
8. Forward a letter of compliance or non-compliance to subrecipient, including if necessary, the requirement that they prepare a plan of action that includes a time frame necessary to bring itself into compliance.
9. Request and review, approve and/or reject, an updated agreement, if necessary.
10. Conduct a follow-up visit, if necessary.

#### 19.2 | Property Management/Disposition

All property acquired under the Section 5311 program shall be utilized and disposed of in accordance with FTA Circular 9040.1F.

Title to all property shall be vested in the name of the project applicant except in those instances where ConnDOT, acting on its own behalf or on behalf of the project applicant, institutes and carries out the bidding process and advertisement for equipment. The final determination as to the vesting of property shall rest with ConnDOT.

The project applicant shall fully utilize the capital equipment for the duration of the useful life of the capital equipment with all practical dispatch in a sound, economical, and efficient manner. "Useful life" shall generally mean, in regard to vans, four (4) years or 100,000 miles; in regard to small buses, five (5) years or 125,000 miles; in regard to large buses, a minimum of seven (7) years or 200,000 miles.

The project applicant may dispose of equipment at the end of its useful life after notifying and receiving disposition approval from ConnDOT. At ConnDOT's discretion, proceeds from the disposition of equipment may be applied toward the cost of replacement equipment and/or applied toward the reduction of operating expenses.

### 19.3 | Construction or Renovation of Facilities

Construction or renovation (rehabilitation) of project facilities may be necessary to provide for an efficient and coordinated rural public transportation system. The costs of construction or rehabilitation of rural public transportation facilities are an eligible capital expense. Included in these costs are advance planning, land acquisition, architectural/engineering services, design, and construction.

ConnDOT will work with the project applicant during each phase of project review. The provision of technical and management assistance will ensure a timely progression of the project in accordance with federal and state regulations.

Facilities constructed or renovated with Section 5311 funds shall be the property of the project applicant as long as the facility is used for public transportation purposes. If, for any reason, the facility is no longer needed for purposes of public transportation services in non-urbanized areas, the provisions of 49 CFR Part 18, pertaining to the disposition of real property, shall apply.

To ensure that Section 5311 subrecipients maintain federally funded facilities in good operating order, ConnDOT will, during annual site visits:

1. Request and review list of all facility maintenance plans from subrecipients.
2. Perform a checklist review (i.e. physical condition of facility, compliance with environmental and OSHA regulations etc.).
3. Prepare a report of findings.
4. Forward letter to the subrecipient containing the results of the visit, listing all findings (items that were found in compliance and in non-compliance, including a proposed date of compliance).
5. If necessary, request updated project description forms (re: facility improvement etc.) to incorporate into the capital plan.
6. Schedule a follow-up visit, if necessary.

To ensure that real property funded with Section 5311 assistance continues to be used for program purposes, ConnDOT will conduct site visits of each subrecipient on an annual basis. At these visits, ConnDOT will:

1. Request and review a list of all real property lease agreements between subrecipients and subcontractors and perform a checklist review.
2. Prepare a report of findings.
3. Forward a letter of compliance or non-compliance to subrecipient.

4. Conduct a follow-up visit, if necessary.

#### 19.4 | Accounting System

The project applicant shall maintain books and records in accordance with the applicable section of the FTA Industry Uniform System of Accounts and Records and Reporting Systems and in accordance with sound accounting principles consistently applied.

#### 19.5 | Project Monitoring

ConnDOT requires each Section 5311 subrecipient to provide, by the 20th of each month, a report of operating statistics for the previous month's operations. This report shall include:

1. Total expenses, revenue and deficit with a breakdown of operating and administrative results.
2. Ridership data.
3. Vehicle hours in service.
4. Vehicle miles in service

This data will be used to help evaluate current operations and future grant requests. ConnDOT is working cooperatively with Section 5311 subrecipients to find additional, and/or modify existing, service criteria that will best reflect transit efficiencies. Monthly operating reports are collected from transit agencies to track productivity and cost-effectiveness.

Quarterly transit meetings will be held with all transit agencies. In addition, ConnDOT will make periodic field reviews of each project and will require that the project applicant make every effort to survey its riders to ensure that the service is meeting its area's needs. Surveys should be conducted at least once every three years, but more frequent surveys are encouraged.

#### 19.6 | Audit/Close-Out

The project applicant shall within one hundred eighty (180) days of the completion of each full fiscal year, have prepared and delivered to ConnDOT three (3) copies of an audit performed by an independent Certified Public Accountant as defined by Chapter 389 of the Connecticut General Statutes. This audit shall be performed in accordance with OMB Circular A-133 and shall contain:

1. Balance sheet.
2. Statement of revenue, expenditures, and changes in fund balances.
3. Statement of changes in financial position.

4. Schedule of questioned costs.

Additionally, the project applicant shall prepare and submit along with the audit, supplementary schedules as depicted in their agreement with ConnDOT.

A project will be closed out with FTA immediately after all work activities for the program of projects are completed and upon review and acceptance of the audit by ConnDOT. A Final Financial Status Report (SF 269A or similar) and a final budget and revised program of projects will be submitted to FTA at the time of closeout.

Please refer to CHAPTER 18.0 REPORTING REQUIREMENTS, Section 18.3 Annual Audits for additional information.

19.7 | Reporting Requirements for ConnDOT

ConnDOT is required to provide FTA with a brief narrative report containing information on transit operations, the number and type of vehicles purchased, the status and type of major construction projects and any other significant data relative to the Section 5311 program. This is done on an annual basis to cover the Federal Fiscal Year October 1 through September 30.

CHAPTER 20.0 | TRANSIT SYSTEM AUDIT

20.1 | Background

During a combined State Management and Triennial Review conducted every three (3) years by the Federal Transit Administration (FTA), FTA evaluates the Connecticut Department of Transportation's (ConnDOT) administration of the "Nonurbanized Area Formula Program Guidance and Grant Application Instructions," Section 5311. In its oversight of those subrecipients who receive federal assistance under this program, ConnDOT acting as the grantee is required to ensure that subrecipients comply with the federal requirements depicted in FTA Circular 9040.1F dated April 1, 2007.

20.2 | Scope of Work

ConnDOT has addressed this area by developing a transit system audit of all Section 5311 subrecipients. The scope of work to be performed will include an evaluation of the subrecipient's procedures verifying that contractual agreements are implemented and adhered to in accordance with FTA rules and regulations. Below is a list of procedures which will be performed;

1. Review administrative and operational procedures used by each subrecipient,
2. Check maintenance records for vehicle upkeep,
3. Visit subrecipient's office, garage and/or maintenance facility,
4. Inspect the vehicles awarded and/or funded by the program, and
5. Ride the transit service(s).

20.3 | Questionnaire/Areas Reviewed

ConnDOT has developed a questionnaire (refer to Appendix E - Transit System Audit Questionnaire) to be provided to each Section 5311 subrecipient to complete during the audit review. The responses provided by the subrecipient to this questionnaire will assist ConnDOT in its evaluation of the subrecipient's administrative procedures pertaining to the following areas of the Section 5311 program;

1. Program Management/Administrative Requirements,
2. Intercity Bus Transportation,
3. Rural Transit Assistance Program (RTAP),
4. Procurement and Third Party Contracting,
5. Vehicle Use/Maintenance,
6. Civil Rights,
7. Americans with Disabilities Act (ADA),
8. Charter Service,
9. School Bus Service,
10. Drug and Alcohol Testing Program,

11. Marketing,
12. Bus Ride(s), and
13. Bus Schedule(s).

ConnDOT has developed this questionnaire and list of areas to be reviewed in its efforts to perform a transit system audit of all Section 5311 subrecipients and as necessary, will modify this questionnaire and/or list of areas to be reviewed in order to ensure subrecipient's compliance with State regulations and FTA requirements under the Section 5311 program.

#### 20.4 | Reports

ConnDOT will prepare and complete 'Transit System Audit' Reports which will be issued to subrecipients indicating those deficient areas requiring the subrecipient to submit an appropriate corrective action plan in order to bring the subrecipient into compliance.

ConnDOT will continually improve upon future triennial transit system audits by:

1. Notifying Section 5311 subrecipients of program changes; and
2. Coordinating with and seeking input from Section 5311 subrecipients to better provide technical assistance and guidance.

CHAPTER 21.0 | OTHER PROVISIONS

This chapter describes some of the more significant federal requirements that apply to the Section 5311 program. Both the State and subrecipients must comply with federal requirements to the extent those requirements apply to the various activities the State or subrecipients undertake.

21.1 | Employee Protection Provisions of Section 5333(b)

Each project will contractually assure compliance with the provisions of Section 5333(b) of the Federal Transit Act. The subrecipient should indicate that the project will be carried out in such a manner and upon such terms and conditions as will not adversely affect employees of the Section 5311 grant applicant and of any other surface public transportation provider in the service area of the project. The Department of Labor (DOL) is responsible under federal law for the administration of Section 5333(b).

Each local recipient of Section 5311 funding must agree in writing to the standard Section 5333(b) warranty for Section 5311 and must supply to ConnDOT an up-to-date listing of all existing transportation providers in their transportation service area, and any labor organizations representing the employees of such providers.

ConnDOT will certify to the Department of Labor (DOL) that each recipient has agreed in writing to the warranty. The State must make this certification to DOL for each Category A subrecipient prior to FTA grant approval and for all other subrecipients prior to moving their projects to Category A. ConnDOT will also provide to DOL an up-to-date listing of all existing transportation providers which are eligible recipients of transportation assistance funded by the project and any labor organizations representing the employees of such providers. This listing is updated annually when preparing the application for FTA Section 5311 funds.

21.2 | Environmental Protection

1. Section 5311 projects must comply with the joint FHWA/FTA guidelines on protection of the environment titled "Environmental Impact and Related Procedures" (23 CFR §771).
2. The regulation categorized projects in three classes according to degree of environmental impact:
  - a. Class I projects have a significant effect on the environment and, therefore, require the preparation of an Environmental Impact Statement (EIS).
  - b. Class II projects do not normally have a significant environmental impact and as such are "categorically excluded" from the requirement to prepare further environmental assessment or impact studies.
  - c. Class III projects are those where the significance of the environmental impact cannot readily be determined and require a brief Environmental Assessment.

Most transit funded under Section 5311 will be classed as categorical exclusions (CEs). Larger construction projects or projects in sensitive areas may require the preparation of an environmental assessment (EA).

All potential projects will be screened by ConnDOT to make an initial determination as to which projects meet the criteria for categorical exclusions and which may require additional documentation. Any other related environmental laws and directives, which may apply to Section 5311 projects, will be coordinated with the FTA.

### 21.3 | Buy America Provisions

Section 5323(j) provides that, with exceptions, federal funds may not be obligated for mass transportation projects unless steel, iron, and manufactured products used in such projects are produced in the United States. Section 5311 recipients must conform with the FTA regulations, 49 CFR part 661, and any amendments thereto. Buy America requirements apply to all purchases, including materials or supplies funded as operating costs, if the purchase exceeds the threshold for small purchases (currently \$ 100,000). Requests for Buy America waivers must be submitted to FTA for approval. There are four exceptions to the basic requirement which may be the basis for a waiver:

1. The requirement will not apply if its application is not in the public interest.
2. The requirement will not apply if materials and products being procured are not produced in the United States in sufficient and reasonably available quantities and of a satisfactory quality.
3. The requirement will not apply in a case involving the procurement of buses and other rolling stock (including train control, communication and traction power equipment) if the cost of components and subcomponents which are produced in the United States is more than 60 percent of the cost of all components and subcomponents of the vehicles or equipment, and if final assembly takes place in the United States. The meaning of final assembly is further described in the FTA Guidance on Buy America Requirements, dated March 18, 1997, which applies to all buses purchased with FTA funds.
4. The requirement will not apply if the inclusion of domestic material will increase the overall project contract by more than twenty-five percent (25%). Buy America waivers under the non-availability, price differential, and public interest exceptions require FTA approval but the waiver for rolling stock meeting the domestic content and final assembly requirements does not. FTA has issued a general waiver for selected items, including all purchases under the federal small purchase threshold, currently \$100,000.

### 21.4 | Pre-Award and Post-Delivery Reviews

Procurements for vehicles, other than sedans or unmodified vans, must be audited in accordance with FTA regulation, "Pre-Award and Post-Delivery Audits of Rolling Stock Purchases," 49 CFR part 663. Additional guidance is available in a manual, "Conducting

Pre-Award and Post-Delivery Reviews for Bus Procurements,” published May 1, 1995. The regulation requires any recipient that purchases rolling stock for use in revenue service with funds obligated after October 24, 1991, will be conducted to ensure compliance with bid specifications, Buy America and Federal Motor Vehicle Safety requirements. Purchase of more than ten vehicles, other than unmodified vans or sedans, requires in-plant inspection. In the case of consolidated state procurements on behalf of multiple recipients, the in-plant inspection requirement is triggered only if any single recipient will receive more than ten of the vehicles.

#### 21.5 | Prohibition of Exclusive School Transportation

Section 5323(f) prohibits the use of FTA funds for exclusive school bus transportation for school students and school personnel. The implementing regulation (49 CFR part 605) does permit regular service to be modified to accommodate school students along with the general public. For the purpose of FTA’s school bus regulation, Headstart is a social service, not a school program. FTA recipients may operate vehicles, which meet the safety requirements for school transportation, but may not provide exclusive school service.

#### 21.6 | Drug and Alcohol Testing

Section 5311 subrecipients will be required to comply with regulations issued by the Federal Transit Administration on drug and alcohol testing, 49 CFR part 655. Among other requirements, these regulations require that all safety sensitive employees be tested for drug and alcohol use pre-employment (drug only), randomly, and post accident, that certifications be made, and that reports be submitted. There are limited exceptions to the testing requirements for contract maintenance workers under Section 5311 and for volunteers. The rule requires annual reporting of the results of testing on Management Information System (MIS) forms. Subrecipients submit the MIS forms to the State, which transmits them to FTA.

Direct grantees must comply with the Drug Free Workplace Act of 1988 (41 U.S.C. § 701 et. seq.) and 49 CFR part 32. The requirements, including a drug-free workplace certification, apply only to the States as FTA’s direct grantees, not to subrecipients.

#### 21.7 | New Model Bus Testing

Any new bus models must be tested at the FTA sponsored test facility in Altoona, PA, before FTA funds can be expended to purchase them (49 CFR part 665). This requirement applies to all buses and modified vans, but not to unmodified vans, including vans with raised roofs or lifts installed in strict conformance with the original equipment manufacturer modification guidelines.

A new model is defined as one that has not been used in mass transportation service in the United States before October 1, 1988, or that has been used in such service but which, after September 30, 1988, is being produced with a major change in configuration or components. A major change in "configuration" is defined as a change which may have a significant impact on vehicle handling and stability or structural integrity. A major change in "components" is defined as a change in one or more of the

vehicle's major components such as the engine, transmission, suspension, axle, or steering.

Purchasers of new model buses should ensure that the manufacturer has complied with the testing requirement by requesting a copy of the bus testing report, from the Altoona Bus Testing Center [www.altoonabustest.com](http://www.altoonabustest.com) Before expending any FTA funds for a new model bus, the purchaser must certify that it has obtained the report. Information in the reports may be useful to operators early in the vehicle procurement process, for example, when writing specifications.

## 21.8 | Debarment and Suspension

ConnDOT and Section 5311 Subrecipients must ensure that federal assistance funds are not provided to anyone who has been debarred, suspended, ineligible, or voluntarily excluded from participation in federally-assisted transactions. U.S. DOT regulations require that disclosure of the status of persons and entities participating in:

- (1) Subrecipients contracts and third party contracts of \$25,000 or more at any tier;
- (2) Subrecipients contracts of any amount for federally-required audit services (such as those required under the Single Audit Act Amendments); and
- (3) Subrecipients and third party contracts requiring official DOT approval.

Subrecipients and third party contractors of any tier are expected to assure the status of persons participating therein.

- (1) The awarding party must verify that the person is not excluded or disqualified by:
  - (a) Checking the Excluded Parties List System (EPLS) maintained by the U.S. General Services Administration (GSA) and available at [www.epls.gov](http://www.epls.gov)
  - (b) Collecting a certification from the prospective awardee; or
  - (c) Adding a clause or condition to the Subrecipient or third party contract with that awardee.

In addition, ConnDOT and Subrecipients participating in lower tier transactions are required to extend these requirements to their awardees.

- (1) The prospective awardee in turn must notify ConnDOT or Subrecipient (person at the next higher tier) if it knows whether or not it or any of its principals is presently excluded or disqualified under these regulations.

## 21.9 | Safety

Under Section 5329, FTA may withhold further financial assistance from any grantee who fails to correct any condition which FTA believes "creates a serious hazard of death or

injury." FTA's authority to investigate and make findings in certain safety-related areas is permissive, not mandatory.

#### 21.10 | Commercial Drivers License (CDL)

Effective April 1, 1992, all drivers of vehicles designed to transport more than 15 persons (including the driver) must have a Commercial Drivers License (CDL). Mechanics who drive the vehicles must also have a CDL.

#### 21.11 | Restrictions on Lobbying

FTA recipients are prohibited from using federal financial assistance to influence any Member of Congress or an officer or employee of any agency in the connection with the making of any federal contract, grant, or cooperative agreement. ConnDOT and Section 5311 recipients of grants exceeding \$100,000 must sign a certification so stating and must disclose the expenditure of non-federal funds for such purposes (49 CFR part 20). Other Federal Laws also govern lobbying activities. For example, federal funds may not be used for lobbying Congressional representatives or senators indirectly, such as by contributing to a lobbying organization or funding a grass-roots campaign to influence legislation (31 U.S.C § 1352). General advocacy for transit and providing information to legislators about the services a recipient provides in the community are not prohibited, nor is using non-federal funds for lobbying, so long as the required disclosures are made

#### 21.12 | Clean Air Act

1. The Clean Air Act, as amended, establishes many substantive requirements in order to bring air quality regions which violate the national ambient air quality standards into attainment by prescribed dates.
2. The principal requirement that the State and Section 5311 subrecipients must be aware of is the transportation/air quality conformity review process. In general, transportation plans, programs, and projects must be found to "conform" with approved State (air quality) implementation plans before they can be funded by FHWA or FTA. Most of the projects typically funded under Section 5311 have been exempted by regulation from the conformity review process. These include, but are not limited to:
  - a. Operating assistance.
  - b. Purchase and rehabilitation of transit vehicles.
  - c. Operating equipment.
  - d. Construction of most storage and maintenance facilities.

A complete list of exempted highway and transit projects is found in 40 CFR § 93.126. Other types of projects may require detailed air quality analysis (either burden analysis or dispersion modeling) in order to determine whether the project would create a

violation of a standard or make an existing violation worse. While this is not an issue for most Section 5311 projects, it could be for certain large facilities, e.g., transit terminals and park-and-ride facilities.

CHAPTER 22.0 | OTHER FEDERALLY FUNDED PROGRAMS

22.1 | Urbanized Area Formula Assistance (Section 5307) Program

The Section 5307 program provides funding for capital assistance, planning, and operating assistance for public transportation in small urbanized areas with populations less than 200,000. These funds can also be available for capital and planning assistance for public transportation in large urbanized areas with populations over 200,000.

Further information on the Section 5307 program can be found at [www.fta.dot.gov/](http://www.fta.dot.gov/)

22.2 | Capital Investment (Section 5309) Program

The Section 5309 program provides funding for:

1. Fixed guideway modernization in areas with populations over 200,000 with fixed guideway segments at least seven years old,
2. Construction and extension of new fixed guideway systems, and
3. Purchase of bus and bus related equipment and facilities in both urbanized and nonurbanized areas.

Further information on the Section 5309 program can be found at [www.fta.dot.gov/](http://www.fta.dot.gov/)

22.3 | The Elderly Individuals and Individuals with Disabilities (Section 5310) Program

The Section 5310 program makes financial assistance available for capital purchases for transportation services planned, designed, and carried out to meet the special needs of elderly individuals and individuals with disabilities.

Further information on the Section 5310 program can be found at [www.fta.dot.gov/](http://www.fta.dot.gov/)

22.4 | Job Access and Reverse Commute (JARC) (Section 5316)

The Section 5316 program supports public transportation projects that:

1. Develop and maintain transportation services for welfare recipients and eligible low-income people to and from jobs and activities related to their employment, and
2. Transports residents of urbanized areas and other than urbanized areas to suburban employment opportunities (reverse commute).

Further information on the Section 5316 program can be found at [www.fta.dot.gov/](http://www.fta.dot.gov/)

## 22.5 | New Freedom (Section 5317) Program

The Section 5317 is a new program added by SAFETEA-LU. It provides new public transportation services and public transportation alternatives beyond those required by the ADA to assist individuals with disabilities with transportation, including transportation to and from jobs and employment support services.

Further information on the Section 5317 program can be found at [www.fta.dot.gov/](http://www.fta.dot.gov/)

APPENDIX A - SUBRECIPIENT GRANT APPLICATION FORMAT AND CONTENTS

1. PROJECT DESCRIPTION

- a. Description of Applicant Organization - Give a brief description of your organization, including its fiscal, managerial, and legal capabilities.
  1. Organization (include an organizational chart).
  2. Jurisdiction.
  3. Legal and Fiscal Capabilities.
- b. Description of Services - Give a description of all the transportation services your organization provides including fare structure and service hours.
  1. Transportation Services.
  2. Fares.
  3. Operating Statistics.
  4. Vehicle Fleet.
- c. Description of Service Area
- d. Justification
- e. Three Year Budget (example: sfy2001 to sfy 2003)
  1. For each transit service type, submit a detailed (line item) budget for each fiscal year. Outline expenses, anticipated revenues (all sources - fares, Title III, etc.), operating deficit, and sources of deficit financing (federal, state, local). Break down local contributions (cash and in-kind). Include exhibits as necessary documenting in-kind contributions.
  2. Include a Federal Assistance Form 424 for each state fiscal year (copy attached).
  3. For capital procurements, include your last approved project description sheets ensuring they are updated according to the latest State Capital Plan. Include a vehicle replacement schedule for the 3-year period.
- f. Coordination - Describe current efforts to coordinate the system with other transportation providers and users, including social service agencies capable of purchasing service. Coordination activities shall include "good faith efforts" to notify all providers in the service area of the proposed project and should allow

those providers the opportunity to participate to the maximum extent feasible. Coordination efforts should be documented in the application.

- g. Public Involvement - Detail the extent of public involvement in preparing the application as governed by FTA Circular 9040.1F, Chapter X – Other Provisions, Page X-2, Section 4. Public Hearing Requirements; 49 U.S.C. 5323(b), and 23 CFR Section 1410.212. (Copies of these sections are attached).
  - h. Private Enterprise Involvement - Describe the existing private mass transportation companies in the service area to be covered by the project. If the project to be funded by Section 5311 provides service in competition with, or supplementary to, service provided by an existing mass transportation company, the description must outline how the financially assisted service is essential and how the recipient, to the maximum extent feasible, provides for the participation of the private mass transportation companies. This description should include efforts made to include private transportation providers and other forms of private enterprise in the mass transit program. A list of names and addresses of other surface transportation providers in the project service area, along with the name of any labor organization representing employees of the provider, must be included.
- 2. MARKETING - To consider your application, it must be demonstrated that the service has been marketed as a public transportation service. Such marketing may include but is not limited to schedules, newspaper ads, radio spots, notices at area town offices, etc.
  - 3. AUTHORIZING RESOLUTION - Statement from the Board of Directors authorizing the Chairman (or other designated signatory) to file an application on behalf of the organization.
  - 4. OPINION OF COUNCIL - This establishes the legal eligibility of your organization: a) To apply for and receive a federal grant. b) To execute the project. It should contain a certification by an attorney that there is no pending or threatened litigation or other action which might adversely affect the execution of the proposed project and that there is no legal impediment to the responsible official making application for assistance.

**§ 5323. General provisions on assistance**

**(a) Interests in Property. -**

**(1) In general. -** Financial assistance provided under this chapter to a State or a local governmental authority may be used to acquire an interest in, or to buy property of, a private company engaged in public transportation, for a capital project for property acquired from a private company engaged in public transportation after July 9, 1964, or to operate a public transportation facility or equipment in competition with, or in addition to, transportation service provided by an existing public transportation company, only if -

**(A)** the Secretary determines that such financial assistance is essential to a program of projects required under sections 5303, 5304, and 5306;

**(B)** the Secretary determines that the program provides for the participation of private companies engaged in public transportation to the maximum extent feasible; and

**(C)** just compensation under State or local law will be paid to the company for its franchise or property.

**(2) Limitation.-** A governmental authority may not use financial assistance of the United States Government to acquire land, equipment, or a facility used in public transportation from another governmental authority in the same geographic area.

**(b) Notice and Public Hearing.-**

**(1) In general.-** For a capital project that will substantially affect a community, or the public transportation service of a community, an applicant shall -

**(A)** provide an adequate opportunity for public review and comment on the project;

**(B)** after providing notice, hold a public hearing on the project if the project affects significant economic, social, or environmental interests;

**(C)** consider the economic, social, and environmental effects of the project; and

**(D)** find that the project is consistent with official plans for developing the community.

**(2) Notice.—** Notice of a hearing under this subsection -

**(A)** shall include a concise description of the proposed project; and

**(B)** shall be published in a newspaper of general circulation in the geographic area the project will serve.

**(3) Application requirements.-** An application for a grant under this chapter for a capital project described in paragraph (1) shall include -

**(A)** a certification that the applicant has complied with the requirements of this subsection; and

**(B)** in the environmental record for the project, evidence that the applicant has complied with the requirements of this subsection.

**(c) Fares not Required.-** This chapter does not require that elderly individuals and individuals with disabilities be charged a fare.

**(d) Condition on Charter Bus Transportation Service.-**

**(1) Agreements.-** Financial assistance under this chapter may be used to buy or operate a bus only if the applicant, governmental authority, or publicly owned operator that receives the assistance agrees that, except as provided in the agreement, the governmental authority or an operator of public transportation for the governmental authority will not provide charter bus transportation service outside the urban area in which it provides regularly scheduled public transportation service. An agreement shall provide for a fair arrangement the Secretary of Transportation considers appropriate to ensure that the assistance will not enable a governmental authority or an operator for a governmental authority to foreclose a private operator from providing intercity charter bus service if the private operator can provide the service.

**(2) Violations.-**

**(A) Investigations.-** On receiving a complaint about a violation of the agreement required under paragraph (1), the Secretary shall investigate and decide whether a violation has occurred.

**(B) Enforcement of agreements.-** If the Secretary decides that a violation has occurred, the Secretary shall correct the violation under terms of the agreement.

**(C) Additional remedies.-** In addition to any remedy specified in the agreement, the Secretary shall bar a recipient or an operator from receiving Federal transit assistance in an amount the Secretary considers appropriate if the Secretary finds a pattern of violations of the agreement.

**(e) Bond Proceeds Eligible for Local Share.-**

**(1) Use as local matching funds.-** Notwithstanding any other provision of law, a recipient of assistance under section 5307 or 5309 may use the proceeds from the issuance of revenue bonds as part of the local matching funds for a capital project.

**(2) Maintenance of effort.-** The Secretary shall approve of the use of the proceeds from the issuance of revenue bonds for the remainder of the net project cost only if the Secretary finds that the aggregate amount of financial support for public transportation in the urbanized area provided by the State and affected local governmental authorities during the next 3 fiscal years, as programmed in the State transportation improvement program under section 5304, is not less than the aggregate amount provided by the State and affected local governmental authorities in the urbanized area during the preceding 3 fiscal years.

**(3) Debt service reserve.-** The Secretary may reimburse an eligible recipient for deposits of bond proceeds in a debt service reserve that the recipient establishes pursuant to section 5302 (a)(1)(K) from amounts made available to the recipient under section 5309.

**(4) Pilot program for urbanized areas.-**

**(A) In general.-** The Secretary shall establish a pilot program to reimburse not to exceed 10 eligible recipients for deposits of bond proceeds in a debt service reserve that the recipient establishes pursuant to section 5302 (a)(1)(K) from amounts made available to the recipient under section 5307.

**(B) Report.-** Not later than July 31, 2008, the Secretary shall submit to the Committee on Banking, Housing, and Urban Affairs of the Senate and the Committee on Transportation and Infrastructure of the House of Representatives a report on the status and effectiveness of the pilot program established under subparagraph (A).

**(f) Schoolbus Transportation.-**

**(1) Agreements.-** Financial assistance under this chapter may be used for a capital project, or to operate public transportation equipment or a public transportation facility, only if the applicant agrees not to provide schoolbus transportation that exclusively transports students and school personnel in competition with a private schoolbus operator. This subsection does not apply -

**(A)** to an applicant that operates a school system in the area to be served and a separate and exclusive schoolbus program for the school system;

**(B)** unless a private schoolbus operator can provide adequate transportation that complies with applicable safety standards at reasonable rates; and

**(C)** to a State or local governmental authority if it or a direct predecessor in interest from which it acquired the duty of transporting school children and personnel, and facilities to transport them, provided schoolbus transportation at any time after November 25, 1973, but before November 26, 1974.

**(2) Violations.-** If the Secretary finds that an applicant, governmental authority, or publicly owned operator has violated the agreement required under paragraph (1), the Secretary shall bar a recipient or an operator from receiving Federal transit assistance in an amount the Secretary considers appropriate.

**(g) Buying Buses Under Other Laws.-** Subsections (d) and (f) of this section apply to financial assistance to buy a bus under sections 133 and 142 of title 23. However, subsection (f)(1)(C) of this section applies to sections 133 and 142 only if schoolbus transportation was provided at any time after August 12, 1972, but before August 13, 1973.

**(h) Grant and Loan Prohibitions.-** A grant or loan may not be used to -

**(1)** pay ordinary governmental or nonproject operating expenses; or

**(2)** support a procurement that uses an exclusionary or discriminatory specification.

**(i) Government's Share of Costs for Certain Projects.-**

**(1) Equipment for ada and clean air act compliance.-** A grant for a project to be assisted under this chapter that involves acquiring vehicle-related equipment or facilities required by the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) or vehicle-related equipment or facilities (including clean fuel or alternative fuel vehicle-related equipment or facilities) for purposes of complying with or maintaining compliance with the Clean Air Act, is for 90 percent of the net project cost of such equipment or facilities attributable to compliance with those Acts. The Secretary shall have discretion to determine, through practicable administrative procedures, the costs of such equipment or facilities attributable to compliance with those Acts.

**(2) Certain state owned railroads.-** The Government share for financial assistance under this chapter to a State-owned railroad (as defined in section 603 of the Rail Safety and Service Improvement Act of 1982 (45 U.S.C. 1202)) shall be the same as the Government share under section 120 (b) of title 23 for Federal-aid highway funds apportioned to the State in which the railroad operates.

**(j) Buy America.-**

**(1)** The Secretary of Transportation may obligate an amount that may be appropriated to carry out this chapter for a project only if the steel, iron, and manufactured goods used in the project are produced in the United States.

**(2)** The Secretary of Transportation may waive paragraph (1) of this subsection if the Secretary finds that -

**(A)** applying paragraph (1) would be inconsistent with the public interest;

**(B)** the steel, iron, and goods produced in the United States are not produced in a sufficient and reasonably available amount or are not of a satisfactory quality;

**(C)** when procuring rolling stock (including train control, communication, and traction power equipment) under this chapter -

**(i)** the cost of components and subcomponents produced in the United States is more than 60 percent of the cost of all components of the rolling stock; and

**(ii)** final assembly of the rolling stock has occurred in the United States; or

**(D)** including domestic material will increase the cost of the overall project by more than 25 percent.

**(3) Written justification for public interest waiver.-** When issuing a waiver based on a public interest determination under paragraph (2)(A), the Secretary shall issue a detailed written justification as to why the waiver is in the public interest. The Secretary shall publish such justification in the Federal Register and provide the public with a reasonable period of time for notice and comment.

**(4)** In this subsection, labor costs involved in final assembly are not included in calculating the cost of components.

**(5)** The Secretary of Transportation may not make a waiver under paragraph (2) of this subsection for goods produced in a foreign country if the Secretary, in consultation with the United States Trade Representative, decides that the government of that foreign country -

**(A)** has an agreement with the United States Government under which the Secretary has waived the requirement of this subsection; and

**(B)** has violated the agreement by discriminating against goods to which this subsection applies that are produced in the United States and to which the agreement applies.

**(6)** A person is ineligible under subpart 9.4 of chapter 1 of title 48, Code of Federal Regulations, to receive a contract or subcontract made with amounts authorized under the Federal Public Transportation Act of 2005 if a court or department, agency, or instrumentality of the Government decides the person intentionally-

**(A)** affixed a "Made in America" label, or a label with an inscription having the same meaning, to goods sold in or shipped to the United States that are used in a project to which this subsection applies but not produced in the United States; or

**(B)** represented that goods described in clause (A) of this paragraph were produced in the United States.

**(7)** The Secretary of Transportation may not impose any limitation on assistance provided under this chapter that restricts a State from imposing more stringent requirements than this subsection on the use of articles, materials, and supplies mined, produced, or manufactured in foreign countries in projects carried out with that assistance or restricts a recipient of that assistance from complying with those State-imposed requirements.

**(8) Opportunity to correct inadvertent error.-** The Secretary may allow a manufacturer or supplier of steel, iron, or manufactured goods to correct after bid opening any certification of noncompliance or failure to properly complete the certification (but not including failure to sign the certification) under this subsection if such manufacturer or supplier attests under penalty of perjury that such manufacturer or supplier submitted an incorrect certification as a result of an inadvertent or clerical error. The burden of establishing inadvertent or clerical error is on the manufacturer or supplier.

**(9) Administrative review.-** A party adversely affected by an agency action under this subsection shall have the right to seek review under section 702 of title 5.

**(k) Participation of Governmental Agencies in Design and Delivery of Transportation Services.-** To the extent feasible, governmental agencies and nonprofit organizations that receive assistance from Government sources (other than the Department of Transportation) for nonemergency transportation services -

**(1)** shall participate and coordinate with recipients of assistance under this chapter in the design and delivery of transportation services; and

**(2)** shall be included in the planning for those services.

**(l) Relationship to Other Laws.-** Section 1001 of title 18 applies to a certificate, submission, or statement provided under this chapter. The Secretary may terminate financial assistance under this chapter and seek reimbursement directly, or by offsetting amounts, available under this chapter if the Secretary determines that a recipient of such financial assistance has made a false or fraudulent statement or related act in connection with a Federal transit program.

**(m) Preaward and Postdelivery Review of Rolling Stock Purchases.-** The Secretary of Transportation shall prescribe regulations requiring a preaward and postdelivery review of a grant under this chapter to buy rolling stock to ensure compliance with Government motor vehicle safety requirements, subsection (j) of this section, and bid specifications requirements of grant recipients under this chapter. Under this subsection, independent inspections and review are required, and a manufacturer certification is not sufficient. Rolling stock

procurements of 20 vehicles or fewer made for the purpose of serving other than urbanized areas and urbanized areas with populations of 200,000 or fewer shall be subject to the same requirements as established for procurements of 10 or fewer buses under the post-delivery purchaser's requirements certification process under section 663.37(c) of title 49, Code of Federal Regulations.

**(n) Submission of Certifications.-** A certification required under this chapter and any additional certification or assurance required by law or regulation to be submitted to the Secretary may be consolidated into a single document to be submitted annually as part of a grant application under this chapter. The Secretary shall publish annually a list of all certifications required under this chapter with the publication required under section 5336 (d)(2).

**(o) Grant Requirements.-** The grant requirements under sections 5307 and 5309 apply to any project under this chapter that receives any assistance or other financing under chapter 6 (other than section 609) of title 23.

**(p) Alternative Fueling Facilities.-** A recipient of assistance under this chapter may allow the incidental use of federally funded alternative fueling facilities and equipment by nontransit public entities and private entities if -

- (1)** the incidental use does not interfere with the recipient's public transportation operations;
- (2)** all costs related to the incidental use are fully recaptured by the recipient from the nontransit public entity or private entity;
- (3)** the recipient uses revenues received from the incidental use in excess of costs for planning, capital, and operating expenses that are incurred in providing public transportation; and
- (4)** private entities pay all applicable excise taxes on fuel.

**23 CFR Section 1410.212**

**Federal Register/Vol. 65, No. 102/Thursday, May 25, 2000/Proposed Rules**

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general role afforded the State transportation planning agency in the air quality planning process under 42 U.S.C. 7504 and the desirability of ensuring coordination of the air quality and transportation planning processes. The current wording of paragraph (b) would be retained as Sec. 1410.210(e) with the addition of "safety concerns" to the list of issues to be coordinated.

**Section 1410.212 Participation by Interested Parties**

Current Sec. 450.212 would be redesignated as Sec. 1410.212. Overall, current Sec. 450.212 (public involvement) would be broadened to focus on all facets of participation in the statewide planning process. For example, the newly articulated provisions regarding consultation with non-metropolitan officials would be added to this section. In addition, the paragraphs would be redesignated.

Current Secs. 450.212(a) through (f) would become Sec. 1410.212(b) and be revised slightly to reflect increased emphasis for public involvement by minorities and low-income populations. The listing of interested parties to be afforded an opportunity to comment is revised to reflect the addition of transit users and freight service providers in statute. This listing reflects the wording of the statute. The FHWA and the FTA believe that the phrase "and other interested parties" reflects the intent of Congress to ensure that all citizens and groups are afforded an opportunity to participate. Comments are solicited as to whether there is a need to further elaborate the listing so as to demonstrate that the specific groups do not constitute an exclusive list of participants. A new Sec. 1410.212(d) would be added to encourage the participation of state air quality and other agencies in the transportation planning process. The existing Sec. 450.212(g) would become Sec. 1410.212(e).

Section 1410.212(b)(2)(vii) makes provision for a periodic evaluation of its public involvement procedures by the State. The FHWA and the FTA believe that the assessment of such processes on a routine basis ensures their effectiveness and enhances continued improvement. The FHWA and the FTA also believe that the effectiveness of public involvement processes can be strengthened through the voluntary development of criteria on which to assess performance by States and MPOs. Where such criteria have been developed by the planning partners, the FHWA and the FTA will consider them in their certification reviews and planning findings, in addition to the generally applicable requirements for public involvement processes under Sec. 1410.212(b)(2) and Sec. 1410.316(b).

A new Sec. 1410.212(c) focusing on participation by Federal agencies and Indian Tribal Governments would be added to support early involvement by these agencies and governments. Such involvement will facilitate streamlining of environmental decisions and ensure adequate consideration of key interests and viewpoints. The proposed wording for the involvement of Indian Tribal Governments reflects current deliberations within the Executive Branch regarding ways to more fully inform and engage Indian Tribal Governments in Federal decision making processes.

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(c) Development of transportation plans, programs and planning activities shall be coordinated with related planning activities being carried out outside of metropolitan planning areas.

(d) The statewide transportation planning process shall provide a forum for coordinating data collection and analyses to support, planning, programming and project development decisions.

(e) The degree of coordination shall be based on the scale and complexity of many issues including transportation problems, safety concerns, land use, employment, economic, environmental, and housing and community development objectives, and other circumstances statewide or in subareas within the State.

**Sec. 1410.212 Participation by interested parties.**

(a) Non-metropolitan local official participation.

(1) The State shall have a documented process for consultation with local officials in non-metropolitan areas within the continuing, cooperative and comprehensive planning process for development of the statewide transportation plan and the statewide transportation improvement program. The process shall be documented and cooperatively developed by both the State and nonmetropolitan local officials.

(2) The process for participation of nonmetropolitan local officials shall not be reviewed or approved by the FHWA and the FTA. However, local official participation will be among the issues considered by the FHWA and the FTA in making the transportation planning finding called for in Sec. 1410.222(b).

(b) Public involvement.

(1) Public involvement processes shall be open and proactive by providing complete information, timely public notice, full public access to key decisions, and opportunities for early and continuing involvement.

(2) To satisfy these objectives public involvement processes shall provide for:

(i) Early and continuing public involvement opportunities throughout the transportation planning and programming process; and

(ii) Timely information about transportation issues and processes to citizens, affected public agencies, representatives of transportation agency employees, private providers of transportation, freight shippers, providers of freight transportation services, representatives of users of public transit, and other interested parties and segments of the community affected by transportation plans, programs, and projects;

(iii) Reasonable public access to technical and policy information used in the development of the plan and STIP;

(iv) Adequate public notice of public involvement activities and time for public review and comment at key decision points, including, but not limited to, action on the plan and STIP;

(v) A process for demonstrating explicit consideration and response to public input during the planning and program development process, including responses to input received from persons with disabilities and minority, elderly, and low-income populations;

(vi) A process for seeking out and considering the needs of those traditionally under served by existing transportation systems, including, but not limited to, low-income and minority populations which may face challenges accessing employment and other amenities;

(vii) Periodic review of the effectiveness of the public involvement process to ensure that the process provides full and open access to all and revision of the process as necessary, with specific attention to the effectiveness of efforts to engage persons with disabilities, minority individuals, the elderly and low-income populations.

(3) Public involvement activities carried out in a metropolitan area in response to metropolitan planning requirements in Sec. 1410.322(c) or Sec. 1410.324(c) may by agreement of the State and the MPO satisfy the requirements of this section.

(4) During initial development and major revisions of the statewide transportation plan required under Sec. 1410.214, the State shall provide citizens, affected public agencies and jurisdictions, representatives of transportation agency employees, private and public providers of transportation, representatives of users of public transit, freight shippers providers of freight transportation services and other interested parties a reasonable opportunity to comment on the proposed plan. The proposed plan shall be published, with reasonable notification of its availability, or otherwise made readily available for public review and comment. Likewise, the official statewide transportation plan (see Sec. 1410.214(d)) shall be published, with reasonable notification of its availability, or otherwise made readily available for public information.

(5) During development and major revision of the statewide transportation improvement program required under Sec. 1410.216, the Governor shall provide citizens, affected public agencies and jurisdictions, representatives of transportation agency employees, private and public providers of transportation, representatives of users of public transit, freight shippers, providers of freight transportation services and other interested parties, a reasonable opportunity for review and comment on the proposed program. The proposed program shall be published, with reasonable notification of its availability, or otherwise made readily available for public review and comment. The approved program (see Sec. 1410.222(b)) if it differs significantly from the proposed program, shall be published, with reasonable notification of its availability, or otherwise made readily available for public information.

(6) The time provided for public review and comment for minor revisions to the statewide transportation plan or statewide transportation improvement program shall be determined by the State and local officials based on the complexity of the revisions.

(7) The State shall, as appropriate, provide for public comment on existing and proposed procedures for public involvement throughout the statewide transportation planning and

programming process. As a minimum, the State shall publish procedures and allow 45 days for public review and written comment before the procedures and any major revisions to existing procedures are adopted.

(c) Federal agency and other government participation. The transportation planning process shall allow for participation of other governments and agencies, particularly Indian Tribal Governments and Federal lands managing agencies. The process for consulting with Indian Tribal Governments and Federal lands managing agencies shall be cooperatively developed and documented by both the State and the Indian Tribal Government(s) or the respective Federal lands managing agency.

(d) State air quality agency and other state agency participation. The transportation planning process shall allow for participation of the State air quality agency and other state agencies as determined appropriate by the planning process participants.

(e) Participation and the planning finding. The processes for participation of interested parties will be considered by the FHWA and the FTA as they make the planning finding required in Sec. 1410.222(b) to assure that full and

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open access is provided to the decision making process.

APPEMDIX B – SUPPLEMENTARY PROGRAM INFORMATION FORMAT

SUPPLEMENTARY PROGRAM INFORMATION										Agreement #	
Type Your Transit District Name Here											
Final Payment Determination											
June 30, XXXX											
	Fixed Route	ADA	DAR	Access to Jobs	Shuttle	Rural Transit	RTAP	Capital	Capital	General	Total
Enter here the transit service type as it applies to your transit district											
One column per each state project number. >>>>											
Type Combot project numbers here >>>>											
Type budget addenda numbers here >>>>											
Space for additional budget addenda numbers, if needed >>>											
Space for additional budget addenda numbers, if needed >>>											
Type FTA grant numbers here. >>>>											
Space for additional grant numbers, if needed >>>											
Space for additional grant numbers, if needed >>>											
Type the state program identification number here >>>											
Sources of Funds											
I. Maximum Funds Authorized											
FTA - Direct Recipient											0
FTA - Passed Through Combot											0
Combot											0
Local											0
TOTAL	0	0	0	0	0	0	0	0	0	0	0
II. Audited Expenditures											0
III. Distribution of Audited Costs											
FTA - Direct Recipient											0
FTA - Passed Through Combot											0
Combot											0
In-Kind Contributions											0
Local											0
TOTAL	0	0	0	0	0	0	0	0	0	0	0
IV. Combot Responsibility											
FTA - Passed Through Combot	0	0	0	0	0	0	0	0	0	0	0
Combot	0	0	0	0	0	0	0	0	0	0	0
Payments Received											
Due (To) From Combot - June 30, 2006	0	0	0	0	0	0	0	0	0	0	0
Payments Received After June 30, 2006											0
Amount Due (To) From Combot At [Type Date Here]	0	0	0	0	0	0	0	0	0	0	0

CONNECTICUT STATE MANAGEMENT PLAN | SECTION 5311 PROGRAM

SUPPLEMENTARY PROGRAM INFORMATION											Agreement #
Type Your Transit District Name Here Combining Statement of Activities June 30, XXXX											
	Fixed Route	ADA	DAR	Access to Jobs	Shuttle	Rural Transit	RTAP	Capital	Capital	General	Total
Enter here the transit service type as it applies to your transit district One column per each state project number. >>>>> Type ConnoDOT project numbers here >>>>> Type budget addenda numbers here >>>>> Space for additional budget addenda numbers, if needed >>>>> Space for additional budget addenda numbers, if needed >>>>> Type FTA grant numbers here. >>>>> Space for additional grant numbers, if needed >>>>> Space for additional grant numbers, if needed >>>>> Type the state program identification number here >>>>>											
<b>REVENUES</b>											
401 Passenger Fares											0
Auxiliary Transportation Revenues											0
Non-transportation Revenues											0
FTA - passed through ConnoDot											0
FTA - Direct Recipient											0
ConnoDot											0
In-Kind Contributions											0
Cash Contribution											0
Interest											0
Miscellaneous											0
<b>TOTAL REVENUES</b>	0	0	0	0	0	0	0	0	0	0	0
<b>EXPENSES</b>											
501.01 Operators Salaries & Wages											0
501.02 Other Salaries											0
502 Fringe Benefits											0
503 Services											0
504.01 Fuel & Lubricants											0
504.02 Tires and Tubes											0
504.99 Other Materials and Supplies											0
505 Utilities											0
506 Casualty and Liability Cost											0
507 Taxes											0
508 Purchased Transportation											0
509 Miscellaneous Expenses											0
510 Expense Transfers											0
<b>TOTAL EXPENSES</b>	0	0	0	0	0	0	0	0	0	0	0
<b>RECONCILING ITEMS</b>											
511 Interest Expense											0
512 Leases and Rentals											0
513 Depreciation											0
513.13 Amortization of Intangibles											0
514 Purchase Lease Payments											0
515 Related Parties Lease Agreements											0
516 Other Reconciling Items											0
<b>TOTAL RECONCILING ITEMS</b>	0	0	0	0	0	0	0	0	0	0	0
<b>TOTAL SYSTEM EXPENSES</b>	0	0	0	0	0	0	0	0	0	0	0
Excess (deficiency) of revenues over expenses											0
Fund balance, beginning of year											0
Adjustment - Contract funded equipment purchases											0
Fund balance, end of year											0

APPENDIX C – PROPOSED BUDGET FORMAT

Name of Transit Agency: Service Description: Period:	State Project Number: Agreement Number: Budget Addendum Number:	Operations/Maintenance				General Administration		Total		% Increase/ (Decrease)
		SFY XXXX Projected	SFY XXXX Proposed	SFY XXXX Projected	SFY XXXX Proposed	SFY XXXX Projected	SFY XXXX Proposed	SFY XXXX Projected	SFY XXXX Proposed	
<b>Expense Object Class</b>										
501 Labor								\$0.00	\$0.00	
502 Fringe Benefits								\$0.00	\$0.00	
503 Services								\$0.00	\$0.00	
504 Materials and Supplies Consumed								\$0.00	\$0.00	
505 Utilities								\$0.00	\$0.00	
506 Casualty and Liability Costs								\$0.00	\$0.00	
507 Taxes								\$0.00	\$0.00	
508 Purchased Transportation Services								\$0.00	\$0.00	
509 Miscellaneous Expenses								\$0.00	\$0.00	
510 Expense Transfer								\$0.00	\$0.00	
511 Interest Expense								\$0.00	\$0.00	
512 Leases and Rentals								\$0.00	\$0.00	
- Other (please specify)								\$0.00	\$0.00	
- Other (please specify)								\$0.00	\$0.00	
- Other (please specify)								\$0.00	\$0.00	
<b>EXPENSES - TOTAL</b>		\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	
<b>Revenue Category</b>										
401 Passenger Fares for Transit Service										
402 Special Transit Fares										
406 Auxiliary Transportation Revenues										
407 Nontransportation Revenues										
- Other (please specify)										
- Other (please specify)										
- Other (please specify)										
<b>REVENUES - TOTAL</b>								\$0.00	\$0.00	
<b>DEFICIT - TOTAL</b>								\$0.00	\$0.00	
Federal Subsidy								\$0.00	\$0.00	
State Subsidy								\$0.00	\$0.00	
Local Subsidy								\$0.00	\$0.00	
<b>SUBSIDIES - TOTAL</b>								\$0.00	\$0.00	
<b>SERVICE STATISTICS</b>										
Linked Passengers										
Transfers										
Unlinked Passengers										
Miles										
Hours										
Days of Operation										

APPENDIX D – EXPENSE-REVENUE FORMATS

SFY XXXX	Name of Subrecipient							Form No. 305	Page 1 of 4
	Service:				Agreement No.				
					Addenda No.:				
	FEMISSN:				Project No.:				
	Period Ended:				EXPENSES CLASSIFIED BY FUNCTION				
LINE NO.	EXPENSES	OBJECT CLASS	VEHICLE OPERATIONS	VEHICLE MAINTENANCE	NON-VEHICLE MAINTENANCE	GENERAL ADMINISTRATION	TOTAL EXPENSE FOR THE PERIOD		
501		LABOR	010	041	042	160			
01		Operators' Salaries & Wages					0.00		
02		Other Salaries					0.00		
03		<b>Total Labor</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>		
502		FRINGE BENEFITS							
04		FICA					0.00		
05		Pension Plans					0.00		
06		Hospital, Medical & Surgical Plans					0.00		
07		Dental Plans					0.00		
08		Life Insurance Plans					0.00		
09		Short-Term Disability Insurance Plans					0.00		
10		Unemployment Insurance					0.00		
11		Worker's Compensation Insurance					0.00		
12		Sick Leave					0.00		
13		Holiday					0.00		
14		Vacation					0.00		
15		Other Paid Absence					0.00		
16		Uniform & Work Clothing Allowance					0.00		
17		Other					0.00		
18		Fringe Benefits Distribution					0.00		
19		<b>Total Fringe Benefits</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>		
20		<b>Subtotal Carried Forward to Page 2</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>		

SFY XXXX	Name of Subrecipient	Form No. 305			Page 2 of 4	
	Service:	Agreement No.:	0			
		Addenda No.:	0		0	
		Project No.:	0		0	
Period Ended:	EXPENSES CLASSIFIED BY FUNCTION					
LINE NO.	EXPENSES OBJECT CLASS	VEHICLE OPERATIONS	VEHICLE MAINTENANCE	NON-VEHICLE MAINTENANCE	GENERAL ADMINISTRATION	TOTAL EXPENSE FOR THE PERIOD
		010	041	042	160	
01	<b>Subtotal from Page 1</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
503	SERVICES					
02	01 Management Service Fee					0.00
03	02 Advertising Fees					0.00
04	03 Professional & Technical Services					0.00
05	04 Temporary Help					0.00
06	05 Contract Maintenance Service					0.00
07	06 Custodial Services					0.00
08	07 Security Services					0.00
09	99 Other Services					0.00
10	<b>Total Services</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
504	MATERIALS AND SUPPLIES CONSUMED					
11	01 Fuel & Lubricants					0.00
12	02 Tires & Tubes					0.00
13	99 Other Materials and Supplies					0.00
14	<b>Total Materials and Supplies</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
505	UTILITIES					
15	01 Propulsion Power					0.00
16	02 Utilities Other Than Propulsion Power					0.00
17	<b>Total Utilities</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
18	<b>Subtotal Carried Forward to Page 3</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

SFY	XXXX	Name of Subrecipient	VEHICLE OPERATIONS	VEHICLE MAINTENANCE	NON-VEHICLE MAINTENANCE	GENERAL ADMINISTRATION	Form No. 305	Page 3 of 4
		Service:						
				041	042	160		
		Period Ended:						
		EXPENSES CLASSIFIED BY FUNCTION						
		EXPENSES	010	041	042	160		
		<b>Subtotal from Page 2</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	506	CASUALTY & LIABILITY COSTS						
	01	Premiums for Physical Damage Insurance						0.00
	02	Recoveries of Physical Damage Losses						0.00
	03	Premiums for PL & PD Insurance						0.00
	04	Payouts for Uninsured PL & PD Settlements						0.00
	05	Provisions for Uninsured PD & PL Settlements						0.00
	06	Payouts for Insured PL & PD Settlements						0.00
	07	Recoveries of PL & PD Settlements						0.00
	08	Premiums for Other Corporate Insurance						0.00
	09	Other Corporate Losses						0.00
	10	Recoveries of Other Corporate Losses						0.00
	12	<b>Total Casualty &amp; Liability Costs</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	507	TAXES						
	01	Federal Income Tax						0.00
	02	State Income Tax						0.00
	03	Property Tax						0.00
	04	Vehicle Licensing and Registration Fees						0.00
	05	Fuel and Lubricant Taxes						0.00
	06	Electric Power Taxes						0.00
	99	Other Taxes						0.00
		<b>Total Taxes</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	508	PURCHASED TRANSPORTATION SERVICES						0.00
		<b>Subtotal Carried Forward to Page 4</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

CONNECTICUT STATE MANAGEMENT PLAN | SECTION 5311 PROGRAM

SFY XXXX	Name of Subrecipient	Form No. 305			Page 4 of 4	
Service:		Agreement No.:	0			
		Addenda No.:	0		0	
		Project No.:	0		0	
Period Ended:	EXPENSES CLASSIFIED BY FUNCTION					
LINE NO.	OBJECT CLASS	VEHICLE OPERATIONS 010	VEHICLE MAINTENANCE 041	NON-VEHICLE MAINTENANCE 042	GENERAL ADMINISTRATION 160	TOTAL EXPENSE FOR THE PERIOD
01	<b>Subtotal from Page 3</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
509	MISCELLANEOUS EXPENSES					
02	01 Dues and Subscriptions					0.00
03	02 Travel and Meetings					0.00
04	03 Bridge, Tunnel and Highway Tolls					0.00
05	04 Entertainment Expense					0.00
06	05 Charitable Donations					0.00
07	06 Fines and Penalties					0.00
08	07 Bad Debt Expense					0.00
09	08 Advertising/Promotion Media					0.00
10	99 Other Miscellaneous Expense					0.00
11	Total Miscellaneous Expenses				<b>0.00</b>	<b>0.00</b>
510	EXPENSE TRANSFER					
12	01 Function Reclassifications					0.00
13	02 Expense Reclassifications					0.00
14	03 Capitalization of Nonoperating Costs					0.00
	<b>TOTAL EXPENSE TRANSFER</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
15	<b>TOTAL EXPENSES LESS RECONCILING ITEMS</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>
	RECONCILING ITEMS					
16	511 Interest Expense					
17	512 Leases and Rentals					
18	513 Depreciation					
19	513 13 Amortization of Intangibles					
20	514 Purchase Lease Payments					
21	515 Related Parties Lease Payments					
22	516 Other Reconciling Items					
23	Total Reconciling Items					<b>0.00</b>
24	<b>TOTAL EXPENSES FOR PUBLISHED REPORT</b>					<b>0.00</b>

SFY XXXX	Name of Subrecipient		Form No. 301		Page 1 of 1			
	Service:		Agreement No.:	0				
			Addenda No.:	0	0			
			Project No.:	0	0			
<p>Period Ended: EXPENSES CLASSIFIED BY FUNCTION</p>								
LINE NO.	EXPENSES	OBJECT CLASS	VEHICLE OPERATIONS 010	VEHICLE MAINTENANCE 041	NON-VEHICLE MAINTENANCE 042	GENERAL ADMINISTRATION 160	TOTAL EXPENSE FOR THE PERIOD	
501		LABOR						
01		Operators' Salaries & Wages						
02		Other Salaries						
03		FRINGE BENEFITS						
04		SERVICES						
504		MATERIALS & SUPPLIES						
05		Fuel & Lubricants						
06		Tires & Tubes						
07		Other Materials & Supplies						
08		UTILITIES						
09		CASUALTY & LIABILITY COST						
10		TAXES						
11		PURCHASED TRANSPORTATION						
12		MISCELLANEOUS EXPENSE						
13		EXPENSE TRANSFERS						
14		<b>TOTAL SYSTEM EXPENSES</b>						
RECONCILING ITEMS								
15	511	INTEREST EXPENSES						
16	512	LEASES & RENTALS						
17	513	DEPRECIATION						
18	513.13	Amortization of Intangibles						
19	514	PURCHASE LEASE PAYMENTS						
20	515	RELATED PARTIES LEASE AGREEMENT						
21	516	OTHER RECONCILING ITEMS						
22		<b>TOTAL RECONCILING ITEMS</b>						
23		<b>TOTAL EXPENSES FOR PUBLISHED REPORTS</b>						
24	MEMO ITEM: Expenses not allowable for Federal Operating Assistance							

SFY XXXX	Name of Subrecipient	Form No. 201	Page 1 of 1
Service:		Agreement No.: 0	
		Addenda No.: 0	0
		Project No.: 0	0
Period Ended:	REVENUE SUMMARY SCHEDULE		
LINE			TOTAL REVENUES FOR PERIOD
NO.	REVENUE OBJECT CLASS		
01	PASSENGER FARES FOR TRANSIT SERVICE		
02	SPECIAL TRANSIT FARES MANAGED CARE		
03	SCHOOL BUS SERVICE REVENUES		
04	FREIGHT TARIFFS		
05	CHARTER SERVICE REVENUES		
06	AUXILIARY TRANSPORTATION REVENUES		
07	NONTRANSPORTATION REVENUES		
08	TAXES LEVIED DIRECTLY BY TRANSIT SYSTEM		
09	LOCAL CASH GRANTS AND REIMBURSEMENTS		
10	LOCAL SPECIAL FARE ASSISTANCE		
11	STATE CASH GRANTS AND REIMBURSEMENTS		
12	STATE SPECIAL FARE ASSISTANCE		
13	FEDERAL CASH GRANTS AND REIMBURSEMENTS		
14	CONTRIBUTED SERVICES		
15	Less CONTRA ACCOUNT FOR EXPENSES		
16	SUBSIDY FROM OTHER SECTORS OF OPERATIONS		
17		<b>TOTAL REVENUE</b>	<b>0.00</b>
18	MEMO ITEM: REVENUE SUBJECT TO MAINTENANCE OF EFFORT REQUIREMENT		

SFY XXXX	Name of Subrecipient	Agreement No.:	0	Page 1 of 1
Service:		Addenda No.:	0	0
		Project No.:	0	0
Period Ended:	SERVICE STATISTICS			
	LINKED PASSENGERS	TRANSFERS:	TOTAL PASSENGRS:	0.00
	TOTAL MILES			
	TOTAL HOURS			
	DAYS OF OPERATION			

APPENDIX E - TRANSIT SYSTEM AUDIT QUESTIONNAIRE

I. | Program Management/Administrative Requirements

1. How does the subrecipient ensure that its subcontractor(s) or third party contractor(s) comply with applicable Federal and/or State regulations?

SUBRECIPIENT RESPONSE:

2. Please describe the procedure(s) used by the subrecipient in its efforts to implement and complete its annual operating budget(s), (i.e. timetable, subrecipient approval, etc.).

SUBRECIPIENT RESPONSE:

3. Please describe the procedure(s) used by the subrecipient in its efforts to change its rates of fare and/or transit services.

SUBRECIPIENT RESPONSE:

4. Please explain the steps that the subrecipient follows in order to complete and submit its Three (3) Year Section 5311 Grant Application to the Department. (Section 5311 subrecipients only)

SUBRECIPIENT RESPONSE:

5. Please describe the procedure(s) used by the subrecipient in its efforts to implement and complete its annual audit (i.e. hiring of CPA/Audit Firm, submission of audit to ConnDOT, submission due date, request for extension, etc.).

SUBRECIPIENT RESPONSE:

6. Are there any findings and/or reportable conditions stated within the subrecipient's past three (3) fiscal years (2007-2009) audits?

SUBRECIPIENT RESPONSE:

If so, please explain the subrecipient's corrective action plans that addressed these findings.

SUBRECIPIENT RESPONSE:

Also, please provide the status (i.e. open, closed) of each of these issues.

SUBRECIPIENT RESPONSE:

7. Upon completion of the audit does the subrecipient perform its own project financial reconciliations to determine whether any state and/or federal balances may be due to/from the State?

SUBRECIPIENT RESPONSE:

If so, please explain the steps taken by the subrecipient to verify these balances.

SUBRECIPIENT RESPONSE:

II. | Intercity Bus Transportation

1. Is intercity bus service (ICB) available in your transit service region area?

SUBRECIPIENT RESPONSE:

If so, please explain.

SUBRECIPIENT RESPONSE:

2. Does the subrecipient provide any available transit service which makes connections to an ICB service?

SUBRECIPIENT RESPONSE:

If so, please explain.

SUBRECIPIENT RESPONSE:

3. Does the subrecipient believe that ICB service in its service area is adequately being met?

SUBRECIPIENT RESPONSE:

If not, please explain.

SUBRECIPIENT RESPONSE:

III. | Rural Transit Assistance Program (RTAP), (Section 5311 subrecipients only)

1. Is the subrecipient aware of the availability of annual RTAP funding, which is provided to send administrative staff, drivers or maintenance personnel to training events, conferences and seminars?

SUBRECIPIENT RESPONSE:

2. Is the subrecipient aware that additional funding is made available through the RTAP Consortium (Scholarship Program)?

SUBRECIPIENT RESPONSE:

3. Does the subrecipient plan to use any RTAP funds in the near future?

SUBRECIPIENT RESPONSE:

If yes, please explain.

SUBRECIPIENT RESPONSE:

IV. | Procurement and Third Party Contracting

1. Does the subrecipient have a written procedure (policy) in place for its procurement of goods and services, which complies with Federal and State regulations?

SUBRECIPIENT RESPONSE:

2. Does the subrecipient have any third party contract(s) (lease and/or operating) service agreement(s) in place?

SUBRECIPIENT RESPONSE:

If so, please explain.

**SUBRECIPIENT RESPONSE:**

V. | Vehicle Use/Maintenance

1. Does the subrecipient lease any of its vehicles to subcontractors or any other transit organizations?

**SUBRECIPIENT RESPONSE:**

If yes, please explain.

**SUBRECIPIENT RESPONSE:**

2. Does the subrecipient lease any vehicles from another organization?

**SUBRECIPIENT RESPONSE:**

If yes, please explain.

**SUBRECIPIENT RESPONSE:**

3. Does the subrecipient use all of its Section 5307 or Section 5311 funded vehicles for the purpose of providing only rural or urban transit service(s) to the general public in its service area?

**SUBRECIPIENT RESPONSE:**

4. Does the subrecipient have a vehicle preventive maintenance plan in place?

**SUBRECIPIENT RESPONSE:**

5. Does the subrecipient or its subcontractor(s) maintain its vehicles in accordance with the preventive maintenance plan (manufacturer's recommended maintenance schedule)?

**SUBRECIPIENT RESPONSE:**

6. Does the subrecipient or its subcontractor(s) perform pre-trip and post-trip inspections?

**SUBRECIPIENT RESPONSE:**

VI. | Civil Rights

1. Who is the individual responsible for coordinating and ensuring that Title VI Program requirements, Equal Employment Opportunity (EEO) requirements and Disadvantaged Business Enterprise Program (DBE) requirements are fulfilled by the subrecipient?

**SUBRECIPIENT RESPONSE:**

2. Does the subrecipient have an approved Title VI Plan in place which includes the following documents;

- a) Title VI Policy Statement?

**SUBRECIPIENT RESPONSE:**

- b) Limited English Proficiency (LEP) Plan?

**SUBRECIPIENT RESPONSE:**

c) Procedures for handling and documenting Title VI complaints?

**SUBRECIPIENT RESPONSE:**

3. How does the subrecipient ensure persons with LEP have access to services?

**SUBRECIPIENT RESPONSE:**

4. Does the subrecipient have Title VI notice with information on the protections afforded under Title VI, and how to file a complaint posted in areas readily accessible to your service users and the public?

**SUBRECIPIENT RESPONSE:**

5. Is the subrecipient aware of Title VI Program reporting requirements? (Section 5311 subrecipients only) Please explain the requirements.

**SUBRECIPIENT RESPONSE:**

6. How does the subrecipient ensure that its Equal Employment Opportunities (EEO) are fulfilled?

**SUBRECIPIENT RESPONSE:**

7. What reasonable efforts are made by the subrecipient to ensure that Disadvantaged Business Enterprise (DBE) firms are afforded the opportunity to be hired in the award of federally funded contracts?

**SUBRECIPIENT RESPONSE:**

VII. | Americans with Disabilities Act (ADA)

1. Does the subrecipient have an ADA policy in place?

**SUBRECIPIENT RESPONSE:**

2. If complimentary ADA paratransit service is provided how does the subrecipient accept reservations on all days prior to days of service (e.g. weekends/holidays)?

**SUBRECIPIENT RESPONSE:**

3. How does the subrecipient ensure that its lifts are in working condition prior to service being provided?

**SUBRECIPIENT RESPONSE:**

4. If a lift malfunctions while service is being provided, is alternative transportation readily available to be provided?

**SUBRECIPIENT RESPONSE:**

If so, please explain.

**SUBRECIPIENT RESPONSE:**

VIII. | Charter Service

1. Please describe the process the subrecipient should follow in order to provide charter bus service.

SUBRECIPIENT RESPONSE:

2. How would the subrecipient ensure that the cost of providing charter service is not charged/billed to the Federal or State governments?

SUBRECIPIENT RESPONSE:

IX. | School Bus Service

1. Does the subrecipient provide exclusive school bus transportation for school students and school personnel?

SUBRECIPIENT RESPONSE:

If so, please explain.

SUBRECIPIENT RESPONSE:

2. Does the subrecipient provide "tripper service" which is open to the public and modified to accommodate the needs of school students and personnel?

SUBRECIPIENT RESPONSE:

If so, please explain.

SUBRECIPIENT RESPONSE:

X. | Drug and Alcohol Testing Program

1. Does the subrecipient have in place its Drug and Alcohol Testing Program policy?

SUBRECIPIENT RESPONSE:

2. Please explain how the subrecipient is informing its employees of the dangers of drug abuse and the availability of drug counseling, rehabilitation and employee assistance programs?

SUBRECIPIENT RESPONSE:

3. To the best of your knowledge, is required drug and alcohol testing being performed on safety-sensitive employees?

SUBRECIPIENT RESPONSE:

4. Have there been any instances within the past thirty six (36) months whereby a safety-sensitive employee has refused to be tested?

SUBRECIPIENT RESPONSE:

If so, please explain.

SUBRECIPIENT RESPONSE:

5. Does the subrecipient keep its drug and alcohol testing records (documentation) in a secure place?

**SUBRECIPIENT RESPONSE:**

XI. | Marketing

1. Please describe the subrecipient's efforts to market its transit services to the general public?

**SUBRECIPIENT RESPONSE:**

2. Please describe the media used by the subrecipient to market its transit services to the general public?

**SUBRECIPIENT RESPONSE:**

APPENDIX F - DEFINITIONS

1. Chief Executive Officer of a State means the Governor of any of the 50 States or Puerto Rico, the Northern Mariana Islands, Guam, American Samoa, and the U.S. Virgin Islands, the mayor of the District Columbia, or his/her designee.
2. Consultation means one party confers with another identified party in accordance with an established process and, before taking action(s), considers that party's views and periodically informs that party about action(s) taken.
3. Federally Recognized Indian Tribal Government means the governing body or a governmental agency of any Indian tribe, band, nation, or other organized group or community, (including any native village as defined in Section 3 of the Alaska Native Claims Settlement Act, (43 U.S.C. 1601 et seq.) certified by the Secretary of the Interior as eligible for the special programs and service provided through the Bureau of Indian Affairs.
4. Intercity Bus Service means regularly scheduled bus service for the general public that operates with limited stops over fixed routes connecting two or more urban areas not in close proximity, that has the capacity for transporting baggage carried by passengers, and that makes meaningful connections with scheduled intercity bus service to more distant points, if such service is available.
5. Local Governmental Authority includes (A) a political subdivision of a State; (B) and authority of at least one State or political subdivision of a State; (C) and Indian Tribe; or (D) a public corporation, board, or commission established under the laws of a State.
6. Mobility Management consists of short-range planning and management activities and projects for improving coordination among public transportation and other transportation-service providers carried out by a recipient or subrecipient through an agreement entered into with a person, including a government entity, under 49 U.S.C Chapter 53 (other than Section 5309). Mobility management does not include operating public transportation services.
7. Other than Urbanized (Nonurbanized) Area means any area outside of an urbanized area. The term "nonurbanized area" includes rural areas and urban areas under 50,000 in population not included in an urbanized area.
8. Pre-Award Authority means authority given under specific and limited circumstances to incur costs for eligible projects before a grant is made without prejudice to possible federal participation in the cost of the project(s). Applicants must comply with all federal requirements. Failure to do so will render a project or costs ineligible for FTA financial assistance.
9. Program of Projects: A list of projects to be funded in a grant application submitted to FTA by a State. 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 bus and RTAP projects. In

addition, the program of projects includes a brief description of the projects, total project cost and federal share for each project, and the amount of funds used for program administration from the 15 percent allowed.

10. Public Transportation means surface transportation by a conveyance that provides regular and continuing general or special transportation to the public, which includes buses, subways, light rail, commuter rail, monorail, passenger ferry boats, trolleys, inclined railways, people movers, and vans but does not include school bus, charter, or intercity bus transportation or intercity passenger rail transportation provided by AMTRAK. Public transportation can be either fixed-route or demand-responsive service.
11. Recipient means a State or Indian tribe that receives a federal transit program grant directly from the Federal Government.
12. Rural Area means an area with low population and density outside the boundaries of an urban area. However, the term rural is commonly used to refer to all areas other than urbanized areas and is so used in this State Management Plan.
13. Subrecipient means 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.
14. Takedown means an amount or percentage subtracted from the total dollar amount appropriated for a federal program before other apportionment or allocation of the funds.
15. Urban Area means an area that includes a municipality or other built-up place that the Secretary, after considering local patterns and trends of urban growth, decides is appropriate for a local public transportation system to serve individuals in a locality.
16. Urbanized Area means an area encompassing a population of not less than 50,000 people that has been defined and designated in the most recent decennial census as an "urbanized area" by the Secretary of Commerce. Small urbanized areas as used in the context of FTA formula grant programs are urbanized areas with population of at least 50,000 but less than 200,000.

APPENDIX G - REFERENCES

1. Federal Transit Laws, Title 49, United State Code, Chapter 53.
2. Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users, (SAFETEA-LU) (Pub. L. 109-59, 119 Stat. 1144, August 10, 2005).
3. Federal-aid highway and surface transportation laws, Title 23, United States Code.
4. Transportation Equity Act for the 21<sup>st</sup> Century (TEA-21), Pub. L. 105-178, 112 Stat. 107, June 9, 1998.
5. Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) (Pub. L. 102-240, 105 Stat. 1914, Dec. 18, 1991).
6. Federal Public Transportation Act of 1978 (Pub L. 95-599, Nov. 6, 1978)
7. Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 et seq.
8. Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794.
9. Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000d.
10. Clean Air Act, as amended, 42 U.S.C. 7401 et seq.
11. Section 404 of the Clean Water Act, as amended, 33 U.S.C. 1344.
12. Policy on Lands, Wildlife, and Waterfowl Refuges, and Historic Sites, 49 U.S.C. 303.
13. National Historic Preservation Act, 16 U.S.C. 470f.
14. Lobbying Restrictions, 31 U.S.C. 1352.
15. State Infrastructure Provisions of National Highway System Designation Act of 1995, as amended, 23 U.S.C. 101 note.
16. Congressional Declaration of Policy Respecting Insular Areas, 48 U.S.C. § 1469a.
17. Program Fraud Civil Remedies Act, 31 U.S.C. 3801 et seq.
18. Sections 210 and 305 of the Uniform Relocation Assistance and Real Property Acquisitions Policies Act of 1970, as amended, 42 U.S.C. 4601, et seq.
19. Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 et seq.
20. Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 et seq.
21. National Environmental Policy Act of 1969, as amended, 42 U.S.C. 4321 et seq.

22. Federal Funding Accountability and Transparency Act of 2006 (Pub. L 109-282, 120 Stat 1186, Sept. 26, 2006)
23. Davis-Bacon Act, as amended, 40 U.S.C. 3141 et seq.
24. Drug-Free Workplace of 1988, as amended, 41 U.S.C. 701 et seq.
25. Alaska Native Claims Settlement Act, as amended, 43 U.S.C. 1601 et seq.
26. Joint Federal Highway Administration/FTA regulations, "Planning Assistance and Standards," 23 CFR part 450 and 49 CFR 613.
27. Federal Highway Administration regulations, "Classes of Actions," 23 CFR part 771.115.
28. Federal Highway Administration regulations, "Categorical Exclusions," 23 CFR part 771.117.
29. Judicial Administration regulations, "Nondiscrimination; Equal Employment Opportunity; Policies and Procedures," 28 CFR part 42.
30. U.S. Department of Treasury regulations, "Rules and Procedures for Efficient Federal-State Funds Transfers," 31 CFR part 205.
31. U.S. Environmental protection Agency regulations, "determining Conformity of Federal Actions to State or Federal Implementation Plans," 40 CFR part 93.
32. FTA regulations, 49 CFR Chapter VI.
33. Executive Order 12898, "Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations." (February 11, 1994).
34. Executive Order 13330, "Human Service transportation Coordination." (February 24, 2004).
35. Office of Management and Budget Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments," dated 5-17-95.
36. Office of Management and Budget Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," dated 06-27-2003.
37. U.S. DOT Order to Address Environmental Justice in Minority Populations and Low-Income Populations, 62 FR 18377 9April 15, 1997).
38. U.S. DOT Policy Guidance Concerning Recipients' Responsibilities to Limited English Proficient (LEP) Persons, 70 FR 74087 (December 14, 2005).

39. Notice of Final Agency Guidance on the Eligibility of Joint Development Improvements Under Federal Transit Law, 72 FR 5788 (February 7, 2007).
40. Federal Highway Administration Notice N 4540.12, Attachment 1 (March 17, 1992).
41. U.S General Services Administration, "Lists of Parties Excluded from federal Procurement and Nonprocurement Programs."
42. FTA Master Agreement FTA MA(13), dated October 1, 2006
43. Guidelines for Disbursements," FTA ECHO-Web System Operations Manual.

APPENDIX H - U.S. DOT REGULATIONS

1. U.S. DOT regulations, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," 49 CFR part 18.
2. U.S. DOT regulations, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations," 49 CFR part 19.
3. U.S. DOT regulations, "New Restrictions on Lobbying," 49 CFR part 20.
4. U.S. DOT regulations, "Nondiscrimination in Federally-Assisted Programs of the Department of Transportation - Effectuation of Title VI of the Civil Rights Act of 1964," 49 CFR part 21.
5. U.S. DOT regulations, "Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally-Assisted Programs," 49 CFR part 24.
6. U.S. DOT regulations "Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance," 49 CFR part 25.
7. U.S. DOT regulations, "Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs," 49 CFR part 26.
8. U.S. DOT regulations, "Nondiscrimination on the Basis of Disability in Programs or Activities Receiving Federal Financial Assistance," 49 CFR part 27.
9. U.S. DOT regulations, "Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-free Workplace (Grants)," 49 CFR part 29, as amended by 71 FR 62396, Oct. 25, 2006.
10. U.S. DOT regulations, "Governmentwide Requirements for Drug-Free Workplace (Financial Assistance)," 49 CFR part 32.
11. U.S. DOT regulations, "Transportation Services for Individuals with Disabilities (ADA)," 49 CFR part 37.
12. U.S. DOT regulations, "Americans with Disabilities (ADA) Accessibility Specifications for Transportation Vehicles," 49 CFR part 38.
13. U.S. DOT regulations, "Procedures for Transportation Workplace Drug and Alcohol Testing Programs," 49 CFR part 40.

APPENDIX I - FTA CIRCULARS

1. 4220.1F, "Third Party Contracting Requirements," dated 11-01-08.
2. 4702.1A, Title VI and Title VI-Dependent Guidelines for FTA Recipients," dated 05-13-07.
3. 5010.1D, "Grant Management Requirements," dated 11-01-08.
4. 9030.1D, "Urbanized Area Formula Program: Program Guidance and Application Instructions," dated 05-01-10.
5. 9040.1F – "Nonurbanized Area Formula Program Guidance and Grant Application Instructions" dated 4-1-07.
6. 9070.1F – "Elderly Individuals and Individuals with Disabilities Program Guidance and Application Instructions" dated 05-01-07.
7. 9300.1A – "Capital Program: Grant Application Instructions" dated 10-01-98.

APPENDIX J - WEBSITES

1. 49 CFR References

Part 26 - Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs

[http://www.fta.dot.gov/civilrights/civil\\_rights\\_5089.html](http://www.fta.dot.gov/civilrights/civil_rights_5089.html)

Parts 27, 37 and 38 - Transportation for Individuals with Disabilities

[http://www.fta.dot.gov/civilrights/civil\\_rights\\_2360.html](http://www.fta.dot.gov/civilrights/civil_rights_2360.html)

Part 40 - DOT Wide Regs Drug & Alcohol

[http://www.dot.gov/ost/dapc/NEW\\_DOCS/part40.html](http://www.dot.gov/ost/dapc/NEW_DOCS/part40.html)

Part 604 - Charter Service

[http://www.fta.dot.gov/laws/leg\\_reg\\_179.html](http://www.fta.dot.gov/laws/leg_reg_179.html)

Part 605 - School Bus Operations

[http://www.fta.dot.gov/laws/leg\\_reg\\_181.html](http://www.fta.dot.gov/laws/leg_reg_181.html)

Part 639 - Capital Leases

[http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title49/49cfr639\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title49/49cfr639_main_02.tpl)

Part 655 - Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations

<http://transit-safety.fta.dot.gov/DrugAndAlcohol/Regulations/Regulations/default.asp>

Part 661 - Buy America Requirements

[http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title49/49cfr661\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title49/49cfr661_main_02.tpl)

Part 663 - Pre-Award and Post-Delivery Audits of Rolling Stock Purchases

[http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title49/49cfr663\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title49/49cfr663_main_02.tpl)

Part 665 - Bus Testing

[http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title49/49cfr665\\_main\\_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title49/49cfr665_main_02.tpl)

2. FTA Circulars

5010.1D - Grant Management Requirements

[http://www.fta.dot.gov/laws/circulars/leg\\_reg\\_8640.html](http://www.fta.dot.gov/laws/circulars/leg_reg_8640.html)

9030.1C - Urbanized Area Formula Program: Grant Application Instructions

[http://www.fta.dot.gov/laws/circulars/leg\\_reg\\_4125.html](http://www.fta.dot.gov/laws/circulars/leg_reg_4125.html)

9040.1F - Nonurbanized Area Formula Program Guidance and Grant Application Instructions

[http://www.fta.dot.gov/laws/circulars/leg\\_reg\\_6519.html](http://www.fta.dot.gov/laws/circulars/leg_reg_6519.html)

9070.1F - Elderly Individuals and Individuals with Disabilities Program Guidance and Application Instructions

[http://www.fta.dot.gov/laws/circulars/leg\\_reg\\_6622.html](http://www.fta.dot.gov/laws/circulars/leg_reg_6622.html)

9300.1A - Capital Program: Grant Application Instructions

[http://www.fta.dot.gov/laws/circulars/leg\\_reg\\_4128.html](http://www.fta.dot.gov/laws/circulars/leg_reg_4128.html)

3. Guidance

DOT/DHHS/DOL Guidance Use of TANF, WtW and Job Access Funds for Transportation

[http://www.fta.dot.gov/funding/grants/grants\\_financing\\_3715.html](http://www.fta.dot.gov/funding/grants/grants_financing_3715.html)

Best Practices Procurement Manual

<http://www.fta.dot.gov/library/admin/BPPM>

Safety and Security

<http://www.transit-safety.volpe.dot.gov/default.asp>

FTA Guide for Rural Programs

[http://www.fta.dot.gov/funding/grants/grants\\_financing\\_3609.html](http://www.fta.dot.gov/funding/grants/grants_financing_3609.html)

4. Other Useful Websites

American Public Transportation Association

<http://www.apta.com>

Community Transportation Association of America

<http://www.ctaa.org>

Federal Transit Administration

<http://www.fta.dot.gov>

National Transit Institute

<http://www.ntionline.com>

Transportation Safety Institute

<http://www.tsi.dot.gov>

Transportation Research Board

<http://www.nationalacademies.org/trb/>

Rural Transit Assistance Program

[http://www.fta.dot.gov/funding/grants/grants\\_financing\\_3554.html](http://www.fta.dot.gov/funding/grants/grants_financing_3554.html)

National RTAP Program

<http://www.nationalrtap.org/>

Transportation Cooperative Research Program

<http://www.trb.org>

Department of Labor, Division of Statutory Programs

<http://www.dol.gov/olms/regs/compliance/compltransit.htm>

APPENDIX K - ACRONYMS

ADA	Americans with Disabilities Act
CDL	Commercial Drivers License
CFR	Code of Federal Regulations
ConnDOT	Connecticut Department of Transportation
DBE	Disadvantaged Business Enterprise
EEO	Equal Employment Opportunity
FTA	Federal Transit Administration
FHWA	Federal Highway Administration
ICB	Intercity Bus Service
ISTEA	Intermodal Surface Transportation Efficiency Act of 1991
LOCHSTP	Locally Developed, Coordinated Public Transit-Human Services Transportation Plan
NTD	National Transit Database
OMB	Office of Management and Budget
PM	Preventive Maintenance
RFP	Request for Proposal
RTAP	Rural Transit Assistance Program
SAFETEA-LU	The Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users
SMP	Connecticut State Management Plan
STIP	Statewide Transportation Improvement Program
TEA-21	Transportation Equity Act for the 21 <sup>st</sup> Century
U.S. DOT	United States Department of Transportation
U.S.C.	United States Code

USOA

Uniform System of Accounts

APPENDIX L - ConnDOT CONTACT INFORMATION

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