



JEFFERSON TRANSIT AUTHORITY BOARD MEETING

**Tuesday, December 16, 2014 1:30 p.m.
Port Townsend Fire Station
701 Harrison Street, Port Townsend, WA**

AGENDA

Call to Order/Welcome

Public Comments

Public Budget Hearing

New Agenda Items

I. Finance Reports

- a. November 2014

II. Consent Agenda

- a. Approval of Minutes, November 21, 2014
- b. Approval of Expenses, November 2014
- c. **Resolution 14-22:** 2015 Board Meeting Schedule
- d. **Resolution 14-25:** Second Amendment to GCB 1613

III. Old Business

None

IV. New Business

- a. **Resolution 14-23:** Certifications and Assurances
- b. **Resolution 14-24:** Adopt 2015 Proposed Budget
- c. **Resolution 14-26:** Intent to Dispose of Low Use & Obsolete Surplus Parts

V. Reports

- a. General Managers Report
- b. Operations Report
 - New Facility Service Committee Report
- c. Maintenance Report

VI. Ridership Report

Public Comments

**Executive Session for discussion regarding personnel and property per RCW
42.30.110**

Adjournment

Individuals requiring reasonable accommodation may request written materials in alternative formats, physical accessibility accommodations or other reasonable accommodation by calling (360) 385-4777 or TDD/TTY users dial 711 to reach a relay operator.



1615 W. Sims Way, Port Townsend, WA 98368

December 12, 2014

TO: Board of Trustees, Jefferson Transit Authority

FROM: Sara Crouch, Finance/HR Manager

RE: November 2014 Financial Report

Sales Tax Analysis Reports –

- Sales tax for August 2014 is 9% higher than received for September 2013, 15% higher than budgeted for September. The cumulative 2014 sales tax receipts between January to September 2014 are 1% lower than the same time period in 2013. This is good news, but cautionary, because we still have the slow months of October and November to get through. The extreme cold and bad weather Thanksgiving weekend may have slowed sales.

Revenue Report –

- East side fare revenues show lower than budgeted; this is expected to continue through 2014 because the budget figure is inflated. [A reasonable budget figure for east side fares is \$148000. If that figure is used instead of \$165,000, the budget percentage is 87%]. Ridership will be discussed during the Operations report.
- Vanpool Revenue under budget due to loss of a vanpool group in May. We expected a decline from 2013, but not the loss of a vanpool.
- Other Non-Transportation – Over budget due to ATU Exec Officer reimbursement

Expense Report –

- Overtime is no longer over-budget for fixed route. Overtime was down in October and November, expecting an increase in December for the holidays. The "Other" overtime issue will remain over budget due to a hiring issue for a small piece of work in dispatch.
- Other Paid Absence – This figure will be over budget for the entire year – ATU Exec Officer, Administrative Leave
- Contracted IT Services is over budget, latent services (Mail Archiving, Virus Protection, off site Backup) were in the budget for 7-8 months; these services will continue past the projected date because it is less expensive to go with current vendor than purchase the services from another vendor. This line item will remain over budget.
- Vehicle Technical Services – Over budget for Towing, body repair work and off site repairs
- Vehicle Maintenance & Repair Parts – there have been several expensive repairs in the past two months. The average monthly expense for this category is \$4,900, in October it was \$15,933, and in November it is \$13,101. This budget line item will remain over budget for the year.
- Shop Supplies – over budget - there has been an increase in uniform/rug rental expenses
- Utilities – Water tracking over budget, most likely this is timing and will come in at budget, Electrical and Propane is under budget (October bills not yet posted) but with colder weather will expect to see it closer to budget.
- OVERALL it is important to note that other than the overtime issue, overall expenses are under budget by over 6.5%, the increase in parts expenses may be offset by the low cost of fuel in the past two months. If low cost fuel trend continues we will see real savings in fuel expenses in 2014.

Capital Activity –

- Capital activity in November: Construction, Project Management and Construction Phase design services.



November 2014 Financial Summary

Budget Tracking Figure: 91.66%

1. Operational Expenses:	\$305,510.78
Operational Revenues:	\$14,494.33
Non-Operational Income:	\$380,438.20
Capital Expenses:	\$588,409.63
Capital Income:	\$470,728.54

2. Sales Tax Received 11/30/2014 for September 2014: \$368,479.21
Sales Tax Received 11/30/2013 for September 2013: \$336,708.79

****Sales tax increased from prior year 9%****

3. Cash on Hand as of November 30, 2014*:	
Operating:	\$1,194,443.32
Operating Reserve (22.7% Funded):	\$250,000.00
(Minimum Funding Required \$1,100,000)	
Capital Account:	\$1,056,237.62
Capital Reserve:	\$1,333,245.69
Unemployment Reserve:	\$21,575.00
Bond Payment Reserve:	\$7,465.91
Bond Reserve:	\$85,250.00
EFT Fund:	\$104,001.70
Travel Fund:	\$1,354.51
Kitsap Bank	\$10.64
Total	\$4,053,584.39**

*"Cash on Hand" differs from the "Statement of Cash Flows" report in that Cash on Hand is a summary of the cash balances in all Jefferson Transit Bank/Funding accounts. The Statement of Cash Flows is an accrual report that includes accounts payable and accounts receivable as well as cash/accrual payments in the accounting system.

**Includes funding amounts for Capital and Operating Reserves that will be funded as budgeted.

Jefferson Transit

Sales Tax Current & Prior Year Actual and Budget Variance Analysis

Projection Year

2014

Month Received - Cash Basis (Cash Flow)

Month of Receipt	Tax Rate	2014 Tax	2013 Tax	2012 Tax	2011 Tax	2014 Budget	2014 Monthly Act to Bud Variance	2014 Cumulative Cash Actual Sales Tax Received	2014 Cumulative Cash Budgeted Sales Tax	2014 Cumulative Actual to Budget Variance
January	0.90%	\$261,546.64	\$263,071.24	\$234,370.59	\$221,922.91	235,777.00	10.93%	\$261,546.64	235,777.00	10.93%
February	0.90%	\$344,682.23	\$361,349.36	\$331,924.43	\$152,221.21	323,856.00	6.43%	\$606,228.87	559,633.00	8.33%
March	0.90%	\$256,028.91	\$291,292.37	\$204,854.04	\$150,424.11	215,097.00	19.03%	\$862,257.78	774,730.00	11.30%
April	0.90%	\$245,824.15	\$262,810.78	\$220,498.65	\$191,817.93	231,524.00	6.18%	\$1,108,081.93	1,006,254.00	10.12%
May	0.90%	\$287,301.65	\$299,768.61	\$266,975.22	\$172,294.86	280,324.00	2.49%	\$1,395,383.58	1,286,578.00	8.46%
June	0.90%	\$253,212.12	\$258,797.23	\$239,889.31	\$191,845.36	251,884.00	0.53%	\$1,648,595.70	1,538,462.00	7.16%
July	0.90%	\$279,961.16	\$292,014.18	\$256,787.52	\$203,110.70	269,627.00	3.83%	\$1,928,556.86	1,808,089.00	6.66%
August	0.90%	\$354,351.27	\$351,405.02	\$291,693.72	\$285,132.17	306,276.00	15.70%	\$2,282,908.13	2,114,365.00	7.97%
September	0.90%	\$334,282.34	\$317,410.71	\$285,111.93	\$305,799.23	299,368.00	11.66%	\$2,617,190.47	2,413,733.00	8.43%
October	0.90%	\$328,643.28	\$331,339.51	\$313,703.24	\$300,142.06	329,388.00	(0.23%)	\$2,945,833.75	2,743,121.00	7.39%
November	0.90%	\$368,479.21	\$336,708.79	\$314,369.17	\$239,629.36	315,149.00	16.92%	\$3,314,312.96	3,058,270.00	8.37%
December	0.90%		\$273,339.76	\$265,862.08	\$2,572,837.54	251,610.00	0.00%	\$0.00	3,309,880.00	
Total		3,314,312.96	3,639,307.56	3,226,039.90	4,987,177.44	3,309,880.00	0.00%			
Monthly Average		301,301.18	303,275.63	268,836.66	415,598.12	275,823.33				

Month Earned - Accrual Basis (Income Statement)

Month Recognized	Tax Rate	2014 Tax	2013 Tax	2012 Tax	2011 Tax	2014 Budget	2014 Actual to Budgeted Variance	2014 Cumulative Actual Sales Tax Received	2014 Cumulative Budgeted Sales Tax	2014 Cumulative Actual to Budget Variance
January	0.90%	\$256,028.91	\$291,292.37	\$204,854.04	150,424.11	215,097.00	19.03%	\$256,028.91	215,097.00	19.03%
February	0.90%	\$245,824.15	\$262,810.78	\$220,498.65	191,817.93	231,524.00	6.18%	\$501,853.06	446,621.00	12.37%
March	0.90%	\$287,301.65	\$299,768.61	\$266,975.22	172,294.86	280,324.00	2.49%	\$789,154.71	726,945.00	8.56%
April	0.90%	\$253,212.12	\$258,797.23	\$239,889.31	191,845.36	251,884.00	0.53%	\$1,042,366.83	978,829.00	6.49%
May	0.90%	\$279,961.16	\$292,014.18	\$256,787.52	203,110.70	269,627.00	3.83%	\$1,322,327.99	1,248,456.00	5.92%
June	0.90%	\$354,351.27	\$351,405.02	\$291,693.72	285,132.17	306,279.00	15.70%	\$1,676,679.26	1,554,735.00	7.84%
July	0.90%	\$334,282.34	\$317,410.71	\$285,111.93	305,799.23	299,368.00	11.66%	\$2,010,961.60	1,854,103.00	8.46%
August	0.90%	\$328,643.28	\$331,339.51	\$313,703.24	300,142.06	329,388.00	(0.23%)	\$2,339,604.88	2,183,491.00	7.15%
September	0.90%	\$368,479.21	\$336,708.79	\$314,369.17	239,629.36	315,149.00	16.92%	\$2,708,084.09	2,498,640.00	8.38%
October	0.90%		\$273,339.76	\$265,862.08	305,799.23	251,610.00	0.00%	\$0.00	2,750,250.00	
November	0.90%		\$261,546.64	\$263,071.24	331,924.43	246,090.00	0.00%	\$0.00	2,996,340.00	
December	0.90%		\$344,682.23	\$361,349.36	204,854.04	338,020.00	0.00%	\$0.00	3,334,360.00	
Total		2,708,084.09	3,621,115.83	3,284,165.48	2,882,773.48	3,334,360.00	0.00%			
Monthly Average		300,898.23	301,759.65	273,680.46	240,231.12	277,863.33				

Jefferson Transit Authority
Statement of Cash Flows-Accrual Basis
For the Eleven Months Ending November 30, 2014

	November	Year to Date
STATEMENT OF CASH FLOWS		
Cash Balances - Beginning of Period	\$4,021,635.39	\$2,465,432.33
Operating Cash Provided/(Used) by:		
Operating Activities	(\$827,783.63)	(\$3,556,386.41)
Non-Capital Financing Activities	\$377,988.85	\$4,283,204.66
Investing Activities	\$199.02	\$1,811.50
Total Operating Cash Provided/(Used)	(\$449,595.76)	\$728,629.75
Capital Cash Provided/(Used) by:		
Capital and Related Financing Activities	\$483,192.00	\$861,169.55
Net Increase/(Decrease) Cash and Equivalent	\$33,596.24	\$1,589,799.30
CASH BALANCES - END OF PERIOD	\$4,055,231.63	\$4,055,231.63

Jefferson Transit Authority
Statement of Income (Loss) - Accrual Basis
For the Eleven Months Ending November 30, 2014

	November	YTD	Budget	% of Actual vs. Budget
STATEMENT OF INCOME/(LOSS)				
Operating Revenues	\$14,494.33	\$199,281.50	\$240,580.00	82.83%
Operating Expenses				
Labor	144,520.55	1,614,540.79	1,793,675.00	90.01%
Benefits	94,588.73	1,098,391.99	1,336,375.00	82.19%
Services and User Fees	12,444.37	138,875.66	178,796.00	77.67%
Materials & Supplies	41,375.86	486,253.83	591,620.00	82.19%
Utilities	2,648.19	52,852.78	65,020.00	81.29%
Casualty/Liability Costs	7,741.66	84,105.52	90,348.00	93.09%
Taxes	474.99	5,043.55	8,974.00	56.20%
Miscellaneous Expenses	1,623.15	54,078.17	80,299.00	67.35%
Leases and Rentals	95.28	10,721.49	15,824.00	67.75%
Total Operating Expenses	305,510.78	3,544,863.78	4,160,931.00	85.19%
Operating Income (Loss)	(291,016.45)	(3,345,582.28)	(3,920,351.00)	85.34%
Non-Operating Revenues				
Non-Transportation Revenue	3,458.66	41,049.95	13,011.00	315.50%
Taxes Levied by Transit	299,420.21	3,205,784.09	3,334,359.00	96.14%
Local Grants & Contributions	3,750.00	16,250.00	17,500.00	92.86%
State Grants & Contributions	5,898.33	312,541.16	250,688.00	124.67%
Federal Grants & Contributions	67,911.00	747,019.32	637,500.00	117.18%
Total Non-Operating Revenues	380,438.20	4,354,734.25	4,295,842.00	101.37%
Net Income (Loss) Before Transfers In/(Out)	89,421.75	1,009,151.98	375,491.00	268.76%
Net Income/(Loss)	89,421.75	1,009,151.98	375,491.00	268.76%

Jefferson Transit Authority
Revenue Statement - Accrual Basis
For the Eleven Months Ending November 30, 2014

	<u>November</u>	<u>YTD</u>	<u>Budget</u>	<u>% of Actual vs. Budget</u>
OPERATING REVENUES				
Passenger Fares for Transit Services				
Fixed Route Fares - East	\$10,027.65	\$130,193.66	\$165,000.00	78.91%
Fixed Route Fares - West - JTOC	139.13	4,872.00	3,600.00	135.33%
Dial-a-Ride Fares (DAR)	981.55	11,503.41	12,000.00	95.86%
Vanpools	3,281.00	44,970.96	57,000.00	78.90%
Extended Service		2,593.83	2,200.00	117.90%
Auxiliary Transportation Revenues				
Advertising Services		4,432.64		0.00%
Other Services Revenue	65.00	715.00	780.00	91.67%
Total Operating Revenues	14,494.33	199,281.50	240,580.00	82.83%
NONOPERATING REVENUES				
Nontransportation				
Investment (Interest) Income	199.02	1,811.50	1,704.00	106.31%
Gain (Loss) on Disposition of Capital Items		14,621.84		0.00%
Other Nontransportation Revenues	3,259.64	24,616.61	11,307.00	217.71%
Taxes Levied Directly by Transit System - Sales & Use Tax	299,420.21	3,205,784.09	3,334,359.00	96.14%
Special Sales Tax Receipts - Miscellaneous		32,089.74	42,784.00	75.00%
Local Grants and Contributions				
JTOC	1,250.00	13,750.00	15,000.00	91.67%
WSTIP	2,500.00	2,500.00	2,500.00	100.00%
State Grants and Contributions				
Rural Mobility Competitive	5,898.33	306,243.65	247,188.00	123.89%
RTAP		6,297.51	3,500.00	179.93%
Federal Grants and Contributions (OPERATING)				
Federal Grants and Contributions - FTA 5311	67,911.00	747,019.32	637,500.00	117.18%
Capital Contributions - Local/State/Federal				
Capital Contributions - Local		60,000.00		0.00%
Capital Contributions - FTA 5311, Equipment Assistance (Federal)	8,866.54	23,413.50		0.00%
Capital Contributions - FTA 5309, Facility Assistance (Federal)	461,862.00	1,687,568.00		0.00%
Total Nonoperating Revenues	851,166.74	6,125,715.76	4,295,842.00	142.60%
TOTAL REVENUES	865,661.07	6,324,997.26	4,536,422.00	139.43%

**Jefferson Transit Authority
Expense Statement
For the Eleven Months Ending November 30, 2014**

	November	YTD	Budget	% of Actual vs. Budget
OPERATING EXPENSES				
Labor				
Operators Salaries & Wages - Fixed Route	\$52,663.24	\$554,372.23	\$609,291.00	90.99%
Operators Overtime - Fixed Route	2,112.17	43,689.35	48,198.00	90.65%
Operators Salaries & Wages - Dial-a-Ride (DAR)	10,150.96	129,106.48	161,449.00	79.97%
Operators Overtime - Dial-a-Ride (DAR)	629.09	5,540.22	7,318.00	75.71%
Other Salaries & Wages (Mntce, Dispatch, Cust Serv)	38,545.98	435,263.96	487,623.00	89.26%
Other Overtime (Mntce, Dispatch, Cust Serv)	2,115.50	39,658.86	28,457.00	139.36%
Administration Salaries	38,303.61	406,909.69	451,341.00	90.16%
Benefits				
FICA	12,208.95	138,171.25	168,244.00	82.13%
Pension Plans (PERS)	14,292.98	175,782.65	191,945.00	91.58%
Medical Plans	33,123.23	381,830.13	475,703.00	80.27%
Dental Plans	2,962.28	33,533.58	42,974.00	78.03%
Unemployment Insurance (UI)		464.00	9,068.00	5.12%
Workers' Compensation Insurance - Labor & Industries (L&I)	5,033.55	57,193.82	65,454.00	87.38%
Holiday	5,935.71	69,369.68	75,340.00	92.08%
General Leave	17,883.45	202,087.07	231,502.00	87.29%
Other Paid Absence (Court Duty & Bereavement)	2,193.71	15,055.92	6,286.00	239.52%
Uniforms, Work Clothing & Tools Allowance	394.51	8,380.19	11,599.00	72.25%
Other Benefits (HRA, EAP & Wellness)	560.36	16,523.70	58,260.00	28.36%
Service and User Fees				
Vanpool Services and Fees			4,500.00	0.00%
Advertising Fees	628.50	7,293.15	18,250.00	39.96%
Professional & Technical Services	8,691.90	64,363.82	80,846.00	79.61%
Contract Maintenance Services (IT Services)	724.85	7,813.50	4,850.00	161.10%
Security Services		135.00	1,500.00	9.00%
Vehicle Technical Services		27,502.63	26,750.00	102.81%
Property Maintenance Services	154.76	6,948.65	10,000.00	69.49%
Software Maintenance Fees	1,581.94	17,457.44	21,200.00	82.35%
Postage & Mail Meter Fees	314.34	2,648.19	3,600.00	73.56%
Drug & Alcohol Services	227.08	3,221.88	4,800.00	67.12%
Other Services & User Fees	121.00	1,491.40	2,500.00	59.66%
Materials and Supplies Consumed				
Fuel	26,491.60	325,272.92	407,000.00	79.92%
Tires		19,904.75	28,500.00	69.84%
Lubrication	(1,273.79)	5,492.57	10,550.00	52.06%
Tools	265.21	5,092.65	9,000.00	56.59%
Vehicle Maintenance & Repair Parts	13,100.74	76,957.36	61,500.00	125.13%
Non-Vehicle Maintenance & Repair Parts		7,895.55	8,000.00	98.69%
Vehicle Accessories		549.17	1,350.00	40.68%
Park & Ride Materials	21.24	519.62	2,000.00	25.98%
Shop Supplies (Maintenance & Cleaning)	1,562.81	15,296.05	14,000.00	109.26%
Safety & Emergency Supplies		1,027.61	5,550.00	18.52%
Office Supplies	521.64	9,158.76	12,570.00	72.86%
Computer Programs & Supplies	200.56	2,194.66	2,750.00	79.81%
Printing (Photocopier, Schedules & Brochures)	485.85	16,250.82	26,850.00	60.52%
Other Materials & Supplies		641.34	2,000.00	32.07%
Utilities				
Water, Sewer & Solid Garbage	1,226.95	14,165.84	14,850.00	95.39%
Utilities (Electrical & Propane)		13,153.44	20,475.00	64.24%
Telephone & Internet	1,419.24	25,533.50	29,695.00	85.99%
Casualty and Liability Costs				
Premiums for Public Liability & Property Damage Insurance	7,741.66	85,158.26	90,348.00	94.26%
Recoveries of Public Liability & Property Damage Settlements		(1,052.74)		0.00%
Taxes				
State Taxes	279.16	3,510.40	5,224.00	67.20%
Vehicle Licensing & Registration Fees	76.00	76.00	750.00	10.13%
Other Licensing Fees & Taxes	119.83	1,457.15	3,000.00	48.57%

Jefferson Transit Authority
Expense Statement
For the Eleven Months Ending November 30, 2014

	<u>November</u>	<u>YTD</u>	<u>Budget</u>	<u>% of Actual vs. Budget</u>
Miscellaneous				
Dues & Subscriptions	\$1,048.23	\$11,139.77	\$15,591.00	71.45%
Travel & Meetings	(204.38)	20,717.56	27,108.00	76.43%
Safety Program (Rodeo & Safety Rewards)	459.30	459.30	6,500.00	7.07%
Training (Classes, Seminars & Materials)	100.00	20,307.64	27,450.00	73.98%
EE CDL and EE Physical Expense	220.00	1,400.00	3,350.00	41.79%
Other Miscellaneous		53.90	300.00	17.97%
Interest Expense				
Leases and Rentals				
Transit Way & Passenger Stations			1,000.00	0.00%
Passenger Parking Facilities	95.28	325.84		0.00%
Service Vehicles & Equipment		440.92	2,500.00	17.64%
Other General Administration Facilities		9,954.73	12,324.00	80.78%
TOTAL OPERATING EXPENSES	<u>305,510.78</u>	<u>3,644,863.78</u>	<u>4,160,931.00</u>	<u>85.19%</u>

Jefferson Transit Authority/FTA Grant WA-0180-02 (Four Corners Facility Project)

Total Project Cost	\$ 4,083,068.00	Equals Total project award plus total match
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FTA FUNDS AWARDED TO JTA	
Original	\$ 560,000.00
1st Amendment	\$ 423,679.00
	\$ 970,874.00
	\$ 380,361.00
2nd Amendment	\$ 931,540.00

JTA MATCH	
Match Required	\$ 816,614.00

Total Project Award from FTA	\$ 3,266,454.00
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Total Match	\$ 816,614.00
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Disbursements to date	\$ 2,438,211.00
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Disbursements to date	\$ 665,773.13
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Remaining Balance	\$ 828,243.00
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Remaining Balance	\$ 150,840.87
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Team/Disbursements	\$ 2,438,211.00
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JTA Match	\$ 665,773.13
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Difference	\$ -
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Difference	\$ -
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Detail of Disbursements

Date	Total Amount	FTA Share	JTA Share	Invoice Numbers
1/20/2005	\$ 32,530.35	\$ 16,025.00	\$ 6,505.35	Inv #174437; 57832001; 74572; 6501360 Payroll Sheets
2/7/2005	\$ 74,291.66	\$ 59,434.00	\$ 14,857.66	Inv# HMW 11/1/2004; 2004015-1004; 2004015-1104; 2004015-1204; Misc CC Purch; 127065; 127066; Payroll Reports
4/29/2005	\$ 47,592.07	\$ 38,074.00	\$ 9,518.07	Inv #2004015-0105; 2004015-0205; HMW3/2/05 & HMW4/4/05, 121700
7/13/2005	\$ 34,544.54	\$ 27,636.00	\$ 6,908.54	Inv #040901946; 3166393; 2004015-0405; 2004015-0505; 2004015-0205; HMW 06/01/2005, Sport Townsend
9/13/2005	\$ 41,886.50	\$ 33,510.00	\$ 8,376.50	Inv #PTL 3/2&4/6; 2004015-0605, 2004015-0705; 2004015-0805; HMW 5/2/7/1,8/2,9/1/2005
5/12/2006	\$ 7,537.00	\$ 6,006.00	\$ 1,531.00	Inv # HMW 1/3,2/1,3/2,3/3/2006; 3528
1/24/2007	\$ 268,065.63	\$ 214,452.00	\$ 53,613.63	Inv# HMW 5/1, 6/1, 7/1, 8/1, 9/1, 10/1, 11/1/2006; 2004015-0506; 2004015-0606; 2004015-0706; 2004015-0806; 2004015-0906; 2004015-1006; 2004015-1106; Property Purchase
1/24/2007	\$ (319.00)	\$ (319.00)		correction to 05/12/06 draw
2/2/2007	\$ 14,054.00	\$ 14,054.00		Inv#2004015-1206
9/15/2008	\$ (11,590.00)	\$ (11,590.00)		correction to 02/2/2007 draw
9/24/2008	\$ 139.31	\$ 112.00	\$ 27.31	Inv# HMW 2/1/2007; Safeway, Coffee, Jordini's
9/24/2008	\$ (46.00)	\$ (46.00)		correction to 02/2/2007 draw
5/18/2012	\$ 15,824.74	\$ 12,660.00	\$ 3,164.74	Inv# C15926350; C15926564; 3249925
1/28/2013	\$ 1,798.78	\$ 298.00	\$ 1,500.78	Inv# 11308: 17123-1; 3270127
4/30/2013	\$ 14,419.05	\$ 4,360.00	\$ 10,059.05	Inv# 20130317; 31325; 21314; 17215; 13-056
5/17/2013	\$ 26,532.35	\$ 21,226.00	\$ 5,306.35	Inv# 20130419
6/11/2013	\$ 3,152.54	\$ -	\$ 3,152.54	Inv#051331 (not reported in 2013 to FTA)
8/5/2013	\$ 63,999.21	\$ 47,850.00	\$ 16,149.21	Inv#: 20130517; 20130619; 71322; 13-116
9/24/2013	\$ 109,263.62	\$ 78,062.00	\$ 31,201.62	Inv#: 201307020; 20130810; 071305; 081306; 091311
10/17/2013	\$ 32,128.03	\$ 24,363.00	\$ 7,765.03	Inv#: 20130912; 101311
11/25/2013	\$ 60,655.54	\$ 48,524.00	\$ 12,131.54	Inv#: 20131014
1/8/2014	\$ 54,281.46	\$ 38,662.00	\$ 15,619.46	Inv#: 20131116; 121313; SEPTICPERMIT 14; 11403
1/31/2014	\$ 114,715.46	\$ 90,788.00	\$ 23,927.46	Inv#: 111325; 14-004, 14-005, 14-006; 20131212
2/26/2014	\$ 92,386.70	\$ 70,635.00	\$ 21,751.70	Inv#: 021414 B, Permit 2-11-2014 B, 14-025 B, 20140113B, 48430 B, 14-018, SEPTICPERMIT 14
3/26/2014	\$ 63,285.76	\$ 50,628.00	\$ 12,657.76	00005, 2014 Bldg 14-00006, 2014 Bldg 14-
4/21/2014	\$ 41,043.83	\$ 21,359.00	\$ 19,684.83	Inv#: 48860, 31419, 1041404, 20140312, 041411B
6/4/2014	\$ 17,092.82	\$ 13,674.00	\$ 3,418.82	Inv#: 1218, 49099, 20140415, 51416
7/9/2014	\$ 11,362.00	\$ 9,090.00	\$ 2,272.00	Inv#: 20140510, 061411
7/18/2014	\$ 283,306.78	\$ 226,645.00	\$ 56,661.78	Inv#: 49488, 1228, 54-572569, 20140611, 100, 071411, Application #1
8/14/2014	\$ 314,402.33	\$ 251,522.00	\$ 62,880.33	Inv#: 81414, App #2, 51331, OOT AccEas, 13192
9/23/2014	\$ 414,443.07	\$ 331,554.00	\$ 82,889.07	Inv#: 13378; 20140710; 20140811, BLD14-00004, PR#3
10/22/2014	\$ 257,214.00	\$ 205,771.00	\$ 51,443.00	20140905, PR#4, 13583
11/24/2014	\$ 603,990.00	\$ 483,192.00	\$ 120,798.00	091423/141006, 13791, 20141010, 141117, PR#5, 13990/14125
Total	\$ 3,103,984.13	\$ 2,438,211.00	\$ 665,773.13	

Jefferson Transit
Treasury Pool Investments Account (Capital) and Checking Account
Capital Projects Tracking Report
November 2014

Current Account Status	Balance per Bank @ 11/30/14	\$ 2,389,483.31	\$
Balance per GL @ 10/31/14		\$ 2,521,257.02	
	Transfers - In	\$ -	
	Transfers - In (Bond Financing)	\$ -	
	Debt Financing Expenses	\$ -	
	Reimbursement Facility Project	\$ 483,192.00	
	Investment Interest	\$ 105.81	
	Transfers - Out (Purchases)	\$ (615,071.52)	
	Transfers - Out (Bond Reserves)	\$ -	
Balance per GL @ 11/30/14		\$ 2,389,483.31	

2014 Capital Projects				
Facility		Grant Funding	JTA Funding	JTA Appropriation
	2014 Beginning Balance	\$ 2,684,815.00	\$ 671,204.00	\$ (671,204.00)
	Change to Add Regional STP funds	\$ 493,713.00	\$ 77,053.00	\$ (77,053.00)
	STP-Flex for Fuel Island	\$ 292,000.00	\$ 73,000.00	\$ (73,000.00)
	Sales Tax Equalization Funding	\$ 237,874.00	\$ -	\$ -
	JTA Outlay	\$ -	\$ 782,000.00	\$ (782,000.00)
Monthly Payments	JTA Bond Financing	\$ -	\$ 1,000,000.00	\$ (1,000,000.00)
Jan-14	City of PT, JeffDCD, TCF	\$ (37,455.82)	\$ (7,491.18)	\$ 7,491.18
Feb-14	Bid Adverts, Permits, TCF	\$ (176,775.26)	\$ (35,355.05)	\$ 35,355.05
Mar-14	Bid Adverts, Permits	\$ (3,925.00)	\$ (981.00)	\$ 981.00
Apr-14	TCF, City of PT, Printing	\$ (68,829.95)	\$ (31,553.59)	\$ 31,553.59
May-14	TCF, City of PT, Printing, Easement Sur	\$ (6,968.18)	\$ (1,393.64)	\$ 1,393.64
Jun-14	TCF, City of PT	\$ (28,337.73)	\$ (5,667.55)	\$ 5,667.55
Jul-14	Pease, TCF, PT, Print, Materials, Elec	\$ (233,700.39)	\$ (58,425.10)	\$ 58,425.10
Aug-14	Pease, TCF, PT	\$ (259,370.34)	\$ (64,842.59)	\$ 64,842.59
Sep-14	Pease, TCF, PT	\$ (320,223.14)	\$ (80,055.79)	\$ 80,055.79
Oct-14	Pease, TCF, PT	\$ (260,095.05)	\$ (52,019.01)	\$ 52,019.01
Nov-14	Pease, TCF, PT, Materials Testing	\$ (615,071.52)	\$ (123,014.30)	\$ 123,014.30
	Ending Balance			\$ (2,142,458.23)
Other Building and Structures		Grant Funding	JTA Funding	
Transit Shelter New & Replace	2014 Beginning Balance	\$ 22,472.00	\$ 5,618.00	\$ (5,618.00)
Transit Shelters (JTA)	2014 Beginning Balance		\$ 8,461.00	
Kiosks and Signage	2014 Beginning Balance	\$ 8,000.00	\$ 2,000.00	\$ (2,000.00)
PNR Upgrades (banners, signs, etc)	2014 Beginning Balance	\$ -	\$ 35,000.00	
PNR Passenger Services Bldg	2014 Beginning Balance	\$ 76,800.00	\$ 19,200.00	\$ (19,200.00)
Revenue Vehicles				
Replacement Engine	2014 Beginning Balance		\$ 35,000.00	
Service Vehicles				
Service Equipment				
Addl Camera System for Trng	2014 Beginning Balance		\$ 2,500.00	
Office Furniture & Equipment				
IT Systems/Trapeze Upgrades	2014 Beginning Balance	\$ 66,911.00	\$ 16,728.00	\$ (16,728.00)
	5 PCs -w/Software	\$ (3,284.44)	\$ (824.86)	\$ 824.86
	SQL-Server Edition & Licenses	\$ (1,644.30)	\$ (411.08)	\$ 411.08
	Virus Protection Software	\$ (855.36)	\$ (213.84)	\$ 213.84
	Sonic Wall and Portable Harddrive	\$ (1,792.00)	\$ (448.00)	\$ 448.00
	600GB HS Hard Drives	\$ (768.11)	\$ (192.03)	\$ 192.03
	17 Pcs -w/Software	\$ (11,473.77)	\$ (2,868.95)	\$ 2,868.95
	Balance			\$ (11,769.24)
JTA Capital Reserve Account Balance				\$ 2,389,483.31
JTA Appropriated Project Funds Sub-Total				\$ (2,181,045.47)

Pending Reimbursements
Pending Payments

CAPITAL RESERVE BALANCE \$ 208,437.84

Total 2014 Budgeted Capital Projects \$ 5,610,349.00

DRAFT

Jefferson Transit Authority Board

Meeting Minutes

Tuesday, November 18, 2014, 1:30 pm
701 Harrison Street, Port Townsend, WA

CALL TO ORDER/WELCOME

The meeting was called to order by Jefferson Transit Authority (JTA) Board Chair David Sullivan at 1:33 pm. Other members present were Catharine Robinson, John Austin, Phil Johnson, Lloyd Eisenman, with Robert Gray excused.

STAFF PRESENT

General Manager Tammi Rubert, Finance Manager Sara Crouch, Fleet and Facilities Manager Ben Arnold, Operations Manager John Koschnick and Executive Assistant/Clerk of the Board Laura Smedley.

PUBLIC COMMENT

Brenda McMillan asked if the 9:00 am #2 Mountain View connected with the 9:25 #7 Poulsbo bus.

PUBLIC HEARING

PUBLIC COMMENT

Margaret Lee asked questions and made suggestions regarding the 2015 Operating/Capital Budget.

Darrell Conder asked about the Mason Transit connection location.

Margaret Lee requested that the remaining reserve for bus shelters be used as needed for new shelters.

Steve Oakford noted that the purchase of a shelter is only part of the expense. The prep work is also expensive. He would rather see extra funds spent on service.

DRAFT

Sara Crouch responded to Margaret Lee's questions regarding the budget.

Tammi Rubert stated that a decision has not been made regarding the connection location with Mason Transit in response to Darrell Conder's question.

Catherine Robinson asked about shelter reserve funds. Sara Crouch explained that there is \$28,000 in the budget for shelters. This funding is Surface Transportation Grant monies and has been in the budget since 2010. It was originally \$35,000. We are planning to purchase a new shelter for the new facility.

Phil Johnson asked what the source of heat is for the new facility. Ben Arnold answered it will be electric forced air with a heat pump.

The Public Hearing will remain open until the December 16, 2014 meeting.

NEW AGENDA ITEMS

John Austin would like to discuss consumer outreach passes.

Tammi Rubert requested an Executive Session at the end of the meeting for the purpose of discussing property.

FINANCE REPORT

August 2014 sales tax came in .8% lower than August 2013. Cumulatively, January through August is 3% lower than 2013 receipts.

Vehicle maintenance and repair parts are up due to several high-dollar repairs. Some of these repairs included an exhaust system with a catalyst. Also, a Luminator destination sign, which is a reader board on the front of the bus telling its destination, was sent away for repair.

Overall, it is important to note that we are tracking under budget by 5.7%

Capital activity in October for the new facility includes materials testing for the concrete work that has been completed; construction phase design services and actual construction. There has been no non-facility capital activity.

CONSENT AGENDA

Catherine Robinson suggested the following corrections to the October minutes:

- Correct the spelling of Scarlett Sankey's name in the Public Comment section.
 - On page two (2) where it states, "The Chair of the County commissioners and the City mayor will appoint a representative," add the word "each."
 - On page four (4), first paragraph under "Planning," the City of Port Townsend did not vote on the rezone application. It should be changed to read "Port Townsend Planning Commission met and voted..."
 - On page six (6), second paragraph, add what the Fall bid was for.
 - On page seven (7), second paragraph under "Responses," add the word "by" to make the sentence read "...and JTA is planning to move by June."
 - In the Special Meeting Minutes from November 4, 2014 state that Board member Phil Johnson was absent.
-
- a. Approval of Minutes, October 21, 2014
 - b. Approval of Special Meeting Minutes, November 4, 2014
 - c. Approval of Expenses, October 2014

Motion: Catharine Robinson moved to approve the Consent Agenda with changes. Phil Johnson seconded.

Vote: The motion carried unanimously, 4-0 by voice vote.

OLD BUSINESS

There was none.

NEW BUSINESS

John Austin stated that it was suggested to him that an inexpensive way to encourage ridership would be a more liberal use of free daily bus passes. Anything that JTA could do to encourage ridership by a new rider would be helpful. Free passes could be distributed in high-volume places such as the Port Townsend Paper Mill, the Food Co-op, Safeway or the Visitor's Center.

Tammi Rubert responded by saying JTA has been looking for additional ways to encourage ridership with some of the larger employers in our community.

General Managers Report – Tammi Rubert

The Washington State Transit Association (WSTA) proposed recommendations for the 2015 legislative agenda. The focus is on preserving existing service, and operating and capital grants. WSTA is also focusing on securing new local and regional revenue authority supporting a statewide transportation package. A priority for WSTA is to maintain a clear message to our lawmakers stating the need for funding transportation needs in the future.

Upcoming WSTA Board and Committee meeting dates:

- November 19th and 20th Laura Smedley will be attending the Marketing and Communications Exchange in Olympia.
- December 3rd Sara Crouch will be attending a Finance Committee Meeting in Tacoma.
- December 19th is a WSTA Officer's Call, which is done from remotely from my office.

Sara Crouch, Cheryl Loran and myself attended the Peninsula Regional Transportation Planning Organization (PRTPO) ranking committee meeting on November 14, 2014. In the past, agencies applying for a consolidated grant sat together as a group and ranked each other's projects. JTA has requested funding for three (3) projects.

- Project A is our East Jefferson county service.
- Project B is our West Jefferson county (JTOC) service.
- Project C is a capital project for two (2) midsize vehicles for our JTOC service.

This year the process was changed. There will now be a ranking committee. Each competing agency prepared and presented their needs, demographics and future planning. JTA's three (3) projects were all ranked an "A." This means 100% of the "A" projects will be funded if legislation chooses to fund transportation.

The contract for the Haines Place Visitors Information Center, soon to be the Haines Place Transit Center, was signed. The details of the move are being planned.

There is a great deal of activity at the new facility site. The columns and beams have been assembled. The wall girts and roof insulation will begin soon. The footings for Building B, which is the fuel island, are completed. Building B is scheduled to be delivered mid-December. A 35-foot radio antenna was purchased. JTA is still on budget and anticipate a completion date of March 27, 2015.

Our new I.T. Specialist Mike Samodurav has been with JTA for two (2) months and has put together a list of priorities. His top priority is to improve our server network reliability. Mike has improved JTA's security and is working on a viable Network Disaster Recovery Plan (NDRP). This will be handled entirely in-house instead of relying on Albright Networks, who charges \$125 per hour.

DRAFT

Our Mobility Coordinator Leesa Monroe attended the DASH (Disability Awareness Starts Here) monthly meeting on November 4th. She also attended the Senior Provider meeting at Seaport Landing.

Ms. Monroe delivered two hundred promotional brochures with complimentary day passes to Jefferson Healthcare employees. The passes were effective for the month of October. There has been a minimal number of passes returned. She would like to plan another attempt and is working on a different approach to encourage hospital employees to try transit.

Catherine Robinson said that the City of Port Townsend has a Wellness Program for its employees. Although riding the bus would be considered wellness for the planet, walking to the bus stop might qualify for wellness credit. David Sullivan also stated that sometimes it could be better to work with the employer, who may know best how to motivate their employees. Lloyd Eisenman suggested concentrating on downtown businesses. He stated that offering complimentary day passes for all employees at each business may help them see how easy it is to ride the bus, and leave the parking spaces for their customers.

On Saturday, December 6th from 9:00 am to 4:00 pm, JTA will be sponsoring a "Stuff the Bus" event for Toys for Tots. We will be collecting new, unwrapped presents to stuff the bus. The bus will be located behind Henery's Garden Center. Last year this event was very successful. We are partnering with the Marine Corp. and the Kiwanis Club.

Operations – John Koschnick

Before beginning his report, Mr. Koschnick wanted to address Brenda McMillan's comment about the #2 Mountain View bus not connecting to the 9:00 am #7 Poulsbo bus. Staff has not brought it to his attention as a problem, but he will look into the connection.

November Employment Anniversaries

- | | |
|--------------------------------------|----------|
| • Gordon Meling, Operator | 3 years |
| • Eric Kaahanui, Operator | 3 years |
| • Paul Hausmann, Operator | 23 years |
| • Sara Crouch, Finance Administrator | 3 years |
| • Robin Ramone, Payroll & Benefits | 3 years |
| • Tammi Rubert, General Manager | 10 years |

From October 22nd to the 24th Mr. Koschnick attended a WSTA Operations Committee Meeting, which occurs three (3) times each year. This meeting was held in Oak Harbor and was hosted by Island Transit. This is a statewide meeting that several other agencies attend. There was a very dynamic speaker who discussed how to deal with mentally unstable individuals in transportation. Mr. Koschnick will be looking into the cost of having him speak with our drivers and possibly split the cost with Clallam Transit.

DRAFT

On November 6th, the second meeting of the New Facility Review Committee was held. Several service models were discussed and Mr. Koschnick will have something to present to the Board at the December meeting.

All-Staff Training was held on November 11th. Chris Duvall, Risk-Manager Consultant with WSTIP (Washington State Transit Insurance Pool) was our guest speaker. The training subjects were wheelchair lift and mobility securement, accident training, the causes and procedures that need to be followed when an accident occurs.

On November 13th, Mr. Koschnick attended a WSDOT (Washington State Department of Transportation) Area 3 Interagency Winter Prep meeting in Port Angeles. It was well attended by many different state, county and city agencies.

Maintenance Report –Ben Arnold

Mr. Arnold has been assessing JTA's parts inventory and is creating a surplus list which will be ready for Board approval at the December meeting. In the coming months, he will be working on surplus lists for furniture, used parts, electronics and other miscellaneous items so JTA will not have to pay to move un-needed items.

Four (4) used shelters were purchased from Intercity Transit. David Lont will be traveling to Olympia next week to pick them up. After cleaning and repainting JTA will save an average of \$8,000 per shelter.

JTA chose Elite Movers from Sequim to help with the upcoming move. They have recently moved the offices for the City of Sequim. We will be sending a contract to our attorney for approval and then will ask for Board for approval.

WSDOT Highway Bus Stop Department requested the GPS location of the site for the shelter in Quilcene. The caller said this was required for the permit approval, which hopefully means it is nearing completion.

JTA has passed the last four (4) Stormwater tests thanks to the experimentation with the flower boxes under the gutter downspouts and all the hard work by our employees.

John Austin asked if any progress has been made with the bus stop on Oak Bay Road near the fire station. John Koschnick stated that he met with Qwest last year and discussed working together to get that area painted. Part of that process was putting the sign back up. When we did reinstall the sign, someone from Qwest removed it and brought it to the office. Qwest maintains it is their pullout and they do not want anyone else to use it. Mr. Koschnick will send the Qwest contact information to John Austin.

DRAFT

RIDERSHIP

Ridership showed an increase in October from September by 1%. Overall for the year, we are down about 3.27% which is attributed to the cancellation of Sunday Service, which was 4% of our service. Dial-A-Ride is at 2.69 boardings per hour. We have 95% on-time performance with eleven (11) new applicants.

Mr. Koschnick wanted to point out the chart on the ridership report which shows which routes get the most ridership. The #11 shuttle is JTA's biggest percentage of ridership. After that, all of the routes are fairly close in ridership numbers.

PUBLIC COMMENT

Steve Oakford pointed out that because of Jefferson Healthcare's shifts, it may be difficult to encourage ridership. The main idea is to try to reduce an individual's car use, not eliminate it.

Darrell Conder mentioned that the Food Co-Op would be a good environment to promote transit.

Steve Oakford thinks if JTA gives out complimentary passes we should number and track them.

EXECUTIVE SESSION

Per RCW 42.30.110 for discussion regarding property with possible direction.

Executive Session began at 2:50 pm

Executive Session ended at 3:10 pm

ADJOURNMENT

The meeting was adjourned at 3:10 pm. The next regular meeting will be held Tuesday, December 16, 2014, at 1:30 p.m.

Laura Smedley, Clerk of the Board

Date



1615 W. Sims Way, Port Townsend, WA 98368

DATE: 12/16/2014

November 2014 Expenses

Approval of Accounts Payable Vouchers/EFT/Advance Travel and Capital Checks

- Accounts Payable Voucher #93183 in the amount of \$71,918.12
- Accounts Payable Vouchers #93184-93219 in the amount of \$37,327.31
- Accounts Payable Voucher #93220 in the amount of \$2,580.00
- Accounts Payable Voucher #93221 in the amount of \$71,256.90
- Accounts Payable Vouchers #93222-93254 in the amount of \$71,637.05
- EFT Vouchers #5695-5700 in the amount of \$6,231.07
- EFT Vouchers #5701-5706 in the amount of \$5,973.97
- Advance Travel Vouchers #356-357 in the amount of \$127.50
- Capital Checks #450-453 in the amount of \$588,409.63
- Transfer from the Operating account to the Bond Payment Reserve account for the purpose of placing funds in the bond payment reserve per bond covenant in the amount of \$6,755.96

Each Accounts Payable Claim Voucher has been Authorized and Approved by the Finance Committee.
The General Manager has approved these for the consent agenda.
These claim vouchers which detail specific vouchers are available for viewing upon request.

Laura Smedley

Clerk of the Authority

DRAFT

Jefferson Transit Authority

Resolution No. 14-22

**Adopting the Jefferson Transit Authority Board Meeting
Schedule for 2015**

A RESOLUTION of the Board of Directors of the Jefferson County Public Transportation Benefit Area, hereinafter called the "Authority", establishing the schedule for regular meetings of the Authority for 2015

WHEREAS, the Authority holds regular monthly meetings on the 3rd Tuesday of each month, which are open to the public; and

WHEREAS, the need exists to establish a published schedule of said meetings;

NOW THEREFORE, BE IT RESOLVED by the Jefferson Transit Authority Board that the regular monthly meetings for the 2015 calendar year be established as follows:

THE MONTHLY PUBLIC MEETINGS SHALL BE HELD AT THE TIMES AND LOCATIONS AS OUTLINED ON THE ATTACHED SCHEDULE. Meeting changes and special meetings will be published as required by law.

CERTIFICATION

The undersigned duly qualified Clerk of the Board, acting on behalf of the Jefferson County Public Transportation Benefit Area, certifies that the foregoing is a true and correct copy of a resolution adopted at a legally convened meeting of the Jefferson Transit Authority Board held on December 16, 2014.

Chair

Vice Chair

Member

Member

Attest:

Member

Clerk of the Board

DRAFT



JEFFERSON TRANSIT AUTHORITY BOARD MEETING SCHEDULE 2015

The **Jefferson Transit Authority Board** (JTA) meets the 3rd Tuesday of each month at 1:30 pm. The meetings are held at Fire Station 16, 701 Harrison Street, at the corner of Harrison and Lawrence Streets in Port Townsend. These meeting will be held in the boardroom of the new JTA Transit Facility located at 63 Four Corners Road, Port Townsend, after the move has been completed.

January 20

February 17

March 17

April 21

May 19

June 16

July 21

August 18

September 15

October 20

November 17

December 15

Any changes to this schedule or location will be advertised in the Legal Notices section of the Port Townsend Leader and posted on our website at www.jeffersontransit.com.

Jefferson Transit Authority

Resolution No. 14-25

Execute the 2nd Amendment to Grant Agreement GCB1613

The SECOND AMENDMENT to AGREEMENT GCB1613 entered into between the Washington State Department of Transportation (hereinafter referred to as "WSDOT"), Jefferson Transit Authority (hereinafter referred to as "CONTRACTOR"), and/or individually referred to as the "PARTY" and collectively referred to as the "PARTIES,"

WHEREAS, both PARTIES agree to amend AGREEMENT GCB1613 to add \$124,458 in Rural Mobility Transit Tax Equalization Formula funds for Project A, \$325,000 in Projected 5311 and \$769,550 in Projected Contractors Funds into Current funds for Project A;

NOW THEREFORE, the following AMENDMENTS are hereby incorporated into AGREEMENT GCB1613

CERTIFICATION

The undersigned duly qualified Clerk of the Board, acting on behalf of the Jefferson County Public Transportation Benefit Area, certifies that the foregoing is a true and correct copy of a resolution adopted at a legally convened meeting of the Jefferson Transit Authority Board held on December 16, 2014.

Chair

Vice Chair

Member

Member

Attest:

Member

Clerk of the Board

DRAFT

The SECOND AMENDMENT to AGREEMENT GCB1613 entered into between the Washington State Department of Transportation (hereinafter referred to as “WSDOT”), Jefferson Transit Authority (hereinafter referred to as “CONTRACTOR”), and/or individually referred to as the “PARTY” and collectively referred to as the “PARTIES,”

RECITALS

WHEREAS, both PARTIES agree to amend AGREEMENT GCB1613 to add \$124,458 in Rural Mobility Transit Tax Equalization Formula funds for Project A, \$325,000 in Projected 5311 and \$769,550 in Projected Contractors Funds into Current funds for Project A;

NOW THEREFORE, the following AMENDMENTS are hereby incorporated into AGREEMENT GCB1613

AGREEMENT

1. RECITALS are hereby incorporated into this AGREEMENT.
2. Amend Caption heading ‘PROJECT COSTS’ on the first page of the AGREEMENT to read as follows:

Project Costs:

Federal Funds	\$ 1,629,866
State Funds	\$ 501,847
Contractor Funds	\$ 3,641,188
Total Project Cost	\$ 5,772,901

3. Amend the existing language in Exhibit I SCOPE OF WORK AND BUDGET and replace it to read as follows:

EXHIBIT I SCOPE OF WORK AND BUDGET

Total Project Cost	
Federal Funds	\$ 1,629,866
State Funds	\$ 501,847
Contractor Funds	\$3,641,188
Total Project Cost	\$ 5,772,901

DRAFT

4. Amend the current language set forth in Exhibit I, Funding by Project: Project A to read as follows:

PROJECT A

Scope of Work: Provide operating funding assistance to sustain existing general public fixed-route bus and complementary Dial-A-Ride services for special-needs persons in east Jefferson County service area, including connections to transit systems in Mason, Clallam and Kitsap counties.

Funding	Percentage	Current Funds	Total Funds
FTA 5311	25%	\$1,275,000	\$1,275,000
Paratransit Special Needs Transit Formula Funds	3%	\$139,515	\$139,515
Rural Mobility Tax Equalization Transit Formula Funds	7%	\$362,332	\$362,332
Contractor Funds	65%	\$3,382,834	\$3,382,834
Total Project Cost	100%	\$5,159,681	\$5,159,681

Budget: *Funding and percentages identified reflect current project funds for 2013-2015.*

5. A copy of this AMENDMENT to the AGREEMENT shall be attached to and made a part of the original AGREEMENT. Any references to the "AGREEMENT" shall mean "AGREEMENT as amended."

6. All other terms and conditions of the original AGREEMENT not hereby amended shall remain in full force and effect. This document may be simultaneously executed in several counterparts, each of which shall be deemed original having identical legal effect.

IN WITNESS WHEREOF, the PARTIES hereto have executed this AMENDMENT the day and year last written below.

WASHINGTON STATE DEPARTMENT OF TRANSPORTATION

By: _____
Brian Lagerberg, Director
Public Transportation Division

Date: _____

CONTRACTOR

By: _____
Authorized Representative
Title: _____

Print Name: _____

Date: _____



Authority Board Agenda Summary

MEETING DATE: December 16, 2014

AGENDA ITEM: Resolution 14-23: Authorizing the General Manager to sign the 2015 Certifications and Assurances

SUBMITTED BY: Sara Crouch **TITLE:** Finance Manager

DEPARTMENT: Finance

**EXHIBITS/
ATTACHMENTS:**

None

BUDGETARY IMPACT (if applicable)

BUDGETED: _____

EXPENDITURE REQUIRED: _____

FUNDING SOURCE: _____

REVIEWED BY: Jammi Robert

MEETING DATE: December 16, 2014

RECOMMENDATION: Approve

COMMENTS:

**SUMMARY
STATEMENT:**

A resolution of the Board of Directors of the Jefferson County Public Transportation Benefit Area, authorizing the General Manager to sign the 2015 Certifications and Assurances.

**RECOMMENDED
ACTION/MOTION:**

Motion: Move to adopt Resolution 14-23: Authorizing the General Manager to sign the 2015 Certifications and Assurances.

JEFFERSON TRANSIT AUTHORITY

RESOLUTION 14-23

Authorize the General Manager to sign the 2015 Certifications and Assurances

A RESOLUTION of the Board of Directors of the Jefferson County Public Transportation Benefit Area, hereinafter called the "Authority", authorizing the General Manager to sign the 2015 Certifications and Assurances

WHEREAS, Jefferson Transit Authority has been awarded Federal capital and operating funds, and intends to apply for additional funds, via grants administered by the Washington State Department of Transportation and the Federal Transit Administration, for transportation services to the general public.

WHEREAS, annual updates to the Certifications and Assurances are required to certify that Jefferson Transit will comply with all Federal statutes, regulations, Executive Orders, and administrative requirements applicable to grant funds applied for, and received under 49 U.S.C.

NOW THEREFORE, BE IT RESOLVED that the Jefferson Transit Authority Board does hereby authorize the General Manager to sign the 2015 Certifications and Assurances.

CERTIFICATION

The undersigned duly qualified Clerk of the Board, acting on behalf of the Jefferson County Public Transportation Benefit Area, certifies that the foregoing is a true and correct copy of a resolution adopted at a legally convened meeting of the Jefferson Transit Authority Board held on December 16, 2014.

Chair

Vice Chair

Member

Member

Attest:

Member

Clerk of the Board

FTA FISCAL YEAR 2015 CERTIFICATIONS AND ASSURANCES

PREFACE

Except as the Federal Transit Administration (FTA or We) determines otherwise in writing, before FTA may award Federal transit assistance (funding or funds) in the form of a Federal Grant, Cooperative Agreement, Loan, Line of credit, or Loan Guarantee to support a public transportation Project, an Authorized Representative (You) of the Project Sponsor (Applicant) must select certain Certifications and Assurances required by Federal law or regulation. Among other things, the Authorized Representative must be duly authorized by the Applicant to sign these Certifications and Assurances and bind its compliance. You, as your Applicant's Authorized Representative, must select all Certifications and Assurances that your Applicant must provide to support its application(s) for FTA funding during Federal fiscal year (FY) 2015.

We request that you read each Certification and Assurance and select those that will apply to all Projects for which your Applicant might seek FTA funding. As required by Federal law and regulation, only if you select adequate Certifications and Assurances on your Applicant's behalf, may FTA award Federal funding for its Project.

We have consolidated our Certifications and Assurances into twenty-four (24) Groups. At a minimum, you must select the Assurances in Group 01 on your Applicant's behalf. If your Applicant requests more than \$100,000 in Federal funding, you must also select the "Lobbying" Certification in Group 02, unless your Applicant is an Indian tribe, Indian organization, or a tribal organization. Depending on the nature of your Applicant and its Project, you may also need to select some Certifications and Assurances in Groups 03 through 24. Instead of selecting individual Groups of Certifications and Assurances, however, you may make a single selection that will encompass all twenty-four (24) Groups of Certifications and Assurances that apply to all our programs.

FTA, your Applicant, and you, as your Applicant's Authorized Representative, understand and agree that not every provision of these twenty-four (24) Groups of Certifications and Assurances will apply to every Applicant or every Project FTA funds, even if you make a single selection encompassing all twenty-four (24) Groups. Nor will every provision of all Certifications and Assurances within a single Group apply if that provision does not apply to your Applicant or its Project. The type of Project and Applicant will determine which Certifications and Assurances apply.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or any other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and each Third Party Participant to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

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Except as FTA determines otherwise in writing, if your Applicant is a team, consortium, joint venture, or partnership, it understands and agrees that you must identify the activities each member will perform and the extent to which each will be responsible for compliance with the Certifications and Assurances that you select on its behalf, and whether the member will serve as a Recipient, Subrecipient, or Third Party Contractor.

It is important that your Applicant and you also understand that these Certifications and Assurances are pre-award requirements, generally imposed by Federal law or regulation, and do not include all Federal requirements that may apply to it or its Project. Our FTA Master Agreement for Federal FY 2015, MA(21), is available at <http://www.fta.dot.gov>, and contains a list of most of those requirements.

We expect you to submit your Applicant's FY 2015 Certifications and Assurances and its applications for funding in TEAM-Web. You must be registered in TEAM-Web to submit the FTA FY 2015 Certifications and Assurances on its behalf. The TEAM-Web "Recipients" option at the "Cert's & Assurances" tab of the "View/Modify Recipients" page contains fields for selecting among the twenty-four (24) Groups of Certifications and Assurances and a designated field for selecting all twenty-four (24) Groups of Certifications and Assurances. If FTA agrees that you cannot submit your Applicant's FY 2015 Certifications and Assurances electronically, you must submit the Signature Pages at the end of this document, as FTA directs, marked to show the Groups of Certifications and Assurances that it is submitting.

Be aware that these Certifications and Assurances have been prepared in light of:

- *FTA's latest authorization legislation, Moving Ahead for Progress in the 21st Century Act (MAP-21), Pub. L. 112-141, June 6, 2012,*
- *FTA's authorizing legislation in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply,*
- *The Highway and Transportation Funding Act of 2014, Pub. L. 113-159, August 8, 2014, and*
- *Continuing Appropriations Resolution, 2015, Pub. L. 113-164, September 19, 2014 and other Appropriations Acts or Continuing Resolutions funding the Department of Transportation during Fiscal Year 2015.*

With certain exceptions, Projects financed in FY 2015 with funds appropriated or made available for FY 2012 or a previous fiscal year must be in compliance with the requirements for that type of Project in effect during the fiscal year for which the funding was derived, except as superseded by MAP-21 cross-cutting requirements that apply.

GROUP 01. REQUIRED CERTIFICATIONS AND ASSURANCES FOR EACH APPLICANT.

Before FTA may provide funding for your Applicant's Project, in addition to any other Certifications and Assurances that you must select on your Applicant's behalf, you must

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also select the Certifications and Assurances in Group 01, except as FTA determines otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or any other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and any other Third Party Participant to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications and Assurances in Group 01 that does not apply will not be enforced.

01.A. Certification and Assurance of Authority of the Applicant and Its Authorized Representative.

You certify and affirm that both you, as your Applicant's Authorized Representative, and your Applicant's attorney, who is authorized to represent your Applicant in legal matters, who sign these Certifications, Assurances, and Agreements, may undertake the following activities on its behalf, in compliance with applicable State, local, or Indian tribal laws and regulations, and its by-laws or internal rules:

1. Execute and file its application for Federal funds,
2. Execute and file its Certifications, Assurances, Charter Service Agreement, and School Bus Agreement, as applicable, binding its compliance,
3. Execute the Grant Agreement, Cooperative agreement, Loan, Loan Guarantee, or Line of Credit, for which the Applicant is seeking FTA funding,
4. Comply with applicable Federal laws and regulations, and
5. Follow applicable Federal guidance.

01.B. Standard Assurances.

On behalf of your Applicant, you assure that it understands and agrees to the following:

1. It will comply with all applicable Federal statutes and regulations to carry out any FTA-funded Project,
2. It is under a continuing obligation to comply with the terms and conditions of its Grant Agreement or Cooperative Agreement with FTA for its Project, including the FTA Master Agreement incorporated by reference and made part of the latest amendment to that Grant Agreement or Cooperative Agreement,
3. It recognizes that Federal laws and regulations may be amended from time to time and those amendments may affect Project implementation,
4. It understands that Presidential executive orders and Federal guidance, including Federal policies and program guidance, may be issued concerning matters affecting it or its Project,

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5. It agrees that the most recent Federal laws, regulations, and guidance will apply to its Project, except as FTA determines otherwise in writing,
6. Except as FTA determines otherwise in writing, it agrees that requirements for FTA programs may vary depending on the fiscal year for which the funding for those programs was appropriated:
 - a. In some instances, FTA has determined that Federal statutory or regulatory program and eligibility requirements for FY 2012 or a specific previous fiscal year, except as superseded by applicable MAP-21 cross-cutting requirements, apply to:
 - (1) New Grants and Cooperative Agreements, and
 - (2) New Amendments to Grants and Cooperative Agreements that:
 - (a) Have been awarded Federal funds appropriated or made available for FY 2012 or the previous fiscal year, or
 - (b) May be awarded Federal funds appropriated or made available for FY 2012 or the previous fiscal year, but
 - b. In other instances, FTA has determined that MAP-21 requirements will apply to Federal funds appropriated or made available for FY 2012 or a previous fiscal year, and
 - c. For all FTA-funded Projects, the following MAP-21 cross-cutting requirements supersede and apply in lieu of conflicting provisions of previous Federal law and regulations:
 - (1) Metropolitan and Statewide and Nonmetropolitan Transportation Planning,
 - (2) Environmental Review Process,
 - (3) Public Transportation Agency Safety Plans,
 - (4) Transit Asset Management Provisions (and Asset Inventory and Condition Reporting),
 - (5) Costs Incurred by Providers of Public Transportation by Vanpool,
 - (6) Revenue Bonds as Local Match,
 - (7) Debt Service Reserve,
 - (8) Government's Share of Cost of Vehicles, Vehicle-Equipment, and Facilities for ADA and Clean Air Act Compliance,
 - (9) Private Sector Participation,
 - (10) Bus Testing,
 - (11) Buy America,
 - (12) Corridor Preservation,
 - (13) Rail Car Procurements,
 - (14) Veterans Preference/Employment,
 - (15) Alcohol and Controlled Substance Testing, and
 - (16) Other provisions as FTA may determine.¹

¹ More information about these matters appears in the Federal Transit Administration, "Notice of FTA Transit Program Changes, Authorized Funding Levels and Implementation of the Moving Ahead for Progress in the 21st Century Act (MAP-21) and FTA FY 2013 Apportionments, Allocations, Program Information and Interim Guidance," 77 Fed. Reg. 663670, Oct. 16, 2012.

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01.C. Intergovernmental Review Assurance.

(This assurance in Group 01.C does not apply to an Indian tribe, an Indian organization or a tribal organization that applies for funding made available for 49 U.S.C. 5311(c)(1), which authorizes FTA's Tribal Transit Programs.)

As required by U.S. Department of Transportation (U.S. DOT) regulations, "Intergovernmental Review of Department of Transportation Programs and Activities," 49 CFR part 17, on behalf of your Applicant, you assure that it has submitted or will submit each application for Federal funding to the appropriate State and local agencies for intergovernmental review, to facilitate compliance with those regulations.

01.D. Nondiscrimination Assurance.

On behalf of your Applicant, you assure that:

1. It will comply with the following laws and regulations so that no person in the United States will be denied the benefits of, or otherwise be subjected to, discrimination in any U.S. DOT or FTA-funded program or activity (particularly in the level and quality of transportation services and transportation-related benefits) on the basis of race, color, national origin, religion, sex, disability, or age:
 - a. Federal transit laws, specifically 49 U.S.C. 5332 (prohibiting discrimination on the basis of race, color, religion, national origin, sex, disability, age, employment, or business opportunity),
 - b. Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000d,
 - c. The Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, *et seq.*,
 - d. The Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 *et seq.*,
 - e. 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,
 - f. U.S. DOT regulations, specifically 49 CFR parts 27, 37, 38, and 39, and
 - g. Any other applicable Federal statutes that may be signed into law or Federal regulations that may be promulgated,
2. It will comply with Federal guidance implementing Federal nondiscrimination laws and regulations, except to the extent FTA determines otherwise in writing,
3. As required by 49 CFR 21.7:
 - a. It will comply with 49 U.S.C. 5332, 42 U.S.C. 2000d, and 49 CFR part 21 in the manner:
 - (1) It conducts each Project,
 - (2) It undertakes property acquisitions, and
 - (3) It operates all parts of its facilities, as well as its facilities operated in connection with its Project,
 - b. This assurance applies to its entire Project and to all parts of its facilities, as well as its facilities operated to implement its Project,

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- c. It will promptly take the necessary actions to carry out this assurance, including the following:
 - (1) Notifying the public that discrimination complaints about transportation-related services or benefits may be filed with U.S. DOT or FTA, and
 - (2) Submitting information about its compliance with these provisions to U.S. DOT or FTA upon their request,
- d. If it transfers FTA-funded real property, structures, or improvements to another party, any deeds and instruments recording that transfer will contain a covenant running with the land assuring nondiscrimination:
 - (1) While the property is used for the purpose that the Federal funding is extended, or
 - (2) While the property is used for another purpose involving the provision of similar services or benefits,
- e. The United States has a right to seek judicial enforcement of any matter arising under:
 - (1) Title VI of the Civil Rights Act, 42 U.S.C. 2000d,
 - (2) U.S. DOT regulations, 49 CFR part 21, or
 - (3) This assurance,
- f. It will make any changes in its Title VI implementing procedures, as U.S. DOT or FTA may request, to comply with:
 - (1) Title VI of the Civil Rights Act, 42 U.S.C. 2000d,
 - (2) U.S. DOT regulations, 49 CFR part 21, and
 - (3) Federal transit laws, 49 U.S.C. 5332,
- g. It will comply with applicable Federal guidance issued to implement Federal nondiscrimination requirements, except as FTA determines otherwise in writing,
- h. It will extend the requirements of 49 U.S.C. 5332, 42 U.S.C. 2000d, and 49 CFR part 21 to each Third Party Participant, including any:
 - (1) Subrecipient,
 - (2) Transferee,
 - (3) Third Party Contractor or Subcontractor at any tier,
 - (4) Successor in Interest,
 - (5) Lessee, or
 - (6) Other participant in its Project, except FTA and the Applicant (that later becomes the Recipient),
- i. It will include adequate provisions to extend the requirements of 49 U.S.C. 5332, 42 U.S.C. 2000d, and 49 CFR part 21 to each third party agreement, including each:
 - (1) Subagreement at any tier,
 - (2) Property transfer agreement,
 - (3) Third party contract or subcontract at any tier,
 - (4) Lease, or
 - (5) Participation agreement, and
- j. The assurances you have made on its behalf remain in effect as long as FTA determines appropriate, including, for example, as long as:

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- (1) Federal funding is extended to its Project,
 - (2) Its Project property is used for a purpose for which the Federal funding is extended,
 - (3) Its Project property is used for a purpose involving the provision of similar services or benefits,
 - (4) It retains ownership or possession of its Project property, or
 - (5) FTA may otherwise determine in writing, and
4. As required by U.S. DOT regulations, "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," 49 CFR part 27, specifically 49 CFR 27.9, and consistent with 49 U.S.C. 5307(c)(1)(D)(ii), you assure that:
 - a. It will comply with the following prohibitions against discrimination on the basis of disability listed below in subsection 4.b of this Group 01.D Assurance, of which compliance is a condition of approval or extension of any FTA funding awarded to:
 - (1) Construct any facility,
 - (2) Obtain any rolling stock or other equipment,
 - (3) Undertake studies,
 - (4) Conduct research, or
 - (5) Participate in any benefit or obtain any benefit from any FTA administered program, and
 - b. In any program or activity receiving or benefiting from Federal funding that U.S. DOT administers, no qualified people with a disability will, because of their disability, be:
 - (1) Excluded from participation,
 - (2) Denied benefits, or
 - (3) Otherwise subjected to discrimination.

01.E. Suspension and Debarment Certification.

On behalf of your Applicant, you certify that:

1. It will comply and facilitate compliance with U.S. DOT regulations, "Nonprocurement Suspension and Debarment," 2 CFR part 1200, which adopts and supplements the U.S. Office of Management and Budget (U.S. OMB) "Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement)," 2 CFR part 180,
2. To the best of its knowledge and belief, that its Principals and Subrecipients at the first tier:
 - a. Are eligible to participate in covered transactions of any Federal department or agency and are not presently:
 - (1) Debarred,
 - (2) Suspended,
 - (3) Proposed for debarment,
 - (4) Declared ineligible,

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- (5) Voluntarily excluded, or
- (6) Disqualified,
- b. Its management has not within a three-year period preceding its latest application or proposal been convicted of or had a civil judgment rendered against any of them for:
 - (1) Commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction, or contract under a public transaction,
 - (2) Violation of any Federal or State antitrust statute, or
 - (3) Commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making any false statement, or receiving stolen property,
- c. It is not presently indicted for, or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses listed in the preceding subsection 1.E.2.b of this Certification,
- d. It has not had one or more public transactions (Federal, State, or local) terminated for cause or default within a three-year period preceding this Certification,
- e. If, at a later time, it receives any information that contradicts the preceding statements of subsections 2.a – 2.d of this Group 01.E Certification, it will promptly provide that information to FTA,
- f. It will treat each lower tier contract or lower tier subcontract under its Project as a covered lower tier contract for purposes of 2 CFR part 1200 and 2 CFR part 180 if it:
 - (1) Equals or exceeds \$25,000,
 - (2) Is for audit services, or
 - (3) Requires the consent of a Federal official, and
- g. It will require that each covered lower tier contractor and subcontractor:
 - (1) Comply and facilitate compliance with the Federal requirements of 2 CFR parts 180 and 1200, and
 - (2) Assure that each lower tier participant in its Project is not presently declared by any Federal department or agency to be:
 - (a) Debarred from participation in its federally-funded Project,
 - (b) Suspended from participation in its federally-funded Project,
 - (c) Proposed for debarment from participation in its federally-funded Project,
 - (d) Declared ineligible to participate in its federally-funded Project,
 - (e) Voluntarily excluded from participation in its federally-funded Project, or
 - (f) Disqualified from participation in its federally-funded Project, and
- 5. It will provide a written explanation as indicated on a page attached in FTA's TEAM-Web or the Signature Page if it or any of its principals, including any of its first tier Subrecipients or its Third Party Participants at a lower tier, is unable to certify compliance with the preceding statements in this Group 01.E Certification.

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01.F. U.S. OMB Assurances in SF-424B and SF-424D.

The assurances in Group 01.F are consistent with the U.S. OMB assurances required in the U.S. OMB SF-424B and SF-424D, and updated as necessary to reflect changes in Federal laws and regulations.

1. *Administrative Activities.* On behalf of your Applicant, you assure that:
 - a. For every Project described in any application it submits for Federal funding, it has adequate resources to properly plan, manage, and complete its Project, including the:
 - (1) Legal authority to apply for Federal funding,
 - (2) Institutional capability,
 - (3) Managerial capability, and
 - (4) Financial capability (including funds sufficient to pay the non-Federal share of Project cost),
 - b. As required, it will give access and the right to examine Project-related materials to entities or individuals including, but not limited to the:
 - (1) FTA,
 - (2) The Comptroller General of the United States, and
 - (3) State, through an appropriate authorized representative,
 - c. It will establish a proper accounting system in accordance with generally accepted accounting standards or FTA guidance, and
 - d. It will establish safeguards to prohibit employees from using their positions for a purpose that results in:
 - (1) A personal or organizational conflict of interest, or personal gain, or
 - (2) The appearance of a personal or organizational conflict of interest or personal gain,
2. *Project Specifics.* On behalf of your Applicant, you assure that:
 - a. Following receipt of an FTA award, it will begin and complete Project work within the time periods that apply,
 - b. For FTA-funded construction Projects:
 - (1) It will comply with FTA provisions concerning the drafting, review, and approval of construction plans and specifications,
 - (2) It will provide and maintain competent and adequate engineering supervision at the construction site to assure that the completed work conforms with the approved plans and specifications,
 - (3) It will include a covenant to assure nondiscrimination during the useful life of its Project in its title to federally-funded real property,
 - (4) To the extent FTA requires, it will record the Federal interest in the title to FTA-funded real property or interests in real property, and
 - (5) It will not alter the site of the FTA-funded construction Project or facilities without permission or instructions from FTA by:
 - (a) Disposing of the underlying real property or other interest in the site and facilities,

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- (b) Modifying the use of the underlying real property or other interest in the site and facilities, or
 - (c) Changing the terms of the underlying real property title or other interest in the site and facilities, and
 - c. It will furnish progress reports and other information as FTA or the State may require, and
- 3. *Statutory and Regulatory requirements.* On behalf of your Applicant, you assure that:
 - a. It will comply with all Federal statutes relating to nondiscrimination that apply, including, but not limited to:
 - (1) The prohibitions against discrimination on the basis of race, color, or national origin, as provided in Title VI of the Civil Rights Act, 42 U.S.C. 2000d,
 - (2) The prohibitions against discrimination on the basis of sex, as provided in:
 - (a) Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 – 1683, and 1685 – 1687, and
 - (b) U.S. DOT regulations, “Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance,” 49 CFR part 25,
 - (3) The prohibitions against discrimination on the basis of age in federally-funded programs, as provided in the Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 – 6107,
 - (4) The prohibitions against discrimination on the basis of disability in federally-funded programs, as provided in section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794,
 - (5) The prohibitions against discrimination on the basis of disability, as provided in the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 *et seq.*,
 - (6) The prohibitions against discrimination in the sale, rental, or financing of housing, as provided in Title VIII of the Civil Rights Act, 42 U.S.C. 3601 *et seq.*,
 - (7) The prohibitions against discrimination on the basis of drug abuse, as provided in the Drug Abuse Office and Treatment Act of 1972, as amended, 21 U.S.C. 1101 *et seq.*,
 - (8) The prohibitions against discrimination on the basis of alcohol abuse, as provided in the Comprehensive Alcohol Abuse and Alcoholism Prevention Act of 1970, as amended, 42 U.S.C. 4541 *et seq.*,
 - (9) The confidentiality requirements for records of alcohol and drug abuse patients, as provided in the Public Health Service Act, as amended, 42 U.S.C. 290dd – 290dd-2, and
 - (10) The nondiscrimination provisions of any other statute(s) that may apply to its Project,
 - b. As provided by the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (Uniform Relocation Act), 42 U.S.C. 4601 *et seq.*, and 49 U.S.C. 5323(b), regardless of whether Federal funding has been provided for any of the real property acquired for Project purposes:

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- (1) It will provide for fair and equitable treatment of any displaced persons, or any persons whose property is acquired as a result of federally-funded programs,
- (2) It has the necessary legal authority under State and local laws and regulations to comply with:
 - (a) The Uniform Relocation Act. 42 U.S.C. 4601 *et seq.*, as specified by 42 U.S.C. 4630 and 4655, and
 - (b) U.S. DOT regulations, "Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally Assisted Programs," 49 CFR part 24, specifically 49 CFR 24.4, and
- (3) It has complied with or will comply with the Uniform Relocation Act and implementing U.S. DOT regulations because:
 - (a) It will adequately inform each affected person of the benefits, policies, and procedures provided for in 49 CFR part 24,
 - (b) As required by 42 U.S.C. 4622, 4623, and 4624, and 49 CFR part 24, if an FTA-funded Project results in displacement, it will provide fair and reasonable relocation payments and assistance to:
 - 1 Displaced families or individuals, and
 - 2 Displaced corporations, associations, or partnerships,
 - (c) As provided by 42 U.S.C. 4625 and 49 CFR part 24, it will provide relocation assistance programs offering the services described in the U.S. DOT regulations to such:
 - 1 Displaced families and individuals, and
 - 2 Displaced corporations, associations, or partnerships,
 - (d) As required by 42 U.S.C. 4625(c)(3), within a reasonable time before displacement, it will make available comparable replacement dwellings to families and individuals,
 - (e) It will:
 - 1 Carry out the relocation process to provide displaced persons with uniform and consistent services, and
 - 2 Make available replacement housing in the same range of choices with respect to such housing to all displaced persons regardless of race, color, religion, or national origin,
 - (f) It will be guided by the real property acquisition policies of 42 U.S.C. 4651 and 4652,
 - (g) It will pay or reimburse property owners for their necessary expenses as specified in 42 U.S.C. 4653 and 4654, understanding that FTA will provide Federal funding for its eligible costs for providing payments for those expenses, as required by 42 U.S.C. 4631,
 - (h) It will execute the necessary implementing amendments to FTA-funded third party contracts and subagreements,
 - (i) It will execute, furnish, and be bound by such additional documents as FTA may determine necessary to effectuate or implement these assurances,

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- (j) It will incorporate these assurances by reference into and make them a part of any third party contract or subagreement, or any amendments thereto, relating to any FTA-funded Project involving relocation or land acquisition, and
 - (k) It will provide in any affected document that these relocation and land acquisition provisions must supersede any conflicting provisions,
- c. It will comply with the Lead-Based Paint Poisoning Prevention Act, specifically 42 U.S.C. 4831(b), which prohibits the use of lead-based paint in the construction or rehabilitation of residence structures,
- d. It will, to the extent applicable, comply with the protections for human subjects involved in research, development, and related activities supported by Federal funding of:
 - (1) The National Research Act, as amended, 42 U.S.C. 289 *et seq.*, and
 - (2) U.S. DOT regulations, "Protection of Human Subjects," 49 CFR part 11,
- e. It will, to the extent applicable, comply with the labor standards and protections for federally-funded Projects of:
 - (1) The Davis-Bacon Act, as amended, 40 U.S.C. 3141 – 3144, 3146, and 3147,
 - (2) Sections 1 and 2 of the Copeland "Anti-Kickback" Act, as amended, 18 U.S.C. 874, and 40 U.S.C. 3145, respectively, and
 - (3) The Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. 3701 *et seq.*,
- f. It will comply with any applicable environmental standards prescribed to implement Federal laws and executive orders, including, but not limited to:
 - (1) Complying with the institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended, 42 U.S.C. 4321 – 4335 and following Executive Order No. 11514, as amended, 42 U.S.C. 4321 note,
 - (2) Following the notification of violating facilities provisions of Executive Order No. 11738, 42 U.S.C. 7606 note,
 - (3) Following the protection of wetlands provisions of Executive Order No. 11990, 42 U.S.C. 4321 note,
 - (4) Following the evaluation of flood hazards in floodplains provisions of Executive Order No. 11988, 42 U.S.C. 4321 note,
 - (5) Complying with the assurance of Project consistency with the approved State management program developed pursuant to the Coastal Zone Management Act of 1972, as amended, 16 U.S.C. 1451 – 1465,
 - (6) Complying with the Conformity of Federal Actions to State (Clean Air) Implementation Plans requirements under section 176(c) of the Clean Air Act of 1955, as amended, 42 U.S.C. 7401 – 7671q,
 - (7) Complying with the protections for underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, 42 U.S.C. 300f – 300j-6,
 - (8) Complying with the protections for endangered species under the Endangered Species Act of 1973, as amended, 16 U.S.C. 1531 – 1544,

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- (9) Complying with the environmental protections for Federal transportation programs, including, but not limited to, protections for parks, recreation areas, or wildlife or waterfowl refuges of national, State, or local significance or any land from a historic site of national, State, or local significance to be used in a transportation Project, as required by 49 U.S.C. 303 (also known as "Section 4f"),
- (10) Complying with the protections for national wild and scenic rivers systems, as required under the Wild and Scenic Rivers Act of 1968, as amended, 16 U.S.C. 1271 – 1287, and
- (11) Complying with and facilitating compliance with:
 - (a) Section 106 of the National Historic Preservation Act of 1966, as amended, 16 U.S.C. 470f,
 - (b) The Archaeological and Historic Preservation Act of 1974, as amended, 16 U.S.C. 469 – 469c, and
 - (c) Executive Order No. 11593 (identification and protection of historic properties), 16 U.S.C. 470 note,
- g. To the extent applicable, it will comply with the following Federal requirements for the care, handling, and treatment of warm-blooded animals held or used for research, teaching, or other activities supported by Federal funding:
 - (1) The Animal Welfare Act, as amended, 7 U.S.C. 2131 *et seq.*, and
 - (2) U.S. Department of Agriculture regulations, "Animal Welfare," 9 CFR subchapter A, parts 1, 2, 3, and 4,
- h. To the extent applicable, it will obtain a certificate of compliance with the seismic design and construction requirements of U.S. DOT regulations, "Seismic Safety," 49 CFR part 41, specifically 49 CFR 41.117(d), before accepting delivery of any FTA-funded building,
- i. It will comply with, and assure that its Subrecipients located in special flood hazard areas comply with, section 102(a) of the Flood Disaster Protection Act of 1973, as amended, 42 U.S.C. 4012a(a), by:
 - (1) Participating in the Federal flood insurance program, and
 - (2) Purchasing flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more,
- j. It will comply with:
 - (1) The Hatch Act, 5 U.S.C. 1501 – 1508, 7324 – 7326, which limits the political activities of State and local agencies and their officers and employees whose primary employment activities are financed in whole or part with Federal funds, including a Federal Loan, Grant Agreement, or Cooperative Agreement, and
 - (2) 49 U.S.C. 5323(l)(2) and 23 U.S.C. 142(g), which provide an exception from Hatch Act restrictions for a nonsupervisory employee of a public transportation system (or of any other agency or entity performing related functions) receiving FTA funding appropriated or made available for 49 U.S.C. chapter 53 and 23 U.S.C. 142(a)(2) to whom the Hatch Act does not otherwise apply,

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- k. It will perform the financial and compliance audits as required by the:
 - (1) Single Audit Act Amendments of 1996, 31 U.S.C. 7501 *et seq.*,
 - (2) U.S. OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations," Revised, and
 - (3) Most recent applicable U.S. OMB A-133 Compliance Supplement provisions for the U.S. DOT,
- l. It will comply with all other Federal laws or regulations that apply, and
- m. It will follow Federal guidance governing it and its Project, except to the extent that FTA has expressly approved otherwise in writing.

GROUP 02. LOBBYING.

Before FTA may provide funding for a Federal Grant or Cooperative Agreement exceeding \$100,000 or a Federal Loan, Line of Credit, Loan Guarantee, or Loan Insurance exceeding \$150,000, in addition to other Certifications and Assurances you must select on your Applicant's behalf, you must also select the Lobbying Certifications in Group 02, unless your Applicant is an Indian Tribe exempt from the requirements of 31 U.S.C. 1352 or FTA determines otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or any other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and any other Third Party Participant to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications in Group 02 that does not apply will not be enforced.

On behalf of your Applicant, you certify that:

- 1. As required by 31 U.S.C. 1352 and U.S. DOT regulations, "New Restrictions on Lobbying," specifically 49 CFR 20.110:
 - a. The lobbying restrictions of this Certification apply to its requests:
 - (1) For \$100,000 or more in Federal funding for a Grant or Cooperative Agreement, and
 - (2) For \$150,000 or more in Federal funding for a Loan, Line of Credit, Loan Guarantee, or Loan Insurance, and
 - b. Your Certification on its behalf applies to the lobbying activities of:
 - (1) It,
 - (2) Its Principals, and
 - (3) Its Subrecipients at the first tier,
- 2. To the best of your knowledge and belief:
 - a. No Federal appropriated funds have been or will be paid by your Applicant or on its behalf to any person to influence or attempt to influence: