



# JEFFERSON TRANSIT AUTHORITY REGULAR BOARD MEETING

Tuesday, February 21, 2017 1:30 p.m.

Jefferson Transit Boardroom

63 4 Corners Road, Port Townsend, WA

## **AGENDA**

### **Call to Order/Welcome**

### **2017 Authority Board Elections**

### **Public Comments**

### **New Agenda Items**

#### **I. Finance Reports**

- a. January 2017
- b. December 2016

#### **II. Consent Agenda**

- a. Approval of Minutes, December 20, 2016
- b. Approval of Expenses, December 2016
- c. Approval of Expenses, January 2017
- d. Out of State Travel for Ben Arnold
- e. Out of State Travel for David Lont

#### **III. Old Business**

#### **IV. New Business**

- a. **Resolution 17-1:** Certifications and Assurances
- b. **Resolution 17-2:** To Amend Resolution 16-18 2017 Board Meeting Schedule
- c. **Resolution 17-3:** To Adopt a Natural Disaster Hazard Mitigation Plan
- d. **Resolution 17-4:** Disposition of Surplus Property
- e. **Resolution 17-5:** Authorizing the Chair to Sign Grant GCB2517
- f. **Resolution 17-6:** Amending the 2017 Capital Budget

#### **V. Reports**

- a. General Managers Report
- b. Operations Report
- c. Maintenance Report

#### **VI. Ridership Report**

### **Public Comments**

### **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.



**63 4 Corners Road, Port Townsend, WA 98368**

January 12, 2017

TO: Board of Trustees, Jefferson Transit Authority  
FROM: Sara Crouch, Finance/HR Manager  
RE: December 2016 Financial Report

The budget tracking percentage for December is 100%.

**Sales Tax Analysis Reports –**

- Sales tax for October 2016 was 7% higher than received for October 2015. Cumulatively, JTA is up 14% compared to 2015.

**Revenue Report –**

- East side farebox, JTOC (west side service) farebox, and DAR performed above budget, vanpool performed below budget. The vanpool budget figure was calculated on the assumption there would be 5 vanpools in 2016.

**Expense Report – JTA tracked 14.7% below budget as of December 2016**

- **Labor** – Fixed route, DAR, and other overtime ended the year over budget.
- **Benefits** – Unemployment insurance ended over budget, all other benefits trended below budget.
- **Service and User Fees** – Contract Maintenance Services (IT Services) – ended the year over budget due to a radio survey and shadow IT service.
- **Materials and Supplies Consumed -**
  - Vehicle Maintenance & Repair Parts – over budget, due to several high dollar repairs and in December obsolete parts were surplus.
  - Shop Supplies – over budget, due to increased costs for this line item.
- **Utilities** – Electrical – This line item does not include the current (December) month, I expect this line item will be between 6-8% (\$1500-\$2000 over budget).
- **Casualty and Liability Costs** – performing at budget
- **Taxes** – Below budget
- **Miscellaneous** – Trending below budget
- **Leases and Rentals** – Transit Way & Passenger Stations – The Port-a-Potty at HPTC had to be serviced every two weeks instead of once a month during the summer; repair costs are also included.

**Capital Activity –**

- Capital activity in December: SCJ Alliance, HPTC Lighting Project, Trailer purchase for Hauling Snorkel Lift/Sweeper Vac (additional expenses posted to December 2016 but will be on the January account reconciliation are: Pease Retainage payment (\$254,317); HPTC Lighting Project expense (\$7,188)

**Capital Project Tracking Report**

- The purpose of this report is to track the Capital projects while simultaneously tracking the balance in the Capital/Capital Reserve Accounts. I have struggled to make this report understandable and still provide useful information. I have simplified the report, removing the confusing appropriation column. If you have any questions please contact me at 360/385-3020 x120.



## December 2016 Financial Summary

Budget Tracking Figure: 100.0%

1. Operational Expenses:	\$319,121.86
Operational Revenues:	\$16,125.73
Non-Operational Income:	\$505,901.83
Capital Expenses:	\$29,380.83
Capital Income:	\$4,276.00

2. Sales Tax Received 12/31/2016 for October 2016:	\$344,116.73
Sales Tax Received 12/31/2015 for October 2015:	\$321,318.35

**\*\*Sales tax increased from prior year 7%\*\***

3. Cash on Hand as of December 31, 2016*:	
Operating:	\$2,138,764.97
Operating Reserve (81% Funded):	\$950,000.00
(Minimum Funding Required \$1,172,000)	
Real Estate Funds on Hold for Bond Call	\$561,515.00
Capital Account:	\$364,390.12
Capital Reserve (42% Funded)***:	\$1,534,632.69
(TDP Funding Match \$2,544,200)	
Unemployment Reserve:	\$14,000.00
Bond Payment Reserve:	\$13,758.66
Bond Reserve:	\$85,250.00
EFT Fund:	\$102,777.48
Travel Fund:	\$1,353.50

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<b>Total</b>	<b>\$5,766,442.42**</b>
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\*"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/Cash 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.

\*\*\*Balance 1,534,632.69 minus current year project obligations.

Jefferson Transit

Sales Tax Current & Prior Year Actual and Budget Variance Analysis

Projection Year

2016

Month Received - Cash Basis (Cash Flow)

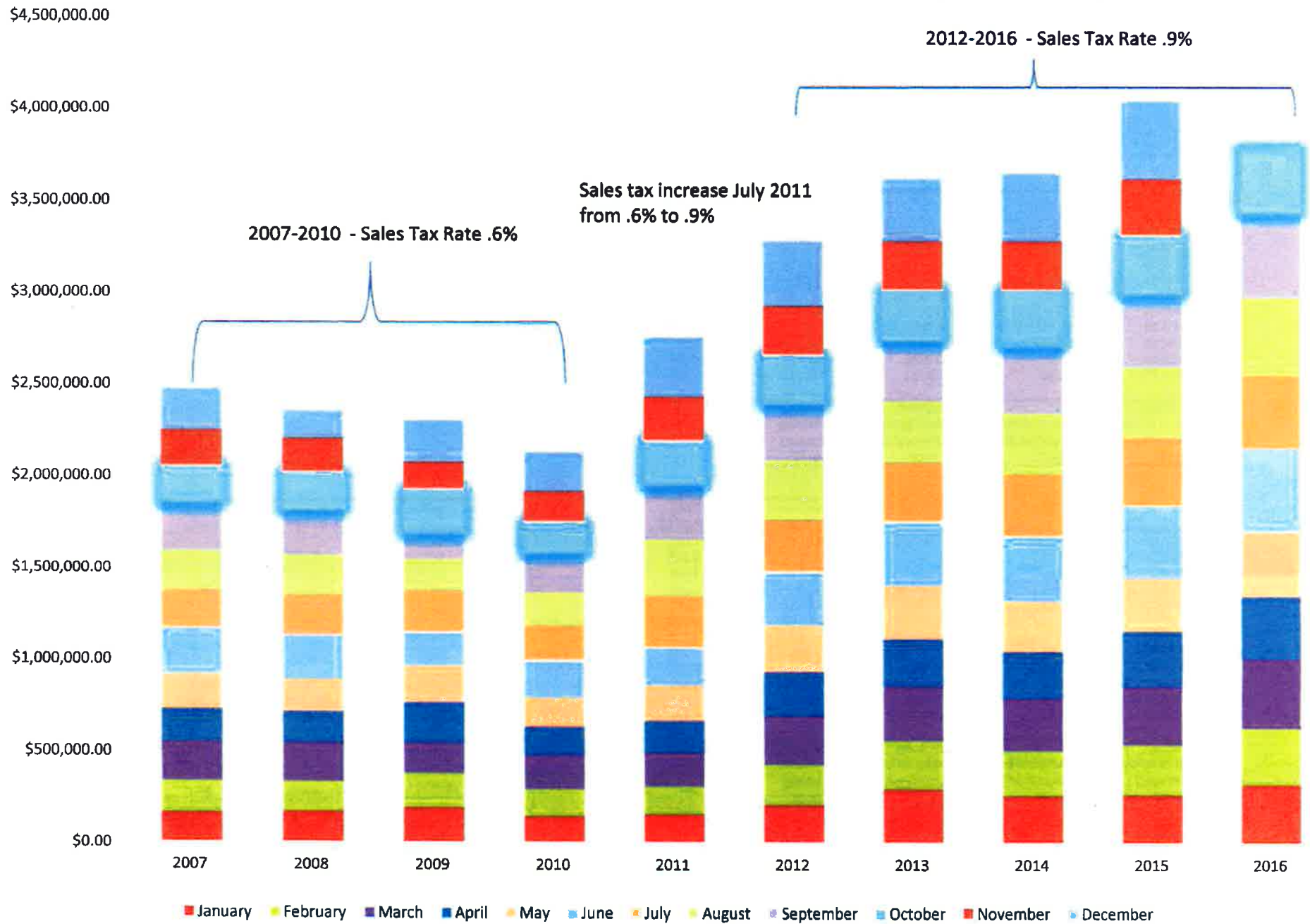
Month of Receipt	Tax Rate	2016 Tax	2015 Tax	2014 Tax	2013 Tax	2016 Budget	2016 Monthly Act to Bud Variance	2016 Cumulative Cash Actual Sales Tax Received	2016 Cumulative Cash Budgeted Sales Tax	2016 Cumulative Actual to Budget Variance
January	0.90%	\$300,908.64	\$261,865.96	\$261,546.64	\$263,071.24	\$241,672.00	24.51%	\$300,908.64	241,672.00	24.51%
February	0.90%	\$428,927.47	\$374,287.05	\$344,682.23	\$361,349.36	\$331,952.00	29.21%	\$729,836.11	573,624.00	27.23%
March	0.90%	\$318,746.72	\$261,817.97	\$256,028.91	\$291,292.37	\$267,054.00	19.36%	\$1,048,582.83	840,678.00	24.73%
April	0.90%	\$306,315.48	\$271,446.82	\$245,824.15	\$262,810.78	\$276,876.00	10.63%	\$1,354,898.31	1,117,554.00	21.24%
May	0.90%	\$379,552.66	\$320,654.36	\$287,301.65	\$299,768.61	\$327,067.00	16.05%	\$1,734,450.97	1,444,621.00	20.06%
June	0.90%	\$341,810.91	\$302,831.80	\$253,212.12	\$258,797.23	\$308,888.00	10.59%	\$2,076,061.88	1,753,509.00	18.39%
July	0.90%	\$358,635.90	\$292,359.11	\$279,961.16	\$292,014.18	\$298,390.00	20.19%	\$2,434,697.78	2,051,899.00	18.66%
August	0.90%	\$447,138.73	\$394,409.20	\$354,351.27	\$351,405.02	\$402,297.00	11.15%	\$2,881,836.51	2,454,196.00	17.42%
September	0.90%	\$399,443.33	\$371,144.67	\$334,282.34	\$317,410.71	\$378,568.00	5.51%	\$3,281,279.84	2,832,764.00	15.83%
October	0.90%	\$422,063.41	\$377,289.26	\$328,643.28	\$331,339.51	\$335,216.00	25.91%	\$3,703,343.25	3,167,980.00	16.90%
November	0.90%	\$460,953.02	\$399,850.25	\$368,479.21	\$336,708.79	\$375,849.00	22.64%	\$4,164,296.27	3,543,829.00	17.51%
December	0.90%	\$344,116.73	\$321,318.35	\$306,363.54	\$273,339.76	\$312,491.00	10.12%	\$4,508,413.00	3,856,320.00	16.91%
Total		\$4,508,413.00	\$3,949,274.80	\$3,620,676.50	\$3,639,307.58	\$3,856,320.00	14.46%			
Monthly Average		\$375,701.08	\$329,106.23	\$301,723.04	\$303,275.63	\$321,360.00				

Month Earned - Accrual Basis (Income Statement)

Month Recognized	Tax Rate	2016 Tax	2015 Tax	2014 Tax	2013 Tax	2016 Budget	2016 Actual to Budgeted Variance	2016 Cumulative Accrual Actual Sales Tax Received	2016 Cumulative Accrual Budgeted Sales Tax	2016 Cumulative Actual to Budget Variance
January	0.90%	\$318,746.72	\$261,817.97	\$256,028.91	\$291,292.37	\$267,054.00	19.36%	\$318,746.72	267,054.00	19.36%
February	0.90%	\$306,315.48	\$271,446.82	\$245,824.15	\$262,810.78	\$276,876.00	10.63%	\$625,062.20	543,930.00	14.92%
March	0.90%	\$379,552.66	\$320,654.36	\$287,301.65	\$299,768.61	\$327,067.00	16.05%	\$1,004,614.86	870,997.00	15.34%
April	0.90%	\$341,810.91	\$302,831.80	\$253,212.12	\$258,797.23	\$308,888.00	10.59%	\$1,346,225.77	1,179,885.00	14.10%
May	0.90%	\$358,635.90	\$292,359.11	\$279,961.16	\$292,014.18	\$298,390.00	20.19%	\$1,704,861.67	1,478,275.00	15.33%
June	0.90%	\$447,138.73	\$394,409.20	\$354,351.27	\$351,405.02	\$402,297.00	11.15%	\$2,152,000.40	1,880,572.00	14.43%
July	0.90%	\$399,443.33	\$371,144.67	\$334,282.34	\$317,410.71	\$378,568.00	5.51%	\$2,551,443.73	2,259,140.00	12.94%
August	0.90%	\$422,063.41	\$377,289.26	\$328,643.28	\$331,339.51	\$335,216.00	25.91%	\$2,973,507.14	2,594,356.00	14.61%
September	0.90%	\$460,953.02	\$399,850.25	\$368,479.21	\$336,708.79	\$375,849.00	22.65%	\$3,434,470.16	2,970,205.00	15.63%
October	0.90%	\$344,116.73	\$321,318.35	\$306,363.54	\$273,339.76	\$312,491.00	10.12%	\$3,778,586.89	3,282,696.00	15.11%
November	0.90%		\$300,908.64	\$261,865.96	\$261,546.64	\$267,103.00	0.00%	\$0.00	3,549,799.00	
December	0.90%		\$374,287.05	\$374,287.05	\$344,682.23	\$361,773.00	0.00%	\$0.00	3,931,572.00	
Total		\$3,778,586.89	\$3,988,317.48	\$3,650,800.64	\$3,621,115.83	\$3,931,572.00	0.00%			
Monthly Average		\$377,858.69	\$332,359.79	\$304,216.72	\$301,759.65	\$327,631.00				



## Jefferson Transit Authority - 2007-2016 Cumulative Sales Tax (Accrual Based)



**Jefferson Transit Authority**  
**Statement of Cash Flows-Accrual Basis**  
**For the Twelve Months Ending December 31, 2016**

	<u>December</u>	<u>Year to Date</u>
<b>STATEMENT OF CASH FLOWS</b>		
Cash Balances - Beginning of Period	\$5,868,006.67	\$3,576,936.62
Operating Cash Provided/(Used) by:		
Operating Activities	(\$135,808.05)	(\$3,494,281.23)
Non-Capital Financing Activities	\$349,569.88	\$5,601,208.92
Investing Activities	\$1,901.55	\$16,495.49
Total Operating Cash Provided/(Used)	\$215,663.38	\$2,123,423.18
Capital Cash Provided/(Used) by:		
Capital and Related Financing Activities	(\$314,255.49)	\$69,054.76
Net Increase/(Decrease) Cash and Equivalent	(\$98,592.11)	\$2,192,477.94
<b>CASH BALANCES - END OF PERIOD</b>	<b><u>\$5,769,414.56</u></b>	<b><u>\$5,769,414.56</u></b>

**Jefferson Transit Authority**  
**Statement of Income (Loss) - Accrual Basis**  
**For the Twelve Months Ending December 31, 2016**

	<u>December</u>	<u>YTD</u>	<u>Budget</u>	<u>% of Actual vs. Budget</u>
<b>STATEMENT OF INCOME/(LOSS)</b>				
Operating Revenues	\$16,125.73	\$206,864.33	\$215,600.00	95.95%
Operating Expenses				
Labor	136,734.47	1,841,477.40	1,937,683.00	95.04%
Benefits	97,583.72	1,256,306.34	1,538,325.00	81.67%
Services and User Fees	8,912.53	143,644.16	198,970.00	72.19%
Materials & Supplies	59,896.04	399,855.50	555,310.00	72.01%
Utilities	3,492.09	69,102.98	89,987.00	76.81%
Casualty/Liability Costs	9,880.38	118,565.00	120,000.00	98.80%
Taxes	756.96	5,421.75	8,158.00	66.46%
Miscellaneous Expenses	1,591.47	46,668.70	72,877.00	64.04%
Leases and Rentals	274.20	14,785.72	23,928.00	61.79%
Total Operating Expenses	319,121.86	3,895,827.55	4,545,218.00	85.71%
Operating Income (Loss)	(302,996.13)	(3,688,963.22)	(4,329,618.00)	85.20%
Non-Operating Revenues				
Non-Transportation Revenue	2,824.19	607,504.82	13,800.00	4,402.21%
Taxes Levied by Transit	413,398.73	4,583,665.00	3,817,621.00	120.07%
Local Grants & Contributions	1,250.00	17,500.00	17,500.00	100.00%
State Grants & Contributions	39,917.25	479,738.78	251,579.00	190.69%
Federal Grants & Contributions	48,511.66	582,281.98	801,284.00	72.67%
Total Non-Operating Revenues	505,901.83	6,270,690.58	4,901,784.00	127.93%
Net Income (Loss) Before Transfers In/(Out)	202,905.70	2,581,727.36	572,166.00	451.22%
Net Income/(Loss)	202,905.70	2,581,727.36	572,166.00	451.22%

**Jefferson Transit Authority**  
**Revenue Statement - Accrual Basis**  
**For the Twelve Months Ending December 31, 2016**

	<u>December</u>	<u>YTD</u>	<u>Budget</u>	<u>% of Actual vs. Budget</u>
<b>OPERATING REVENUES</b>				
<b>Passenger Fares for Transit Services</b>				
Fixed Route Fares - East	\$11,567.15	\$144,695.21	\$142,800.00	101.33%
Fixed Route Fares - West - JTOC	300.99	4,820.95	4,500.00	107.13%
Dial-a-Ride Fares (DAR)	949.51	10,963.96	10,800.00	101.52%
Vanpools	3,308.08	43,849.30	55,000.00	79.73%
Extended Service		2,534.91	2,500.00	101.40%
<b>Auxiliary Transportation Revenues</b>				
<b>Total Operating Revenues</b>	<b>16,125.73</b>	<b>206,864.33</b>	<b>215,600.00</b>	<b>95.95%</b>
<b>NONOPERATING REVENUES</b>				
<b>Nontransportation</b>				
Investment (Interest) Income	1,901.55	16,495.49	3,000.00	549.85%
Gain (Loss) on Disposition of Capital Items		581,704.16		0.00%
Public Donations	80.00	154.40		0.00%
Other Nontransportation Revenues	842.64	9,150.77	10,800.00	84.73%
<b>Taxes Levied Directly by Transit System - Sales &amp; Use Tax</b>	<b>413,398.73</b>	<b>4,583,665.00</b>	<b>3,817,621.00</b>	<b>120.07%</b>
<b>Local Grants and Contributions</b>				
JTOC	1,250.00	15,000.00	15,000.00	100.00%
WSTIP		2,500.00	2,500.00	100.00%
<b>State Grants and Contributions</b>				
Rural Mobility Competitive	39,539.00	474,628.00	248,579.00	190.94%
RTAP	378.25	5,110.78	3,000.00	170.36%
<b>Federal Grants and Contributions (OPERATING)</b>				
Federal Grants and Contributions - FTA 5311	48,511.66	582,281.98	801,284.00	72.67%
<b>Capital Contributions - Local/State/Federal</b>				
Capital Contributions - State		34,335.00		0.00%
Capital Contributions - FTA 5311, Equipment Assistance (Federal)		35,535.03		0.00%
<b>Total Nonoperating Revenues</b>	<b>505,901.83</b>	<b>6,340,560.61</b>	<b>4,901,784.00</b>	<b>129.35%</b>
<b>TOTAL REVENUES</b>	<b>522,027.56</b>	<b>6,547,424.94</b>	<b>5,117,384.00</b>	<b>127.94%</b>

**Jefferson Transit Authority**  
**Expense Statement**  
**For the Twelve Months Ending December 31, 2016**

	<u>December</u>	<u>YTD</u>	<u>Budget</u>	<u>% of Actual vs. Budget</u>
<b>OPERATING EXPENSES</b>				
<b>Labor</b>				
Operators Salaries & Wages - Fixed Route	\$48,821.66	\$614,537.10	\$634,498.00	96.85%
Operators Overtime - Fixed Route	2,013.30	65,420.69	58,406.00	112.01%
Operators Salaries & Wages - Dial-a-Ride (DAR)	8,875.43	121,773.44	145,464.00	83.71%
Operators Overtime - Dial-a-Ride (DAR)	592.31	9,527.04	6,970.00	136.69%
Other Salaries & Wages (Mntce, Dispatch, Cust Serv)	31,129.98	472,860.82	520,272.00	90.89%
Other Overtime (Mntce, Dispatch, Cust Serv)	3,737.62	48,904.92	40,693.00	120.18%
Administration Salaries	41,564.17	508,453.39	531,380.00	95.69%
<b>Benefits</b>				
FICA	10,096.80	153,750.70	186,057.00	82.64%
Pension Plans (PERS)	26,653.38	238,999.61	258,449.00	92.47%
Medical Plans	38,435.91	441,907.65	565,613.00	78.13%
Dental Plans	3,039.69	35,180.02	42,235.00	83.30%
Unemployment Insurance (UI)		15,371.20	9,068.00	169.51%
Workers' Compensation Insurance - Labor & Industries (L&I)	3,405.06	51,231.75	71,932.00	71.22%
Holiday	1,089.55	61,892.74	87,360.00	70.85%
General Leave	11,784.67	221,375.50	262,825.00	84.23%
Other Paid Absence (Court Duty & Bereavement)	1,056.54	7,000.78	14,686.00	47.67%
Uniforms, Work Clothing & Tools Allowance	527.72	6,037.05	10,100.00	59.77%
Other Benefits (HRA, EAP & Wellness)	1,494.40	23,559.34	30,000.00	78.53%
<b>Service and User Fees</b>				
Vanpool Services and Fees			3,000.00	0.00%
Advertising Fees		11,497.84	18,250.00	63.00%
Professional & Technical Services	5,286.76	73,954.96	83,530.00	88.54%
Contract Maintenance Services (IT Services)	1,375.22	7,635.55	5,500.00	138.83%
Security Services		1,698.05	5,000.00	33.96%
Vehicle Technical Services	899.80	19,544.31	38,750.00	50.44%
Property Maintenance Services	181.76	9,459.54	13,000.00	72.77%
Software Maintenance Fees	718.31	13,683.08	21,540.00	63.52%
Postage & Mail Meter Fees	224.85	2,849.17	3,100.00	91.91%
Drug & Alcohol Services	225.83	3,161.96	4,800.00	65.87%
Other Services & User Fees		159.70	2,500.00	6.39%
<b>Materials and Supplies Consumed</b>				
Fuel	18,016.61	183,227.62	340,000.00	53.89%
Tires	2,455.80	20,195.31	35,000.00	57.70%
Lubrication	1,108.10	7,278.48	10,550.00	68.99%
Tools	565.70	8,720.79	10,000.00	87.21%
Vehicle Maintenance & Repair Parts	35,567.15	120,186.15	66,500.00	180.73%
Non-Vehicle Maintenance & Repair Parts	8.09	3,592.36	8,240.00	43.60%
Vehicle Accessories			1,350.00	0.00%
Park & Ride Materials	1.03	623.79	4,000.00	15.59%
Shop Supplies (Maintenance & Cleaning)	973.72	20,456.85	18,500.00	110.58%
Safety & Emergency Supplies		221.29	7,050.00	3.14%
Office Supplies	400.99	9,776.22	14,920.00	65.52%
Computer Programs & Supplies	584.79	7,903.27	7,750.00	101.98%
Printing (Photocopier, Schedules & Brochures)	214.06	17,462.01	29,450.00	59.29%
Other Materials & Supplies		211.36	2,000.00	10.57%
<b>Utilities</b>				
Water, Sewer & Solid Garbage	720.15	10,677.60	27,170.00	39.30%
Utilities (Electrical & Propane)		22,339.01	23,475.00	95.16%
Telephone & Internet	2,771.94	36,086.37	39,322.00	91.77%
<b>Casualty and Liability Costs</b>				
Premiums for Public Liability & Property Damage Insurance	9,880.38	118,565.00	120,000.00	98.80%
<b>Taxes</b>				
State Taxes		3,634.08	4,408.00	82.44%
Vehicle Licensing & Registration Fees		33.00	750.00	4.40%
Other Licensing Fees & Taxes	756.96	1,754.67	3,000.00	58.49%



**Jefferson Transit Authority  
Expense Statement  
For the Twelve Months Ending December 31, 2016**

	<u>December</u>	<u>YTD</u>	<u>Budget</u>	<u>% of Actual vs. Budget</u>
<b>Miscellaneous</b>				
Dues & Subscriptions	\$559.67	\$10,807.80	\$16,727.00	64.61%
Travel & Meetings	751.80	18,408.89	29,650.00	62.09%
Fines & Penalties		14.00		0.00%
Safety Program (Rodeo & Safety Rewards)		4,546.16	6,500.00	69.94%
Training (Classes, Seminars & Materials)	60.00	10,897.65	14,900.00	73.14%
EE CDL and EE Physical Expense	220.00	1,969.00	4,800.00	41.02%
Other Miscellaneous		25.20	300.00	8.40%
<b>Interest Expense</b>				
Interest on Long-term Debt Obligation	17,877.50	36,167.50	35,755.00	101.15%
<b>Leases and Rentals</b>				
Transit Way & Passenger Stations	274.20	2,654.08	1,800.00	147.45%
Service Vehicles & Equipment		40.88	9,000.00	0.45%
Other General Administration Facilities		12,090.76	13,128.00	92.10%
<b>TOTAL OPERATING EXPENSES</b>	<u><b>336,999.36</b></u>	<u><b>3,931,995.05</b></u>	<u><b>4,580,973.00</b></u>	<u><b>85.83%</b></u>

Jefferson Transit  
Treasury Pool Investments Account (Capital) and Checking Account  
Capital Projects Tracking Report  
December 2016

Current Account Status	Balance per Bank @ 12/30/16	\$ 1,906,210.81	\$ -
Balance per GL @ 11/30/16		\$ 1,930,646.96	
	Transfers - In	\$ -	
	Transfers - In ( Bond Financing)	\$ -	
	Debt Financing Expenses	\$ -	
	Reimbursement	\$ 4,276.00	
	Investment Interest	\$ 789.89	
	Transfers - Out (Purchases)	\$ (29,380.83)	
	Transfers - Out (Operating Correction)	\$ -	
Balance per GL @ 12/30/16		\$ 1,906,210.81	

2016 Capital Projects			
Facility		Grant Funding	JTA Funding
	<b>2016 Budgeted Balance</b>	\$ -	\$ 485,848.00
December Exp in Jan Recon	Pease Retainage	\$ -	\$ (254,316.95)
Feb-16	TCF Architecture	\$ -	\$ (4,385.90)
Mar-16	Correctional Industries	\$ -	\$ (326.48)
Apr-16	TCF, Pease	\$ -	\$ (62,881.61)
May-16	TCF	\$ -	\$ (167.09)
Jul-16	TCF	\$ -	\$ (186.99)
Aug-16	TCF	\$ -	\$ (1,200.31)
	<b>JTA Funded Balance</b>		\$ 142,172.67
Other Building and Structures		Grant Funding	JTA Funding
PNR Lighting Upgrades	<b>2016 Beginning Budget</b>	\$ 12,738.00	\$ 3,184.00
Oct-16	HPTC Lighting Project	\$ (4,135.79)	\$ (1,033.95)
Nov-16	HPTC Lighting Project	\$ (3,767.04)	\$ (941.76)
Dec-16	HPTC Lighting Project (Use Tax Paymt)	\$ (71.92)	\$ (17.98)
December Exp in Jan Recon	HPTC Lighting Project (Use Tax Paymt)	\$ (5,750.40)	\$ (1,437.60)
PNR Upgrades	<b>2016 Beginning Budget</b>	\$ -	\$ 120,000.00
	Tree Removal & IT Upgrades		\$ (2,205.79)
Four Corners PNR	<b>2016 Beginning Budget</b>	\$ 1,040,000.00	\$ 260,000.00
	SCJ Alliance	\$ (13,474.12)	\$ (3,368.53)
	SCJ Alliance	\$ (7,347.03)	\$ (1,836.76)
	SCJ Alliance	\$ (13,514.22)	\$ (3,378.55)
	SCJ Alliance	\$ (16,943.06)	\$ (4,235.77)
	SCJ Alliance, JeffCo DCD	\$ (16,766.75)	\$ (4,191.69)
	<b>JTA Funded Balance</b>		\$ 360,535.63
Revenue Vehicles	<b>2016 Beginning Budget</b>	\$ 276,000.00	\$ 69,000.00
Cut-a-Way Vehicles	<b>2016 Beginning Budget</b>	\$ 790,000.00	\$ 123,295.00
2 Full-Size Buses	<b>JTA Funded Balance</b>		\$ 192,295.00
Service Vehicles			
Service Equipment			
Generator, Snorkle Lift, PL Vacuum			\$ 124,500.00
	Snorkle Lift		\$ (24,841.10)
	Trailer for hauling Snorkle Lift/Sweeper Vac		\$ (8,332.49)
	<b>JTA Funded Balance</b>		\$ 91,326.41
Office Furniture & Equipment			
IT Systems/Trapeze Upgrades	<b>2016 Beginning Budget</b>	\$ 35,727.00	\$ 8,932.00
Feb-16	Laplop	\$ (666.00)	\$ (173.28)
Mar-16	Use tax, BU/Mail Archive Software, Laptops, i	\$ (10,458.00)	\$ (2,614.42)
Apr-16	Use tax, Monitors, Servers,	\$ (13,331.66)	\$ (3,332.92)
May-16	Use Tax, Spare PCs, Monitors	\$ (2,789.15)	\$ (692.90)
Jun-16	Use tax, Shop Laptops, Monitors	\$ (1,428.34)	\$ (357.08)
Sep-16	Use Tax, Backup Server	\$ (3,256.06)	\$ (814.01)
Hand Held Radios	<b>2016 Beginning Budget</b>		\$ 1,500.00
Sep-16	Hand held Radios		\$ (3,958.88)
Mapping Software	<b>2016 Beginning Budget</b>		\$ 1,000.00
New Finance/Mnlce/Ops Softwar	<b>2016 Beginning Budget</b>		\$ 150,000.00
Comprehensive Plan	<b>2016 Beginning Budget</b>		\$ 60,000.00
	<b>JTA Funded Balance</b>		\$ 209,488.60

JTA Capital Reserve Account Balance	\$ 1,906,210.81
JTA Appropriated Project Funds Sub-Total	\$ (995,816.21)

Pending Reimbursements  
Pending Payments

CAPITAL RESERVE BALANCE IF ALL PURCHASED TODAY \$ 910,392.60



**63 4 Corners Road, Port Townsend, WA 98368**

February 15, 2017

TO: Board of Trustees, Jefferson Transit Authority  
FROM: Sara Crouch, Finance/HR Manager  
RE: January 2017 Financial Report

I have prepared a Grant Fact Sheet, the document is in your Board binder under Tab 5 – Staff Reports. The title for Tab 5 will change from Staff Reports to something that will reflect the informative nature of documents we plan to include in the Board binder in the future. The Grant Fact Sheet contains an explanation of Jefferson Transit grant funding.

The revenue and expense financial reports in the first few months of any fiscal year are not very informative. JTA budgets by taking the line item budget figure and dividing by 12 (months). We do not do a month-to-month budget because it is too labor intensive to identify individual line item trends. I have explained some of the budget anomalies below. Your budget tracking percentage for January is 8.33%. Typically we use that tracking figure as a guideline for monitoring expenses. Unfortunately expenses do not always follow the “same amount spent each month” trend.

#### **Sales Tax Analysis Reports –**

- Sales tax for November 2016 is 4% higher than received for November 2015. Cumulatively JTA is up 13% compared to 2015. There are two sales tax reports because we report both cash basis and accrual basis. The sales tax chart is accrual based, meaning it is through November 2016.

#### **Revenue Report –**

- We expect January farebox revenue to be under budget due to ridership being down during the winter months.

#### **Expense Report – Budget timing issues are items that are over budget due to the time of year they hit the budget - meaning they SHOULD come in line with budget by the end of the year.**

- **Labor** –DAR/Other overtime over budget primarily due to the worked holiday (paid at an overtime rate). Other overtime includes overtime for the Maintenance Dept. An employee has been out long-term, this has caused overtime costs in Maintenance Dept. to be higher than anticipated.
- **Benefits** – Holiday - timing issue - over budget due to front loading of personal holidays, this figure will come in line with budget as the year progresses.
- **Service and User Fees** – Contracted IT Services – timing issue.
- **Materials and Supplied Consumed**
  - Shop Supplies – restocking, timing issue.
  - Computer Programs & Supplies – timing issue.
  - Printing – New schedules printed (reordered 3 times a year) – timing issue.
- The remaining budget figures are performing within expected parameters for the time of year.

#### **Capital Activity –**

- Capital activity in January: Final payment for New Facility Project (paid Dec 2016, cleared Jan 2017); SCJ Alliance for Park and Ride Project; HPTC Lighting (paid Dec 2016, cleared Jan 2017); Use tax on capital purchases.



## January 2017 Financial Summary

Budget Tracking Figure: 8.33%

1. Operational Expenses:	\$371,350.03
Operational Revenues:	\$15,689.16
Non-Operational Income:	\$405,920.71
Capital Expenses:	\$265,533.97
Capital Income:	\$0.00

2. Sales Tax Received 1/31/2017 for November 2016:	\$313,966.98
Sales Tax Received 1/31/2016 for November 2015:	\$300,908.64

**\*\*Sales tax increased from prior year 4%\*\***

3. Cash on Hand as of January 31, 2017*:	
Operating:	\$1,939,684.55
Operating Reserve (81% Funded):	\$950,000.00
(Minimum Funding Required \$1,172,000)	
Real Estate Funds on Hold for Bond Call	\$561,515.00
Capital Account:	\$106,901.94
Capital Reserve (42% Funded)***:	\$1,534,632.69
(TDP Funding Match \$2,544,200)	
Unemployment Reserve:	\$14,000.00
Bond Payment Reserve:	\$20,514.62
Bond Reserve:	\$85,250.00
EFT Fund:	\$88,025.00
Travel Fund:	\$1,353.50

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<b>Total</b>	<b>\$5,301,877.30**</b>
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**\*\*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/Cash 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.**

**\*\*\*Balance 1,534,632.69 minus current year project obligations.**

Jefferson Transit

Sales Tax Current & Prior Year Actual and Budget Variance Analysis

Projection Year

2016

Month Received - Cash Basis (Cash Flow)

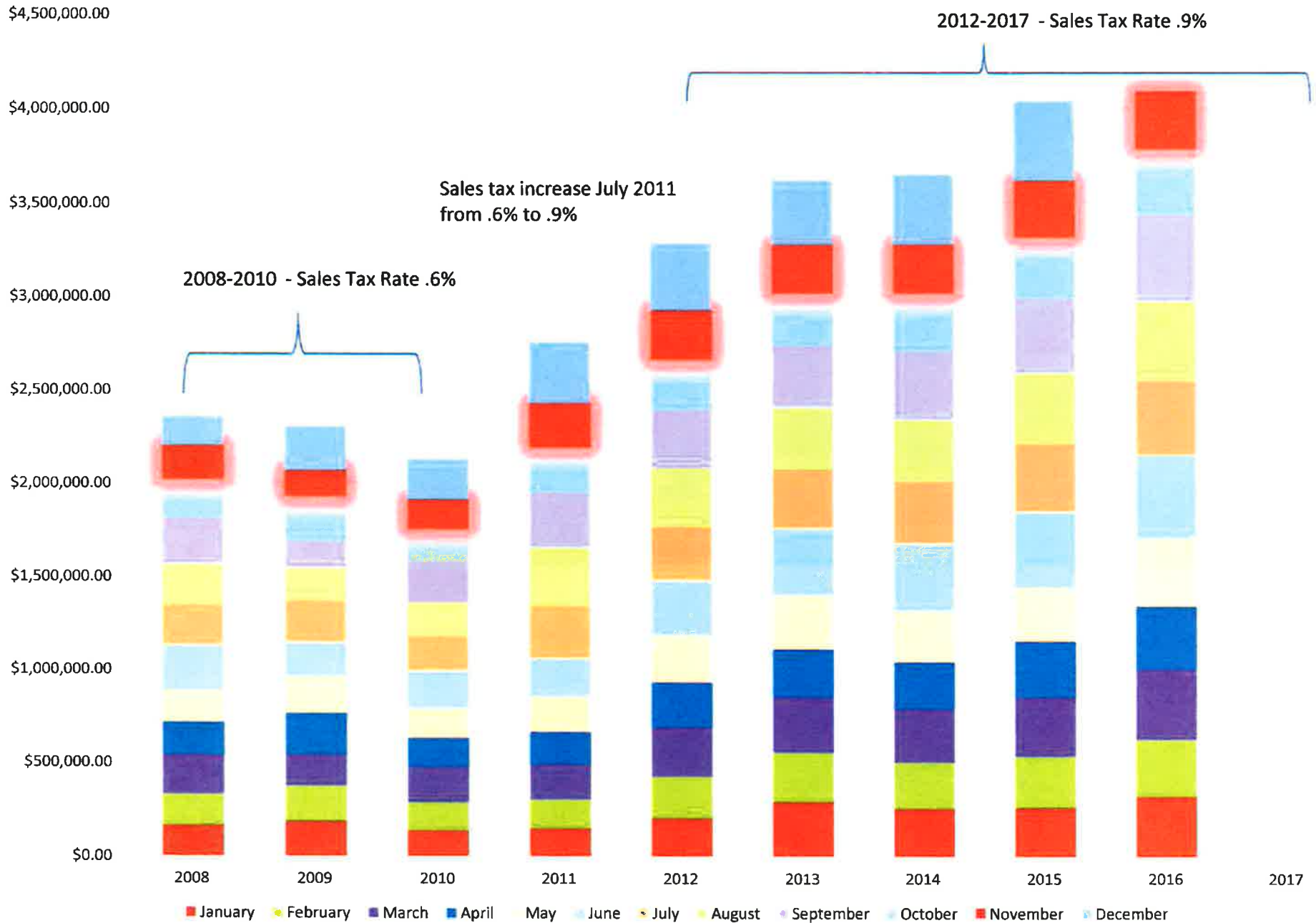
Month of Receipt	Tax Rate	2016 Tax	2015 Tax	2014 Tax	2013 Tax	2016 Budget	2016 Monthly Act to Bud Variance	2016 Cumulative Actual Sales Tax Received	2016 Cumulative Budgeted Sales Tax	2016 Cumulative Actual to Budget Variance
January	0.90%	\$300,908.64	\$261,865.96	\$261,546.64	\$263,071.24	\$241,672.00	24.51%	\$300,908.64	241,672.00	24.51%
February	0.90%	\$428,927.47	\$374,287.05	\$344,682.23	\$361,349.36	\$331,952.00	29.21%	\$729,836.11	573,624.00	27.23%
March	0.90%	\$318,746.72	\$261,817.97	\$256,028.91	\$291,292.37	\$267,054.00	19.36%	\$1,048,582.83	840,678.00	24.73%
April	0.90%	\$306,315.48	\$271,446.82	\$245,824.15	\$262,810.78	\$276,876.00	10.63%	\$1,354,898.31	1,117,554.00	21.24%
May	0.90%	\$379,552.66	\$320,654.36	\$287,301.65	\$299,768.61	\$327,067.00	16.05%	\$1,734,450.97	1,444,621.00	20.06%
June	0.90%	\$341,610.91	\$302,831.80	\$253,212.12	\$258,797.23	\$308,888.00	10.59%	\$2,076,061.88	1,753,509.00	18.39%
July	0.90%	\$358,635.90	\$292,359.11	\$279,961.16	\$292,014.18	\$298,390.00	20.19%	\$2,434,697.78	2,051,899.00	18.66%
August	0.90%	\$447,138.73	\$394,409.20	\$354,351.27	\$351,405.02	\$402,297.00	11.15%	\$2,881,836.51	2,454,196.00	17.42%
September	0.90%	\$399,443.33	\$371,144.67	\$334,282.34	\$317,410.71	\$378,568.00	5.51%	\$3,281,279.84	2,832,764.00	15.83%
October	0.90%	\$422,063.41	\$377,289.26	\$328,643.28	\$331,339.51	\$335,216.00	25.91%	\$3,703,343.25	3,167,980.00	16.90%
November	0.90%	\$460,953.02	\$399,850.25	\$368,479.21	\$336,708.79	\$375,849.00	22.64%	\$4,164,296.27	3,543,829.00	17.51%
December	0.90%	\$344,116.73	\$321,318.35	\$306,363.54	\$273,339.76	\$312,491.00	10.12%	\$4,508,413.00	3,856,320.00	16.91%
Total		\$4,508,413.00	\$3,949,274.80	\$3,620,676.50	\$3,639,307.56	\$3,856,320.00	14.46%			
Monthly Average		\$375,701.08	\$329,106.23	\$301,723.04	\$303,275.63	\$321,360.00				

Month Earned - Accrual Basis (Income Statement)

Month Recognized	Tax Rate	2016 Tax	2015 Tax	2014 Tax	2013 Tax	2016 Budget	2016 Actual to Budgeted Variance	2016 Cumulative Actual Sales Tax Received	2016 Cumulative Budgeted Sales Tax	2016 Cumulative Actual to Budget Variance
January	0.90%	\$318,746.72	\$261,817.97	\$256,028.91	\$291,292.37	\$267,054.00	19.36%	\$318,746.72	267,054.00	19.36%
February	0.90%	\$306,315.48	\$271,446.82	\$245,824.15	\$262,810.78	\$276,876.00	10.63%	\$625,062.20	543,930.00	14.92%
March	0.90%	\$379,552.66	\$320,654.36	\$287,301.65	\$299,768.61	\$327,067.00	16.05%	\$1,004,614.86	870,997.00	15.34%
April	0.90%	\$341,610.91	\$302,831.80	\$253,212.12	\$258,797.23	\$308,888.00	10.59%	\$1,346,225.77	1,179,885.00	14.10%
May	0.90%	\$358,635.90	\$292,359.11	\$279,961.16	\$292,014.18	\$298,390.00	20.19%	\$1,704,861.67	1,478,275.00	15.33%
June	0.90%	\$447,138.73	\$394,409.20	\$354,351.27	\$351,405.02	\$402,297.00	11.15%	\$2,152,000.40	1,880,572.00	14.43%
July	0.90%	\$399,443.33	\$371,144.67	\$334,282.34	\$317,410.71	\$378,568.00	5.51%	\$2,551,443.73	2,259,140.00	12.94%
August	0.90%	\$422,063.41	\$377,289.26	\$328,643.28	\$331,339.51	\$335,216.00	25.91%	\$2,973,507.14	2,594,356.00	14.61%
September	0.90%	\$460,963.02	\$399,850.25	\$368,479.21	\$336,708.79	\$375,849.00	22.65%	\$3,434,470.16	2,970,205.00	15.63%
October	0.90%	\$344,116.73	\$321,318.35	\$306,363.54	\$273,339.76	\$312,491.00	10.12%	\$3,778,586.89	3,282,696.00	15.11%
November	0.90%	\$313,966.98	\$300,908.64	\$261,865.96	\$261,546.64	\$267,103.00	17.55%	\$4,092,553.87	3,549,799.00	15.29%
December	0.90%		\$374,287.05	\$374,287.05	\$344,682.23	\$381,773.00	0.00%	\$0.00	3,931,572.00	
Total		\$4,092,553.87	\$3,988,317.48	\$3,650,600.64	\$3,621,115.83	\$3,931,572.00	0.00%			
Monthly Average		\$372,050.35	\$332,359.79	\$304,216.72	\$301,759.65	\$327,631.00				



## Jefferson Transit Authority - 2007-2016 Cumulative Sales Tax (Accrual Based)





Jefferson Transit

Sales Tax Current & Prior Year Actual and Budget Variance Analysis

Projection Year

2017

Month Received - Cash Basis (Cash Flow)

Month of Receipt	Tax Rate	2017 Tax	2016 Tax	2015 Tax	2014 Tax	2017 Budget	2017 Monthly Act to Bud Variance	2017 Cumulative Cash Actual Sales Tax Received	2017 Cumulative Cash Budgeted Sales Tax	2017 Cumulative Actual to Budget Variance
January	0.90%	\$313,966.98	\$300,908.64	\$261,865.96	\$261,546.64	\$241,672.00	29.91%	\$313,966.98	241,672.00	29.91%
February	0.90%		\$428,927.47	\$374,287.05	\$344,682.23	\$331,952.00	0.00%	\$0.00	573,624.00	
March	0.90%		\$318,746.72	\$261,817.97	\$256,028.91	\$267,054.00	0.00%	\$0.00	840,678.00	
April	0.90%		\$306,315.48	\$271,446.82	\$245,824.15	\$276,876.00	0.00%	\$0.00	1,117,554.00	
May	0.90%		\$379,552.66	\$320,654.36	\$287,301.65	\$327,067.00	0.00%	\$0.00	1,444,621.00	
June	0.90%		\$341,610.91	\$302,831.80	\$253,212.12	\$308,888.00	0.00%	\$0.00	1,753,509.00	
July	0.90%		\$358,635.90	\$292,359.11	\$279,961.16	\$298,390.00	0.00%	\$0.00	2,051,899.00	
August	0.90%		\$447,138.73	\$394,409.20	\$354,351.27	\$402,297.00	0.00%	\$0.00	2,454,196.00	
September	0.90%		\$399,443.33	\$371,144.67	\$334,282.34	\$378,568.00	0.00%	\$0.00	2,832,764.00	
October	0.90%		\$422,063.41	\$377,289.26	\$328,643.28	\$335,216.00	0.00%	\$0.00	3,167,980.00	
November	0.90%		\$460,953.02	\$399,850.25	\$368,479.21	\$375,849.00	0.00%	\$0.00	3,543,829.00	
December	0.90%		\$344,116.73	\$321,318.35	\$306,363.54	\$312,491.00	0.00%	\$0.00	3,856,320.00	
Total		\$313,966.98	\$4,508,413.00	\$3,949,274.80	\$3,620,676.50	\$3,856,320.00	0.00%			
Monthly Average		\$313,966.98	\$375,701.08	\$329,106.23	\$301,723.04	\$321,360.00				

Month Earned - Accrual Basis (Income Statement)

Month Recognized	Tax Rate	2017 Tax	2016 Tax	2015 Tax	2014 Tax	2017 Budget	2017 Actual to Budgeted Variance	2017 Cumulative Accrual Actual Sales Tax Received	2017 Cumulative Accrual Budgeted Sales Tax	2017 Cumulative Actual to Budget Variance
January	0.90%		\$318,746.72	\$261,817.97	\$256,028.91	\$267,054.00	0.00%	\$0.00	267,054.00	
February	0.90%		\$306,315.48	\$271,446.82	\$245,824.15	\$276,876.00	0.00%	\$0.00	543,930.00	
March	0.90%		\$379,552.66	\$320,654.36	\$287,301.65	\$327,067.00	0.00%	\$0.00	870,997.00	
April	0.90%		\$341,610.91	\$302,831.80	\$253,212.12	\$308,888.00	0.00%	\$0.00	1,179,885.00	
May	0.90%		\$358,635.90	\$292,359.11	\$279,961.16	\$298,390.00	0.00%	\$0.00	1,478,275.00	
June	0.90%		\$447,138.73	\$394,409.20	\$354,351.27	\$402,297.00	0.00%	\$0.00	1,880,572.00	
July	0.90%		\$399,443.33	\$371,144.67	\$334,282.34	\$378,568.00	0.00%	\$0.00	2,259,140.00	
August	0.90%		\$422,063.41	\$377,289.26	\$328,643.28	\$335,216.00	0.00%	\$0.00	2,594,356.00	
September	0.90%		\$460,963.02	\$399,850.25	\$368,479.21	\$375,849.00	0.00%	\$0.00	2,970,205.00	
October	0.90%		\$344,116.73	\$321,318.35	\$306,363.54	\$312,491.00	0.00%	\$0.00	3,282,696.00	
November	0.90%		\$313,966.98	\$300,908.64	\$261,865.96	\$267,103.00	0.00%	\$0.00	3,549,799.00	
December	0.90%			\$374,287.05	\$374,287.05	\$381,773.00	0.00%	\$0.00	3,931,572.00	
Total		\$0.00	\$4,092,553.87	\$3,988,317.48	\$3,650,600.64	\$3,931,572.00	0.00%			
Monthly Average		\$0.00	\$341,046.16	\$332,359.79	\$304,216.72	\$327,631.00				

**Jefferson Transit Authority**  
**Statement of Cash Flows-Accrual Basis**  
**For the Month Ending January 31, 2017**

	<u>January</u>	<u>Year to Date</u>
<b>STATEMENT OF CASH FLOWS</b>		
Cash Balances - Beginning of Period	\$5,769,306.12	\$5,769,306.12
Operating Cash Provided/(Used) by:		
Operating Activities	(\$777,171.95)	(\$777,171.95)
Non-Capital Financing Activities	\$313,144.62	\$313,144.62
Investing Activities	<u>\$2,342.44</u>	<u>\$2,342.44</u>
Total Operating Cash Provided/(Used)	(\$461,684.89)	(\$461,684.89)
Capital Cash Provided/(Used) by:		
Capital and Related Financing Activities	<u>(\$1,431.75)</u>	<u>(\$1,431.75)</u>
Net Increase/(Decrease) Cash and Equivalent	(\$463,116.64)	(\$463,116.64)
<b>CASH BALANCES - END OF PERIOD</b>	<u><u>\$5,306,189.48</u></u>	<u><u>\$5,306,189.48</u></u>

**Jefferson Transit Authority**  
**Statement of Income (Loss) - Accrual Basis**  
**For the Month Ending January 31, 2017**

	<u>January</u>	<u>YTD</u>	<u>Budget</u>	<u>% of Actual vs. Budget</u>
<b>STATEMENT OF INCOME/(LOSS)</b>				
<b>Operating Revenues</b>	<b>\$15,689.16</b>	<b>\$15,689.16</b>	<b>\$205,000.00</b>	<b>7.65%</b>
<b>Operating Expenses</b>				
Labor	158,413.34	158,413.34	1,982,558.00	7.99%
Benefits	159,477.09	159,477.09	1,556,799.00	10.24%
Services and User Fees	6,536.39	6,536.39	244,530.00	2.67%
Materials & Supplies	29,534.07	29,534.07	545,480.00	5.41%
Utilities	3,676.09	3,676.09	80,020.00	4.59%
Casualty/Liability Costs	10,211.37	10,211.37	127,000.00	8.04%
Taxes	302.17	302.17	7,953.00	3.80%
Miscellaneous Expenses	2,925.31	2,925.31	87,665.00	3.34%
Leases and Rentals	274.20	274.20	18,640.00	1.47%
<b>Total Operating Expenses</b>	<b>371,350.03</b>	<b>371,350.03</b>	<b>4,650,625.00</b>	<b>7.98%</b>
<b>Operating Income (Loss)</b>	<b>(355,660.87)</b>	<b>(355,660.87)</b>	<b>(4,445,625.00)</b>	<b>8.00%</b>
<b>Non-Operating Revenues</b>				
Non-Transportation Revenue	2,702.07	2,702.07	24,000.00	11.26%
Taxes Levied by Transit	313,917.98	313,917.98	3,931,572.00	7.98%
Local Grants & Contributions	1,250.00	1,250.00	17,500.00	7.14%
State Grants & Contributions	39,539.00	39,539.00	251,579.00	15.72%
Federal Grants & Contributions	48,511.66	48,511.66	801,284.00	6.05%
<b>Total Non-Operating Revenues</b>	<b>405,920.71</b>	<b>405,920.71</b>	<b>5,025,935.00</b>	<b>8.08%</b>
<b>Net Income (Loss) Before Transfers In/(Out)</b>	<b>50,259.84</b>	<b>50,259.84</b>	<b>580,310.00</b>	<b>8.66%</b>
<b>Net Income/(Loss)</b>	<b>50,259.84</b>	<b>50,259.84</b>	<b>580,310.00</b>	<b>8.66%</b>

**Jefferson Transit Authority  
Revenue Statement - Accrual Basis  
For the Month Ending January 31, 2017**

	<u>January</u>	<u>YTD</u>	<u>Budget</u>	<u>% of Actual vs. Budget</u>
<b>OPERATING REVENUES</b>				
<b>Passenger Fares for Transit Services</b>				
Fixed Route Fares - East	\$10,931.22	\$10,931.22	\$144,000.00	7.59%
Fixed Route Fares - West - JTOC	316.00	316.00	4,500.00	7.02%
Dial-a-Ride Fares (DAR)	766.42	766.42	10,800.00	7.10%
Vanpools	3,675.52	3,675.52	43,200.00	8.51%
Extended Service			2,500.00	0.00%
<b>Auxiliary Transportation Revenues</b>				
<b>Total Operating Revenues</b>	<b>15,689.16</b>	<b>15,689.16</b>	<b>205,000.00</b>	<b>7.65%</b>
<b>NONOPERATING REVENUES</b>				
Nontransportation				
Investment (Interest) Income	2,342.44	2,342.44	12,000.00	19.52%
Gain (Loss) on Disposition of Capital Items	171.75	171.75	1,200.00	14.31%
Other Nontransportation Revenues	187.88	187.88	10,800.00	1.74%
<b>Taxes Levied Directly by Transit System - Sales &amp; Use Tax</b>	<b>313,917.98</b>	<b>313,917.98</b>	<b>3,931,572.00</b>	<b>7.98%</b>
<b>Local Grants and Contributions</b>				
JTOC	1,250.00	1,250.00	15,000.00	8.33%
WSTIP			2,500.00	0.00%
<b>State Grants and Contributions</b>				
Rural Mobility Competitive	39,539.00	39,539.00	248,579.00	15.91%
RTAP			3,000.00	0.00%
<b>Federal Grants and Contributions (OPERATING)</b>				
Federal Grants and Contributions - FTA 5311	48,511.66	48,511.66	801,284.00	6.05%
<b>Capital Contributions - Local/State/Federal</b>				
<b>Total Nonoperating Revenues</b>	<b>405,920.71</b>	<b>405,920.71</b>	<b>5,025,935.00</b>	<b>8.06%</b>
<b>TOTAL REVENUES</b>	<b>421,609.87</b>	<b>421,609.87</b>	<b>5,230,935.00</b>	<b>8.06%</b>

**Jefferson Transit Authority  
Expense Statement  
For the Month Ending January 31, 2017**

	January	YTD	Budget	% of Actual vs. Budget
<b>OPERATING EXPENSES</b>				
<b>Labor</b>				
Operators Salaries & Wages - Fixed Route	\$57,080.93	\$57,080.93	\$647,222.00	8.82%
Operators Overtime - Fixed Route	5,367.11	5,367.11	71,253.00	7.53%
Operators Salaries & Wages - Dial-a-Ride (DAR)	10,509.75	10,509.75	124,973.00	8.41%
Operators Overtime - Dial-a-Ride (DAR)	1,357.01	1,357.01	12,521.00	10.84%
Other Salaries & Wages (Mntce, Dispatch, Cust Serv)	36,067.24	36,067.24	518,571.00	6.96%
Other Overtime (Mntce, Dispatch, Cust Serv)	7,178.12	7,178.12	40,314.00	17.81%
Administration Salaries	40,853.18	40,853.18	567,704.00	7.20%
<b>Benefits</b>				
FICA	17,055.47	17,055.47	195,329.00	8.73%
Pension Plans (PERS)	19,866.49	19,866.49	264,224.00	7.52%
Medical Plans	42,232.11	42,232.11	551,400.00	7.66%
Dental Plans	3,033.91	3,033.91	45,636.00	6.65%
Unemployment Insurance (UI)			22,000.00	0.00%
Workers' Compensation Insurance - Labor & Industries (L&I)	6,567.49	6,567.49	69,922.00	9.39%
Holiday	39,916.14	39,916.14	90,777.00	43.97%
General Leave	28,351.72	28,351.72	263,289.00	10.77%
Other Paid Absence (Court Duty & Bereavement)	847.21	847.21	14,686.00	5.77%
Uniforms, Work Clothing & Tools Allowance	459.94	459.94	10,100.00	4.55%
Other Benefits (HRA, EAP & Wellness)	1,146.61	1,146.61	29,436.00	3.90%
<b>Service and User Fees</b>				
Vanpool Services and Fees			3,000.00	0.00%
Advertising Fees	905.50	905.50	18,250.00	4.96%
Professional & Technical Services	1,489.17	1,489.17	110,530.00	1.35%
Contract Maintenance Services (IT Services)	1,360.49	1,360.49	14,500.00	9.38%
Security Services	142.50	142.50	5,000.00	2.85%
Vehicle Technical Services	305.20	305.20	38,250.00	0.80%
Property Maintenance Services	1,134.87	1,134.87	14,500.00	7.83%
Software Maintenance Fees	718.31	718.31	30,100.00	2.39%
Postage & Mail Meter Fees	261.60	261.60	3,100.00	8.44%
Drug & Alcohol Services	218.75	218.75	4,800.00	4.56%
Other Services & User Fees			2,500.00	0.00%
<b>Materials and Supplies Consumed</b>				
Fuel	9,108.03	9,108.03	295,000.00	3.09%
Tires	1,519.18	1,519.18	35,000.00	4.34%
Lubrication	293.37	293.37	10,550.00	2.78%
Tools	495.59	495.59	18,000.00	2.75%
Vehicle Maintenance & Repair Parts	6,950.53	6,950.53	81,500.00	8.53%
Non-Vehicle Maintenance & Repair Parts	236.70	236.70	8,240.00	2.87%
Vehicle Accessories			1,350.00	0.00%
Park & Ride Materials	51.62	51.62	3,750.00	1.38%
Shop Supplies (Maintenance & Cleaning)	2,102.45	2,102.45	20,500.00	10.26%
Safety & Emergency Supplies	57.76	57.76	7,050.00	0.82%
Office Supplies	635.49	635.49	14,920.00	4.26%
Computer Programs & Supplies	1,998.90	1,998.90	14,150.00	14.13%
Printing (Photocopier, Schedules & Brochures)	6,084.45	6,084.45	33,450.00	18.19%
Other Materials & Supplies			2,000.00	0.00%
<b>Utilities</b>				
Water, Sewer & Solid Garbage	905.97	905.97	14,100.00	6.43%
Utilities (Electrical & Propane)			27,000.00	0.00%
Telephone & Internet	2,770.12	2,770.12	38,920.00	7.12%
<b>Casualty and Liability Costs</b>				
Premiums for Public Liability & Property Damage Insurance	10,211.37	10,211.37	127,000.00	8.04%
<b>Taxes</b>				
State Taxes	302.17	302.17	4,203.00	7.19%
Vehicle Licensing & Registration Fees			750.00	0.00%
Other Licensing Fees & Taxes			3,000.00	0.00%

**Jefferson Transit Authority  
Expense Statement  
For the Month Ending January 31, 2017**

	<u>January</u>	<u>YTD</u>	<u>Budget</u>	<u>% of Actual vs. Budget</u>
<b>Miscellaneous</b>				
Dues & Subscriptions	\$1,280.47	\$1,280.47	\$17,007.00	7.53%
Travel & Meetings	990.84	990.84	32,150.00	3.08%
Safety Program (Rodeo & Safety Rewards)			9,000.00	0.00%
Training (Classes, Seminars & Materials)	654.00	654.00	24,408.00	2.68%
EE CDL and EE Physical Expense			4,800.00	0.00%
Other Miscellaneous			300.00	0.00%
<b>Interest Expense</b>				
Interest on Long-term Debt Obligation			35,755.00	0.00%
<b>Leases and Rentals</b>				
Transit Way & Passenger Stations	274.20	274.20	3,000.00	9.14%
Service Vehicles & Equipment			2,500.00	0.00%
Other General Administration Facilities			13,140.00	0.00%
<b>TOTAL OPERATING EXPENSES</b>	<u><u>371,350.03</u></u>	<u><u>371,350.03</u></u>	<u><u>4,686,380.00</u></u>	<u><u>7.92%</u></u>

**Jefferson Transit**  
**Treasury Pool Investments Account (Capital) and Checking Account**  
**Capital Projects Tracking Report**  
**January 2017**

<b>Current Account Status</b>	<b>Balance per Bank @ 1/31/17</b>	<b>\$ 1,641,543.63</b>	<b>\$ -</b>
Balance per GL @ 12/31/16		<b>\$ 1,906,210.81</b>	
Transfers - In		\$ -	
Transfers - In ( Bond Financing)		\$ -	
Debt Financing Expenses		\$ -	
Reimbursement		\$ -	
Investment Interest		\$ 866.79	
Transfers - Out (Purchases)		\$ (265,533.97)	
Transfers - Out (Operating Correction)		\$ -	
<b>Balance per GL @ 1/31/17</b>		<b>\$ 1,641,543.63</b>	

**2017 Capital Projects**

Facility		Grant Funding	JTA Funding
	<b>2017 Budgeted Balance</b>	\$ -	\$ 275,000.00
	<b>JTA Funded Balance</b>		\$ 275,000.00
<b>Other Building and Structures</b>		<b>Grant Funding</b>	<b>JTA Funding</b>
PNR Upgrades	<b>2017 Beginning Budget</b>	\$ -	\$ 120,000.00
Radio Project - Maynard Mtn Rep	<b>2017 Beginning Budget</b>	\$ -	\$ 15,000.00
Four Corners PNR	<b>2017 Beginning Budget</b>	\$ 1,005,000.00	\$ 252,000.00
	<b>JTA Funded Balance</b>		\$ 387,000.00
<b>Revenue Vehicles</b>			
Cut-a-Way Vehicles for JTOC	<b>2017 Beginning Budget</b>	\$ 276,000.00	\$ 100,000.00
2 Full-Size Buses	<b>2017 Beginning Budget</b>	\$ 790,000.00	\$ 210,000.00
2 Full-Size Buses	<b>2017 Beginning Budget</b>	\$ 790,000.00	\$ 112,428.00
2 12 Pass Repl VP Vans	<b>2017 Beginning Budget</b>	\$ 46,475.00	\$ 25,025.00
Bus Painting	<b>2017 Beginning Budget</b>	\$ -	\$ 25,000.00
Vehicle Engine/Transmission Rep	<b>2017 Beginning Budget</b>	\$ -	\$ 150,000.00
	<b>JTA Funded Balance</b>		\$ 622,453.00
<b>Service Vehicles</b>			
<b>Service Equipment</b>			
Generator 63 4 Corners	<b>2017 Beginning Budget</b>		\$ 125,000.00
Parking Lot/Sweeper Vacuum	<b>2017 Beginning Budget</b>		\$ 41,000.00
	<b>JTA Funded Balance</b>		\$ 166,000.00
<b>Office Furniture &amp; Equipment</b>			
New Finance/Mntce/Ops Software	<b>2017 Beginning Budget</b>		\$ 200,000.00
Comprehensive Plan	<b>2017 Beginning Budget</b>		\$ 60,000.00
	<b>JTA Funded Balance</b>		\$ 260,000.00
<b>JTA Capital Reserve Account Balance</b>			\$ 1,641,543.63
<b>JTA Appropriated Project Funds Sub-Total</b>			\$ (1,710,453.00)

**Pending Reimbursements**  
**Pending Payments**

**CAPITAL RESERVE BALANCE IF ALL PURCHASED TODAY** **\$ (68,909.37)**



# **Jefferson Transit Authority Board**

## **Regular Meeting Minutes**

Tuesday, December 20, 2016, 1:30 pm

63 4 Corners Road, Port Townsend, WA

### **CALL TO ORDER/WELCOME**

The meeting was called to order by Jefferson Transit Authority (JTA) Board Chair Catharine Robinson at 1:37 p.m. Other members present were David Sullivan, and David Faber with Phil Johnson excused. A quorum was present.

### **STAFF PRESENT**

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

### **PUBLIC COMMENT**

Debbie Jahnke stated the Port Commission approved the concept of the dog park and they need to determine the official boundaries of JTA's property to continue planning. They will be fundraising for fencing and gates, etc.

Brenda McMillan would like a discussion on the 2017 Board Meeting schedule and believes the Board should vote against this.

Burt Langsea would like to continue seeing regular monthly meetings.

Darrell Conder would like to see a full Board available before a decision is made regarding monthly Board Meetings.

### **PUBLIC BUDGET MEETING**

Sara Crouch said there have been two reductions and one addition to the Capital budget. A copy with the reductions is included in the packet. There is also a copy of the latest draft and the revised resolution for each Board Member.

### **PUBLIC COMMENT**

With no comments from the public or the Board, the Public Hearing is closed at 1:47 pm and we will have action under New Business.

## NEW AGENDA ITEMS

Resolution 16-18 will be removed from the Consent Agenda and added to New Business.

## CONSENT AGENDA

- a. Approval of Minutes, November 22, 2016
- b. Approval of Expenses, November 2016
- c. Surplus Property Valued Under \$5,000

***Motion: David Sullivan moved to approve the Consent Agenda with changes as noted. David Faber seconded.***

***Vote: The motion carried unanimously, 3-0 by voice vote.***

## FINANCE REPORT - Sara Crouch

Please see Attachment A

Ms. Crouch reported on the following items:

- Sales Tax Analysis Reports
- Revenue Report
- Expense Report
- Capital Activity

It was requested that Sara create a report that would outline the funding sources from State and Federal grants.

## OLD BUSINESS

There was none.

## NEW BUSINESS

- a. **Resolution 16-17:** Adopt 2017 Proposed Budget

***Motion: David Sullivan moved to approve Resolution 16-17 Adopting the 2017 Operating and Capital Budget with the additions made by staff to the Capital Budget. David Faber seconded.***

***Vote: The motion carried unanimously, 3-0 by voice vote.***

**b. Resolution 16-19: Purchasing Policy**

JTA is required to update our Purchasing Policy to current Federal Transit Authority (FTA) standards.

***Motion: David Faber moved to approve Resolution 16-19 approving the Purchasing Policy. David Sullivan seconded.***

***Vote: The motion carried unanimously, 3-0 by voice vote.***

**c. Resolution 16-18: 2017 Board Meeting Schedule**

There was discussion regarding the pros and cons of having a meeting every other month. The main point emphasized was that this is a business meeting for Authority Board members to act on business having to do with JTA. Decisions are not made without Board approval and are made in an open public meeting.

If the decision is made to meet every other month, it was suggested that Board members and JTA staff keep the third Tuesday afternoon of the month open in case a meeting is needed.

***Motion: David Sullivan moved to approve Resolution 16-18: 2017 Board Meeting Schedule. David Faber seconded.***

***Vote: The motion carried unanimously, 3-0 by voice vote.***

**REPORTS**

**GENERAL MANAGER'S REPORT – Tammi Rubert**

Tammi Rubert updated the Board on the following items:

- JTA is looking into hearing aid devices for the public.
- 4 Corners Park and Ride progress update.

**OPERATIONS AND MOBILITY REPORT – Leesa Monroe**

Please see Attachment B

Leesa Monroe reported on the following items:

- Toys for Tots
- Kitsap Transit's new Transfer Center
- Snow Update

## **MAINTENANCE REPORT – Ben Arnold**

Please see Attachment C

Ben Arnold reported on the following items:

- Facility heating repair update

## **RIDERSHIP – Leesa Monroe**

On-time performance is at 93%. The primary reasons for the shuttle being behind schedule is high ridership and the extra boarding time required for ADA clients.

## **PUBLIC COMMENT**

Debbie Jahnke asked about bathroom updates. She also suggested keeping handwashing separate from the toilets.

Brenda McMillan requested a CAC update.

Burt Langsea stated that the Board seems secretive. The Board and staff refuse to give details on personnel decisions.

Darrell Conder asked if JTA was able to use the new snow plow.

We have had five CAC applications. The desired minimum number of people is seven, with representation from several categories from the community including businesses, education, and ridership. We are trying to get a cross section of people who are interested in promoting transit within their areas of work, geography or contacts.

**Executive Session for discussion regarding litigation per RCW 42.30.110 (1) (i) with no action anticipated.**

Executive Session began at 2:53 pm

Executive Session ended at 3:12 pm

## **ADJOURNMENT**

The meeting was adjourned at 3:12 pm. The next regular meeting will be held Tuesday, February 21, 2017, at 1:30 pm at 63 4 Corners Road, Port Townsend.

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Laura Smedley, Clerk of the Board

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Date



**63 4 Corners Road, Port Townsend, WA 98368**

Attachment A

December 14, 2016

TO: Board of Trustees, Jefferson Transit Authority  
FROM: Sara Crouch, Finance/HR Manager  
RE: November 2016 Financial Report

The budget tracking percentage for November is 91.6%.

**Sales Tax Analysis Reports –**

- Sales tax for September 2016 was 15% higher than received for September 2015. Cumulatively, JTA is up 14% compared to 2015.

**Revenue Report –**

- East side farebox and JTOC (west side service) farebox, and DAR are tracking above budget, and vanpool is performing below budget. The vanpool budget figure was calculated on the assumption there would be 5 vanpools in 2016.
- Mr. Faber asked about the budget variance in the state grant funding and federal grant funding during November's Board Meeting. Because there are different requirements for the funding (i.e. a different fiscal year end for each type of funding; state funding may expire before federal funding or vice versa; federal funding may not be obligated in time for disbursement, etc.) we may be asked to spend more of one type of funding earlier/later or not equally over the biennium.  
The other factor that affects the variance is the State Rural Mobility Formula funds (aka sales tax equalization funds). We cannot predict from year to year the amount of this annual grant funding. The funding "formula" compares prior year sales tax collections for all qualifying transit agencies. JTA typically uses this funding in our operating grant.

**Expense Report – JTA is tracking 13.3% below budget as of November 2016**

- **Labor** – Fixed route, DAR, and other overtime are over budget.
- **Benefits** – Unemployment insurance is over budget, all other benefits are trending below budget.
- **Service and User Fees** – Contract Maintenance Services (IT Services) – over budget due to radio survey and shadow IT service. In the event our IT Administrator is unable to perform his duties, the shadow IT service will provide manpower that is familiar with our server and applications.
- **Materials and Supplies Consumed -**
  - Vehicle Maintenance & Repair Parts – over budget, several high dollar repairs.
  - Shop Supplies – over budget, increased costs for this line item.
- **Utilities** – Electrical – There is a delay in posting the current month's electrical expenses (we are waiting on the bills). This line item is on budget without the current month, and it is expected it will be over budget.
- **Casualty and Liability Costs** – performing at budget
- **Taxes** – Trending below budget
- **Miscellaneous** – Trending below budget
- **Leases and Rentals** – Transit Way & Passenger Stations – The Port-a-Potty at HPTC has had to be serviced every two weeks instead of once a month during the summer.

**Capital Activity –**

- Capital activity in November: SCJ Alliance, HPTC Lighting Project



## November 2016 Financial Summary

Budget Tracking Figure: 91.6%

1. Operational Expenses:	\$315,969.18
Operational Revenues:	\$14,173.96
Non-Operational Income:	\$447,844.52
Capital Expenses:	\$32,965.63
Capital Income:	\$69,870.03

2. Sales Tax Received 11/30/2016 for September 2016:	\$460,953.02
Sales Tax Received 11/30/2015 for September 2015:	\$399,850.25

**\*\*Sales tax increased from prior year 15%\*\***

3. Cash on Hand as of November 30, 2016\*:

Operating:	\$2,074,563.55
Operating Reserve (81% Funded):	\$950,000.00
(Minimum Funding Required \$1,172,000)	
Real Estate Funds on Hold for Bond Call	\$561,515.00
Capital Account:	\$395,913.26
Capital Reserve (42% Funded)***:	\$1,534,632.69
(TDP Funding Match \$2,544,200)	
Unemployment Reserve:	\$14,000.00
Bond Payment Reserve:	\$69,880.20
Bond Reserve:	\$85,250.00
EFT Fund:	\$177,330.53
Travel Fund:	\$1,500.00

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<b>Total</b>	<b>\$5,864,585.23**</b>
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\*"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/Cash 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.

\*\*\*Balance 1,534,632.69 minus current year project obligations.



Jefferson Transit

Sales Tax Current & Prior Year Actual and Budget Variance Analysis

Projection Year

2016

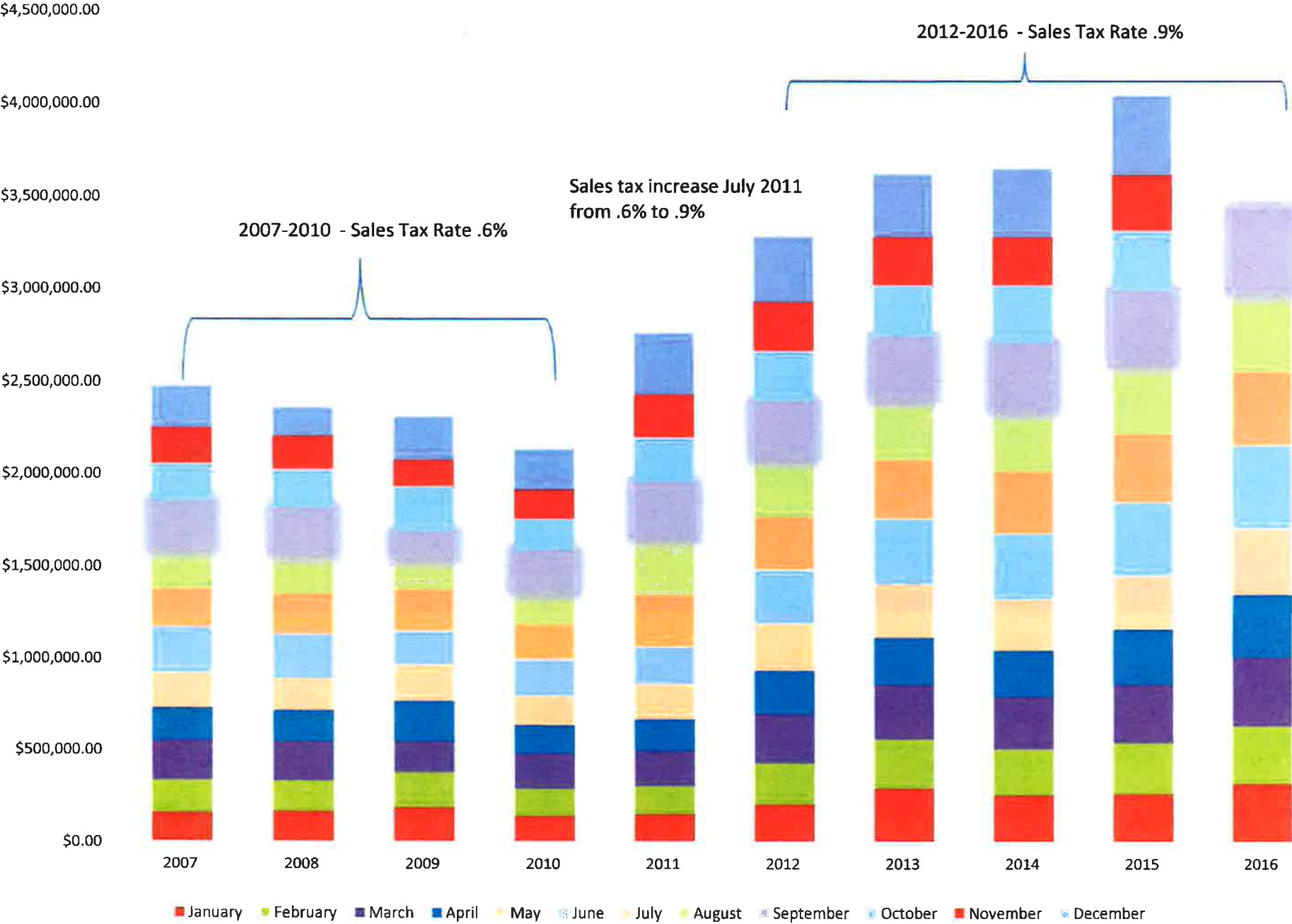
Month Received - Cash Basis (Cash Flow)

Month of Receipt	Tax Rate	2016 Tax	2015 Tax	2014 Tax	2013 Tax	2016 Budget	2016 Monthly Act to Bud Variance	2016 Cumulative Cash Actual Sales Tax Received	2016 Cumulative Cash Budgeted Sales Tax	2016 Cumulative Actual to Budget Variance
January	0.90%	\$300,908.64	\$261,865.96	\$261,546.64	\$263,071.24	\$241,672.00	24.51%	\$300,908.64	241,672.00	24.51%
February	0.90%	\$428,927.47	\$374,287.05	\$344,682.23	\$361,349.36	\$331,952.00	29.21%	\$729,836.11	573,624.00	27.23%
March	0.90%	\$318,746.72	\$261,817.97	\$256,028.91	\$291,292.37	\$267,054.00	19.36%	\$1,048,582.83	840,678.00	24.73%
April	0.90%	\$306,315.48	\$271,446.82	\$245,824.15	\$262,810.78	\$276,876.00	10.63%	\$1,354,898.31	1,117,554.00	21.24%
May	0.90%	\$379,552.66	\$320,654.36	\$287,301.65	\$299,768.61	\$327,067.00	16.05%	\$1,734,450.97	1,444,621.00	20.06%
June	0.90%	\$341,610.91	\$302,831.80	\$253,212.12	\$258,797.23	\$308,888.00	10.59%	\$2,076,061.88	1,753,509.00	18.39%
July	0.90%	\$358,635.90	\$292,359.11	\$279,961.16	\$292,014.18	\$298,390.00	20.19%	\$2,434,697.78	2,051,899.00	18.66%
August	0.90%	\$447,138.73	\$394,409.20	\$354,351.27	\$351,405.02	\$402,297.00	11.15%	\$2,881,836.51	2,454,196.00	17.42%
September	0.90%	\$399,443.33	\$371,144.67	\$334,282.34	\$317,410.71	\$378,568.00	5.51%	\$3,281,279.84	2,832,764.00	15.83%
October	0.90%	\$422,063.41	\$377,289.26	\$328,643.28	\$331,339.51	\$335,216.00	25.91%	\$3,703,343.25	3,167,980.00	16.90%
November	0.90%	\$460,953.02	\$399,850.25	\$368,479.21	\$336,708.79	\$375,849.00	22.64%	\$4,164,296.27	3,543,829.00	17.51%
December	0.90%		\$321,318.35	\$306,363.54	\$273,339.76	\$312,491.00	0.00%	\$0.00	3,858,320.00	
Total		\$4,164,296.27	\$3,949,274.80	\$3,620,676.50	\$3,639,307.56	\$3,856,320.00	0.00%			
Monthly Average		\$378,572.39	\$329,106.23	\$301,723.04	\$303,275.63	\$321,360.00				

Month Earned - Accrual Basis (Income Statement)

Month Recognized	Tax Rate	2016 Tax	2015 Tax	2014 Tax	2013 Tax	2016 Budget	2016 Actual to Budgeted Variance	2016 Cumulative Accrual Actual Sales Tax Received	2016 Cumulative Accrual Budgeted Sales Tax	2016 Cumulative Actual to Budget Variance
January	0.90%	\$318,746.72	\$261,817.97	\$256,028.91	\$291,292.37	\$267,054.00	19.36%	\$318,746.72	267,054.00	19.36%
February	0.90%	\$306,315.48	\$271,446.82	\$245,824.15	\$262,810.78	\$276,876.00	10.63%	\$625,062.20	543,930.00	14.92%
March	0.90%	\$379,552.66	\$320,654.36	\$287,301.65	\$299,768.61	\$327,067.00	16.05%	\$1,004,614.86	870,997.00	15.34%
April	0.90%	\$341,610.91	\$302,831.80	\$253,212.12	\$258,797.23	\$308,888.00	10.59%	\$1,346,225.77	1,179,885.00	14.10%
May	0.90%	\$358,635.90	\$292,359.11	\$279,961.16	\$292,014.18	\$298,390.00	20.19%	\$1,704,861.67	1,478,275.00	15.33%
June	0.90%	\$447,138.73	\$394,409.20	\$354,351.27	\$351,405.02	\$402,297.00	11.15%	\$2,152,000.40	1,880,572.00	14.43%
July	0.90%	\$399,443.33	\$371,144.67	\$334,282.34	\$317,410.71	\$378,568.00	5.51%	\$2,551,443.73	2,259,140.00	12.94%
August	0.90%	\$422,063.41	\$377,289.26	\$328,643.28	\$331,339.51	\$335,216.00	25.91%	\$2,973,507.14	2,594,356.00	14.61%
September	0.90%	\$460,963.02	\$399,850.25	\$368,479.21	\$336,708.79	\$375,849.00	22.65%	\$3,434,470.16	2,970,205.00	15.63%
October	0.90%		\$321,318.35	\$306,363.54	\$273,339.76	\$312,491.00	0.00%	\$0.00	3,282,696.00	
November	0.90%		\$300,908.64	\$261,865.96	\$261,546.64	\$267,103.00	0.00%	\$0.00	3,549,799.00	
December	0.90%		\$374,287.05	\$374,287.05	\$344,682.23	\$381,773.00	0.00%	\$0.00	3,931,572.00	
Total		\$3,434,470.16	\$3,988,317.48	\$3,650,600.64	\$3,621,115.83	\$3,931,572.00	0.00%			
Monthly Average		\$381,607.80	\$332,359.79	\$304,216.72	\$301,759.65	\$327,631.00				

Jefferson Transit Authority - 2007-2016 Cumulative Sales Tax (Accrual Based)



**Jefferson Transit Authority**  
**Statement of Cash Flows-Accrual Basis**  
**For the Eleven Months Ending November 30, 2016**

	November	Year to Date
<b>STATEMENT OF CASH FLOWS</b>		
Cash Balances - Beginning of Period	\$5,318,476.02	\$3,576,936.62
Operating Cash Provided/(Used) by:		
Operating Activities	\$37,339.36	(\$3,363,348.94)
Non-Capital Financing Activities	\$466,313.84	\$5,251,639.04
Investing Activities	\$1,755.37	\$14,593.94
Total Operating Cash Provided/(Used)	\$505,408.57	\$1,902,884.04
Capital Cash Provided/(Used) by:		
Capital and Related Financing Activities	\$42,628.42	\$386,692.35
Net Increase/(Decrease) Cash and Equivalent	\$548,036.99	\$2,289,576.39
<b>CASH BALANCES - END OF PERIOD</b>	<b>\$5,866,513.01</b>	<b>\$5,866,513.01</b>

**Jefferson Transit Authority**  
**Statement of Income (Loss) - Accrual Basis**  
**For the Eleven Months Ending November 30, 2016**

	November	YTD	Budget	% of Actual vs. Budget
<b>STATEMENT OF INCOME/(LOSS)</b>				
<b>Operating Revenues</b>	<b>\$14,173.96</b>	<b>\$189,244.94</b>	<b>\$215,600.00</b>	<b>87.78%</b>
<b>Operating Expenses</b>				
Labor	156,836.76	1,704,742.93	1,937,883.00	87.98%
Benefits	105,783.41	1,158,348.47	1,538,325.00	75.30%
Services and User Fees	5,301.22	133,255.76	198,970.00	66.97%
Materials & Supplies	30,837.00	338,481.06	555,310.00	60.95%
Utilities	2,920.76	62,023.46	89,967.00	68.94%
Casualty/Liability Costs	9,880.42	108,684.62	120,000.00	90.57%
Taxes	272.99	4,664.79	8,158.00	57.18%
Miscellaneous Expenses	3,824.92	44,927.23	72,877.00	61.85%
Leases and Rentals	274.20	13,396.52	23,928.00	55.99%
<b>Total Operating Expenses</b>	<b>315,931.68</b>	<b>3,568,524.84</b>	<b>4,545,218.00</b>	<b>78.51%</b>
<b>Operating Income (Loss)</b>	<b>(301,757.72)</b>	<b>(3,379,279.90)</b>	<b>(4,329,618.00)</b>	<b>78.05%</b>
<b>Non-Operating Revenues</b>				
Non-Transportation Revenue	2,736.88	604,680.63	13,800.00	4,381.74%
Taxes Levied by Transit	352,207.02	4,170,266.27	3,817,621.00	109.24%
Local Grants & Contributions	1,250.00	16,250.00	17,500.00	92.86%
State Grants & Contributions	43,138.96	439,821.53	251,579.00	174.82%
Federal Grants & Contributions	48,511.66	533,770.32	801,284.00	66.61%
<b>Total Non-Operating Revenues</b>	<b>447,844.52</b>	<b>5,764,788.75</b>	<b>4,901,784.00</b>	<b>117.61%</b>
<b>Net Income (Loss) Before Transfers In/(Out)</b>	<b>146,086.80</b>	<b>2,385,508.85</b>	<b>572,166.00</b>	<b>416.93%</b>
<b>Net Income/(Loss)</b>	<b>146,086.80</b>	<b>2,385,508.85</b>	<b>572,166.00</b>	<b>416.93%</b>

**Jefferson Transit Authority**  
**Revenue Statement - Accrual Basis**  
**For the Eleven Months Ending November 30, 2016**

	<u>November</u>	<u>YTD</u>	<u>Budget</u>	<u>% of Actual vs. Budget</u>
<b>OPERATING REVENUES</b>				
<b>Passenger Fares for Transit Services</b>				
Fixed Route Fares - East	\$9,708.01	\$131,634.40	\$142,800.00	92.18%
Fixed Route Fares - West - JTOC	201.73	4,519.96	4,500.00	100.44%
Dial-a-Ride Fares (DAR)	803.66	10,014.45	10,800.00	92.73%
Vanpools	3,460.56	40,541.22	55,000.00	73.71%
Extended Service		2,534.91	2,500.00	101.40%
<b>Auxiliary Transportation Revenues</b>				
<b>Total Operating Revenues</b>	<b>14,173.96</b>	<b>189,244.94</b>	<b>215,600.00</b>	<b>87.78%</b>
<b>NONOPERATING REVENUES</b>				
Nontransportation				
Investment (Interest) Income	1,755.37	14,593.94	3,000.00	486.46%
Gain (Loss) on Disposition of Capital Items		581,704.16		0.00%
Public Donations	44.00	74.40		0.00%
Other Nontransportation Revenues	937.51	8,308.13	10,800.00	76.93%
<b>Taxes Levied Directly by Transit System - Sales &amp; Use Tax</b>	<b>352,207.02</b>	<b>4,170,266.27</b>	<b>3,817,621.00</b>	<b>109.24%</b>
<b>Local Grants and Contributions</b>				
JTOC	1,250.00	13,750.00	15,000.00	91.67%
WSTIP		2,500.00	2,500.00	100.00%
<b>State Grants and Contributions</b>				
Rural Mobility Competitive	39,539.00	435,089.00	248,579.00	175.03%
RTAP	3,599.96	4,732.53	3,000.00	157.75%
<b>Federal Grants and Contributions (OPERATING)</b>				
Federal Grants and Contributions - FTA 5311	48,511.66	533,770.32	801,284.00	66.61%
<b>Capital Contributions - Local/State/Federal</b>				
Capital Contributions - State		34,335.00		0.00%
Capital Contributions - FTA 5311, Equipment Assistance (Federal)		35,535.03		0.00%
<b>Total Nonoperating Revenues</b>	<b>447,844.52</b>	<b>5,834,658.78</b>	<b>4,901,784.00</b>	<b>119.03%</b>
<b>TOTAL REVENUES</b>	<b>462,018.48</b>	<b>6,023,903.72</b>	<b>5,117,384.00</b>	<b>117.71%</b>

**Jefferson Transit Authority**  
**Expense Statement**  
**For the Eleven Months Ending November 30, 2016**

	<u>November</u>	<u>YTD</u>	<u>Budget</u>	<u>% of Actual vs. Budget</u>
<b>OPERATING EXPENSES</b>				
<b>Labor</b>				
Operators Salaries & Wages - Fixed Route	\$56,381.61	\$565,715.44	\$634,498.00	89.16%
Operators Overtime - Fixed Route	2,257.54	63,407.39	58,406.00	108.56%
Operators Salaries & Wages - Dial-a-Ride (DAR)	10,506.95	112,898.01	145,464.00	77.61%
Operators Overtime - Dial-a-Ride (DAR)	1,021.67	8,934.73	6,970.00	128.19%
Other Salaries & Wages (Mntce, Dispatch, Cust Serv)	35,785.05	441,730.84	520,272.00	84.90%
Other Overtime (Mntce, Dispatch, Cust Serv)	4,639.38	45,167.30	40,693.00	111.00%
Administration Salaries	46,244.56	466,889.22	531,380.00	87.86%
<b>Benefits</b>				
FICA	12,442.31	143,653.90	186,057.00	77.21%
Pension Plans (PERS)	17,979.88	212,346.23	258,449.00	82.16%
Medical Plans	38,435.91	403,471.74	565,613.00	71.33%
Dental Plans	3,039.69	32,140.33	42,235.00	76.10%
Unemployment Insurance (UI)		15,371.20	9,068.00	169.51%
Workers' Compensation Insurance - Labor & Industries (L&I)	4,014.06	47,826.69	71,932.00	66.49%
Holiday	6,114.76	60,803.19	87,360.00	69.60%
General Leave	22,016.78	209,590.83	262,825.00	79.75%
Other Paid Absence (Court Duty & Bereavement)	700.72	5,944.24	14,686.00	40.48%
Uniforms, Work Clothing & Tools Allowance	92.03	5,509.33	10,100.00	54.55%
Other Benefits (HRA, EAP & Wellness)	947.27	21,690.79	30,000.00	72.30%
<b>Service and User Fees</b>				
Vanpool Services and Fees			3,000.00	0.00%
Advertising Fees	493.00	10,860.19	18,250.00	59.51%
Professional & Technical Services	1,557.79	68,168.20	83,530.00	81.61%
Contract Maintenance Services (IT Services)	773.89	6,260.33	5,500.00	113.82%
Security Services	210.00	1,698.05	5,000.00	33.96%
Vehicle Technical Services		18,306.29	38,750.00	47.24%
Property Maintenance Services	834.21	9,277.78	13,000.00	71.37%
Software Maintenance Fees	935.53	12,964.77	21,540.00	60.19%
Postage & Mail Meter Fees	120.97	2,624.32	3,100.00	84.66%
Drug & Alcohol Services	225.83	2,936.13	4,800.00	61.17%
Other Services & User Fees	150.00	159.70	2,500.00	6.39%
<b>Materials and Supplies Consumed</b>				
Fuel	20,395.96	165,211.01	340,000.00	48.59%
Tires	1,368.31	17,739.51	35,000.00	50.68%
Lubrication	368.40	6,170.38	10,550.00	58.49%
Tools	(49.82)	8,155.09	10,000.00	81.55%
Vehicle Maintenance & Repair Parts	5,366.02	83,462.97	66,500.00	125.51%
Non-Vehicle Maintenance & Repair Parts	69.79	3,584.27	8,240.00	43.50%
Vehicle Accessories			1,350.00	0.00%
Park & Ride Materials	230.17	622.76	4,000.00	15.57%
Shop Supplies (Maintenance & Cleaning)	777.00	19,483.13	18,500.00	105.31%
Safety & Emergency Supplies		221.29	7,050.00	3.14%
Office Supplies	823.40	9,354.53	14,920.00	62.70%
Computer Programs & Supplies	1,225.62	7,318.48	7,750.00	94.43%
Printing (Photocopier, Schedules & Brochures)	262.15	16,946.28	29,450.00	57.54%
Other Materials & Supplies		211.36	2,000.00	10.57%
<b>Utilities</b>				
Water, Sewer & Solid Garbage	148.82	9,193.25	27,170.00	33.84%
Utilities (Electrical & Propane)		19,841.63	23,475.00	84.52%
Telephone & Internet	2,771.94	32,988.58	39,322.00	83.89%
<b>Casualty and Liability Costs</b>				
Premiums for Public Liability & Property Damage Insurance	9,880.42	108,684.62	120,000.00	90.57%
<b>Taxes</b>				
State Taxes	272.99	3,634.08	4,408.00	82.44%
Vehicle Licensing & Registration Fees		33.00	750.00	4.40%
Other Licensing Fees & Taxes		997.71	3,000.00	33.26%

**Jefferson Transit Authority**  
**Expense Statement**  
**For the Eleven Months Ending November 30, 2016**

	<u>November</u>	<u>YTD</u>	<u>Budget</u>	<u>% of Actual vs. Budget</u>
<b>Miscellaneous</b>				
Dues & Subscriptions	\$1,538.26	\$10,248.13	\$16,727.00	61.27%
Travel & Meetings	1,549.66	17,507.09	29,650.00	59.05%
Fines & Penalties		14.00		0.00%
Safety Program (Rodeo & Safety Rewards)	500.00	4,546.16	6,500.00	69.94%
Training (Classes, Seminars & Materials)	135.00	10,837.65	14,900.00	72.74%
EE CDL and EE Physical Expense	102.00	1,749.00	4,800.00	36.44%
Other Miscellaneous		25.20	300.00	8.40%
<b>Interest Expense</b>				
Interest on Long-term Debt Obligation	37.50	18,290.00	35,755.00	51.15%
<b>Leases and Rentals</b>				
Transit Way & Passenger Stations	274.20	2,379.88	1,800.00	132.22%
Service Vehicles & Equipment		40.88	9,000.00	0.45%
Other General Administration Facilities		10,975.76	13,128.00	83.61%
<b>TOTAL OPERATING EXPENSES</b>	<b><u>315,969.18</u></b>	<b><u>3,586,814.84</u></b>	<b><u>4,580,973.00</u></b>	<b><u>78.30%</u></b>

Jefferson Transit  
Treasury Pool Investments Account (Capital) and Checking Account  
Capital Projects Tracking Report  
November 2016

Current Account Status	Balance per Bank @ 11/30/16	\$ 1,930,545.95	\$ -
Balance per GL @ 10/31/16		\$ 1,919,980.16	
	Transfers - In	\$ -	
	Transfers - In ( Bond Financing)	\$ -	
	Debt Financing Expenses	\$ -	
	Reimbursement	\$ 42,718.32	
	Investment Interest	\$ 813.10	
	Transfers - Out (Purchases)	\$ (32,965.63)	
	Transfers - Out (Operating Correction)	\$ -	
Balance per GL @ 11/30/16		\$ 1,930,545.95	

2016 Capital Projects			
Facility		Grant Funding	JTA Funding JTA Appropriation
	2016 Budgeted Balance	\$ -	\$ 465,648.00 \$ (465,648.00)
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
Monthly Payments		\$ -	\$ -
	Feb-16 TCF Architecture	\$ (4,385.90)	\$ 4,385.90
	Mar-16 Correctional Industries	\$ (326.48)	\$ 326.48
	Apr-16 TCF, Pease	\$ (82,881.61)	\$ 82,881.61
	May-16 TCF	\$ (187.09)	\$ 187.09
	Jun-16 TCF, Pease	\$ (254,513.94)	\$ 254,513.94
	Jul-16 TCF	\$ (198.99)	\$ 198.99
	Aug-16 TCF	\$ (1,200.31)	\$ 1,200.31
	Ending Balance		\$ -
			\$ (141,975.68)
Other Building and Structures		Grant Funding	JTA Funding
PNR Lighting Upgrades	2016 Beginning Balance	\$ 12,738.00	\$ 3,184.00 \$ (3,184.00)
			\$ -
			\$ -
PNR Upgrades	2016 Beginning Balance	\$ -	\$ 120,000.00 \$ (120,000.00)
	Tree Removal & IT Upgrades	\$ (2,205.79)	\$ 2,205.79
Four Corners PNR	2016 Beginning Balance	\$ 1,040,000.00	\$ 280,000.00 \$ (280,000.00)
	SCJ Alliance	\$ (13,474.12)	\$ (3,368.53) \$ 3,368.53
	SCJ Alliance	\$ (7,347.03)	\$ (1,838.76) \$ 1,838.78
	SCJ Alliance	\$ (13,514.22)	\$ (3,378.55) \$ 3,378.55
	SCJ Alliance	\$ (16,943.06)	\$ (4,235.77) \$ 4,235.77
	Ending Balance		\$ (368,158.60)
Revenue Vehicles			
Cut-a-Way Vehicles	2016 Beginning Balance	\$ 278,000.00	\$ 69,000.00 \$ (69,000.00)
2 Full-Size Buses	2016 Beginning Balance	\$ 790,000.00	\$ 123,295.00 \$ (123,295.00)
Service Vehicles			
Service Equipment			
Generator, Snorkle Lift, PL Vacuum		\$ 124,500.00	\$ (124,500.00)
Snorkle Lift		\$ 24,841.10	\$ (24,841.10)
	Ending Balance		\$ (149,341.10)
Office Furniture & Equipment			
IT Systems/Trapeze Upgrades	2016 Beginning Balance	\$ 35,727.00	\$ 8,932.00 \$ (8,932.00)
	Feb-16 Laptop	\$ 666.00	\$ 173.28 \$ 173.28
	Mar-16 Use tax, BU/Mail Archive Software, Laptops, &	\$ 10,458.00	\$ 2,614.42 \$ 2,614.42
	Apr-16 Use tax, Monitors, Servers,	\$ 13,331.66	\$ 3,332.82 \$ 3,332.92
	May-16 Use Tax, Spare PCs, Monitors	\$ 2,769.15	\$ 692.80 \$ 692.90
	Jun-16 Use tax, Shop Laptops, Monitors	\$ 1,426.34	\$ 357.08 \$ 357.08
	Sep-16 Use Tax, Backup Server	\$ 3,256.06	\$ 814.01 \$ 814.01
	Oct-16 HPTC Lighting Project	\$ 4,135.79	\$ 1,033.95 \$ 1,033.95
	Nov-16 HPTC Lighting Project	\$ 3,767.04	\$ 941.76 \$ 941.76
Hand Held Radios		\$ 1,500.00	\$ (1,500.00)
Mapping Software		\$ 1,000.00	\$ (1,000.00)
New Finance/Mntce/Ops Software		\$ 150,000.00	\$ (150,000.00)
Comprehensive Plan		\$ 80,000.00	\$ (60,000.00)
	Balance		\$ (211,471.67)

JTA Capital Reserve Account Balance \$ 1,930,545.95  
JTA Appropriated Project Funds Sub-Total \$ (1,386,914.38)

Pending Reimbursements  
Pending Payments

CAPITAL RESERVE BALANCE IF ALL PURCHASED TODAY \$ 543,631.57

Total 2016 Budgeted Capital Projects JTA Outlay \$ 1,387,059.00





**63 4 Corners Road, Port Townsend, WA 98368**

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## **Operations Board Report**

**December 2016**

**Attachment B**

For the third year, Jefferson Transit partnered with the Kiwanis collecting toys on Saturday, December 3<sup>rd</sup> for Toys for Tots. The Kiwanis continue to grow this event. There was a food vendor, Mo's BBQ. He donated his proceeds to Toys for Tots. The Marine recruiters brought 25 Marine recruits and teens that they are mentoring. Their attendance raised the exposure for this event, and it was a successful year.

On Monday, December 5<sup>th</sup> our Poulsbo service began using the North Viking Park and Ride. JTA and Kitsap Transit are monitoring our connection times.

The first day of snow this month was Friday, December 9<sup>th</sup>. Two routes were affected, the Brinnon did not travel to Triton Cove in the morning, and Mason Transit also canceled their service to Triton Cove. Poulsbo service bypassed Paradise Bay and detoured onto Highway 19. We also had snow in Port Townsend on Saturday, December 17<sup>th</sup>.



**63 4 Corners Road, Port Townsend, WA 98368**

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## **Maintenance Board Report**

**December 2016**

**Attachment C**

JTA has been having issues with the facility heating system for the last couple of months. About ten days ago the heat on the front side of the building quit working completely. A technician from Advanced Heating and Air Conditioning did a lot of troubleshooting one day, the company then sent their commercial repairman. He discovered the problem, has ordered parts, and will return to replace the defective parts next week.



63 4 Corners Rd, Port Townsend, WA 98368

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DATE: 2/2/2017

December 2016 Expenses

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

- Accounts Payable Vouchers #95498-95526 in the amount of \$90,387.91
- Accounts Payable Vouchers #95527-95528 in the amount of \$3,947.25
- Accounts Payable Voucher #95529 in the amount of \$71,391.19
- Accounts Payable Vouchers #95530-95557 in the amount of \$29,961.52
- Accounts Payable Vouchers #95558-95579 in the amount of \$26,561.62
- Accounts Payable Voucher #95580 in the amount of \$79,069.11
- Capital Check #563 in the amount of \$17,039.89
- Capital Check #564 in the amount of \$89.90
- Capital Check #565 in the amount of \$3,918.55
- Capital Check #566 in the amount of \$8,332.49
- Capital Check #567 in the amount of \$7,188.00
- Advance Travel Check #380 in the amount of \$146.50
- EFT/Payroll Vouchers #51003/51005/51006A/51016 in the amount of \$3,827.68
- EFT/Payroll Vouchers #51049/51051/51052/51062 in the amount of \$3,484.03
- EFT/Payroll Vouchers #51093/51095/51096/51106 in the amount of \$4,491.19
- EFT Payments in the amount of \$2,040.02
- Transfer from the Operations account to the Bond Payment Reserve account for the purpose of the annual bond debt service 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



63 4 Corners Rd, Port Townsend, WA 98368

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DATE: 2/21/2017

January 2017 Expenses

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

- Accounts Payable Vouchers #95581-95610 in the amount of \$88,800.74
- Accounts Payable Voucher #95611 in the amount of \$1,948.49
- Accounts Payable Voucher #95612 in the amount of \$82,198.06
- Accounts Payable Vouchers #95613-95645 in the amount of \$160,629.69
- Accounts Payable Voucher #95646 in the amount of \$80,221.86
- Accounts Payable Vouchers #95647-95698 in the amount of \$124,114.67
- Voided Accounts Payable Vouchers #95660-95674 printer error
- Voided Accounts Payable Voucher #95585 in the amount of \$100.00
- Capital Check #568 in the amount of \$3,382.10
- Capital Check #569 in the amount of \$254,316.95
- Capital Check #570 in the amount of \$646.92
- EFT/Payroll Vouchers #51139/51141/51142/51152 in the amount of \$4,448.11
- EFT/Payroll Vouchers #51183/51185/51186/51198 in the amount of \$4,129.97
- EFT Payment in the amount of \$19,844.98
- Jefferson County Direct Bond Payment Reserve payment in the amount of \$62,877.50
- Transfer from the Operations account to the Bond Payment Reserve account for the purpose of the annual bond debt service 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



## Authority Board Agenda Summary

**MEETING DATE:** February 21, 2017

**AGENDA ITEM:** Approval for Out-of-State Travel by Ben Arnold

**SUBMITTED BY:** Ben Arnold **TITLE:** Fleet & Facilities Manager

**DEPARTMENT:** Maintenance

**EXHIBITS/  
ATTACHMENTS:**

Course information and travel estimate.

**BUDGETARY IMPACT** (if applicable)

**BUDGETED:** \$2,700

**EXPENDITURE REQUIRED:** \$2,628

**FUNDING SOURCE:** \_\_\_\_\_

**REVIEWED BY:** *Sharoni Rubert*

**MEETING DATE:** 3-20 to 3-24-2017

**RECOMMENDATION:** Approve

**COMMENTS:**

**SUMMARY  
STATEMENT:**

Fleet and Facilities Manager Ben Arnold requests travel to Las Vegas, NV to attend the Ron Turley Associates (RTA) Fleet Management Software Annual Software User's Conference.

This yearly conference offers training and highly useful information on managing daily tasks and improving RTA system usage.

**RECOMMENDED  
ACTION/MOTION:**

Motion: Move to approve out-of-state travel for Ben Arnold.

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## Ron Turley Associates Annual Software Users' Conference



**Online Registration to attend is available now!**

**REGISTER NOW**

Mark your calendars now and plan on attending RTA Users Conference 2017 at the Luxor in Las Vegas, NV. In keeping with our conference tradition, RTA will be introducing new modules and features at our 27th Annual conference.

RTA's User's Conference is a unique mix of training sessions and group activities designed to provide attendees with information and ideas for managing daily tasks to improve their fleet management operations.

## Pre-Conference Opportunities for New and Advanced System Users

On Monday and Tuesday, new system users experience a comprehensive two-day basic training class. This hands-on training program guides new users through the setup and operation of the RTA system providing the necessary tools to operate their own system. Anyone new to the RTA system experiences great benefits from this class. Advanced system users already utilizing RTA's rich content can choose from a variety of half-day classes.

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### Pricing Options (if registered by 1/31/2017)

Full Week (2 Days Training and 3 Days Conference)

\$1195 one person

\$1095 ea for two people

\$995 ea for three+ people

Conference Only (3 Days Conference)

\$895 one person

\$845 ea for two people

\$795 ea for three+ people



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## Conference

On Wednesday through Friday, conference goers experience general sessions where new features and updates are presented along with information pertinent to the entire group. Conference classes consist of three days of focused topics covered in 60 or 90 minute sessions each. We offer a huge variety of training classes from which to choose. The networking and interaction opportunities with RTA users and staff are invaluable!

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## Hotel Registration

[Click here to book your room at the Luxor, Las Vegas.](#) Using this link will automatically book your room at RTA's discounted group rate: \$56 per night plus \$20 resort fee, plus 12% tax Sunday night through Friday morning

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## What Did Previous Attendees Gain from the Conference?



- "The training and networking is invaluable." —Wendy Dion, Indiana University

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<p align="center"><b>Estimated Travel Expenses for Ben Arnold to attend the Ron Turley Associates Annual Software Users' Conference in Las Vegas, NV</b></p>
--

Conference Fee		\$1,195.00
Flight Estimation		\$240.00
Travel to SeaTac	193.8 Round Trip x .345	\$67.00
Parking at SeaTac	7-Day Discount	\$84.00
Bridge Toll		\$6.00
Hotel Shuttle	Round Trip	?
Hotel + Tax & Fees		\$620.00
	\$64/day x 5 days + 1st & last	
Meals/per diem	@ \$48/day	\$416.00
		<u>\$2,628.00</u>



## Authority Board Agenda Summary

**MEETING DATE:** February 21, 2017

**AGENDA ITEM:** Approval for Out-of-State Travel for David Lont

**SUBMITTED BY:** Ben Arnold **TITLE:** Fleet & Facilities Manager

**DEPARTMENT:** Maintenance

**EXHIBITS/  
ATTACHMENTS:**

Course information and travel estimate.

**BUDGETARY IMPACT** (if applicable)

**BUDGETED:** \$846

**EXPENDITURE REQUIRED:** \$845.78

**FUNDING SOURCE:** \_\_\_\_\_

**REVIEWED BY:** Jammi Rubens

**MEETING DATE:** 4-10 to 4-12-2017

**RECOMMENDATION:** Approve

**COMMENTS:**

**SUMMARY  
STATEMENT:**

Facilities Maintenance Worker David Lont requests to attend the 2017 Green Transportation Summit & Expo in Portland, OR.

This is the region's premier fleet modernization and alternative fuels event. GTSE events offer the best combination of information-packed sessions, prominent national and regional speakers, and the latest technologies from industry leaders.

**RECOMMENDED  
ACTION/MOTION:**

Motion: Move to approve out-of-state travel for David Lont.

## Summary

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The Green Transportation Summit & Expo (GTSE) is the region's premier fleet modernization and alternative fuels event. GTSE events offer the best combination of information-packed sessions, prominent national and regional speakers, and the latest technologies from industry leaders.

Fleet managers and clean-fleet stakeholders have relied on previous years' Green Transportation Summit & Expo events to give them the best value for their time and budgets. The 8th annual installment promises to continue that trend, with top-notch education and networking opportunities attracting the professionals who are determining the future of their fleets, companies and cities.

No other conference in the clean fuels sector can claim a stronger delegation from the fleet industry, and they keep coming back year after year. About 50% of attendees from past Green Transportation Summit & Expo gatherings were from corporate, municipal and other fleets, representing fleet management, operations, maintenance and other functions. They come from small towns, large companies and all variations between, each with a singular objective: to obtain the most up-to-date information about the altfuel sector and the technologies driving it.

Whether you focus on refueling infrastructure, alt-fuel vehicle conversions, alternative system components or another segment, the Green Transportation Summit & Expo will give you and your team members the opportunity to get in front of influencers and decision-makers. The expo gives ample time for attendees to walk the expo floor to catch up with old partners and make new contacts. Networking lunches are available on both days of the conference, and cocktail receptions offer further opportunity to mix with peers and colleagues.

The Green Transportation Summit & Expo doesn't try to be the biggest show, but it definitely works hard to be the best show. No other event offers better programming, access and value.

We look forward to seeing you in Portland in April 2017!

## Details

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### When

Monday, April 10, 2017 - Wednesday, April 12, 2017

10:00 AM - 5:00 PM

Pacific Time

### Where

Portland EXPO Center

2060 N. Marine Drive

Portland, Oregon 97217

USA

503-736-5202

### Websites

[www.GTSummitexpo.com](http://www.GTSummitexpo.com)

<p><b>Estimated Travel for David Lont to attend the 2017 Green Transportation Summit &amp; Expo in Portland, OR</b></p>
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Conference Registration		\$206.94
Travel to Portland	392 Round Trip x .345	\$135.24
Hotel + Tax x 2 days	\$171.80 x 2	\$343.60
Meals/per diem	\$64/day x 1 + 1st & last @ \$48	\$160.00
		<u>\$845.78</u>



## Authority Board Agenda Summary

**MEETING DATE:** February 21, 2017

**AGENDA ITEM:** Resolution 17-01: Authorizing the General Manager to Sign the 2017 Certifications and Assurances

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

**DEPARTMENT:** Finance

**EXHIBITS/  
ATTACHMENTS:**

Resolution 17-01  
2017 Certifications and Assurances

**BUDGETARY IMPACT** (if applicable)

**BUDGETED:** N/A

**EXPENDITURE REQUIRED:** N/A

**FUNDING SOURCE:** N/A

**REVIEWED BY:** *Shirley Ruck*

**MEETING DATE:** February 21, 2017

**RECOMMENDATION:** Approve

**SUMMARY  
STATEMENT:**

A Resolution of the Board of Directors of the Jefferson County Public Transportation Benefit Area, authorizing the General Manager to sign the 2017 Certifications and Assurances.

**RECOMMENDED  
ACTION/MOTION:**

Motion: Move to adopt Resolution 17-01: Authorizing the General Manager to sign the 2017 Certifications and Assurances.

1                                   **JEFFERSON TRANSIT AUTHORITY**

2   **RESOLUTION 17-01**

3                                   **Authorizing the General Manager to Sign the**  
4   **2017 Certifications and Assurances**

5  
6                   **A RESOLUTION** of the Board of Directors of the Jefferson County Public  
7                   *Transportation Benefit Area, hereinafter called the "Authority," authorizing the General*  
8                   *Manager to sign the 2017 Certifications and Assurances*

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

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

17                  **NOW, THEREFORE, BE IT RESOLVED** that the Jefferson Transit Authority  
18                  Board does hereby authorize the General Manager to sign the 2017 Certifications and  
19                  Assurances.

20  
21                  **CERTIFICATION**

22                  The undersigned duly qualified Clerk of the Board, acting on behalf of the Jefferson  
23                  County Public Transportation Benefit Area, certifies that the foregoing is a true and  
24                  correct copy of a resolution adopted at a legally convened meeting of the Jefferson  
25                  Transit Authority Board held on February 21, 2017.

\_\_\_\_\_  
Chair

\_\_\_\_\_  
Vice Chair

\_\_\_\_\_  
Member

\_\_\_\_\_  
Member

Attest:

\_\_\_\_\_  
Member

\_\_\_\_\_  
Clerk of the Board



# FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES

## PREFACE

*Before the Federal Transit Administration (FTA or We) may award federal assistance for public transportation in the form of a federal grant, cooperative agreement, loan, line of credit, loan guarantee, master credit agreement, or State Infrastructure Bank (SIB) cooperative agreement certain pre-award Certifications and Assurances are required, except as FTA determines otherwise in writing. The Applicant must authorize a representative (Authorized Representative) to select and sign its Certifications and Assurances and bind the Applicant's compliance. You, as your Applicant's Authorized Representative, must select and sign all Certifications and Assurances that your Applicant must provide to support each application it submits to FTA for federal assistance during federal fiscal year (FY) 2017.*

*We request that you read each Certification and Assurance and select those that will apply to any application for which your Applicant might seek FTA assistance during FY 2017. As provided by federal laws, regulations, and requirements, FTA may award federal assistance only if the Applicant's Authorized Representative selects adequate Certifications and Assurances.*

*We have consolidated our Certifications and Assurances into twenty-three (23) Categories. At a minimum, you must select the Assurances in Category 01. If your Applicant requests more than \$100,000 in federal assistance, you must select the "Lobbying" Certification in Category 02, except if your Applicant is an Indian tribe, Indian organization, or an Indian tribal organization. Depending on the nature of your Applicant and the Award it seeks, you may also need to select one or more Certifications and Assurances in Categories 03 through 23. Instead of selecting individual Categories of Certifications and Assurances, however, you may make a single selection that will encompass all twenty-three (23) Categories of Certifications and Assurances that apply to our various programs.*

*FTA, the Applicant, and the Applicant's Authorized Representative, understand and agree that not every provision of these twenty-three (23) Categories of Certifications and Assurances will apply to every Applicant or every Award or Project included in an Award, even if you make a single selection encompassing all twenty-three (23) Categories. Nor will every provision of each Certification or Assurance within a single Category apply if that provision does not apply to your Applicant or the Award it seeks. The type of Applicant and its application will determine which Certifications and Assurances apply.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected that apply to its Award, itself, any Subrecipient, or any other Third Party Participant in its Award, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including,*

## **FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES**

### **CATEGORY 01. REQUIRED CERTIFICATIONS AND ASSURANCES FOR EACH APPLICANT.**

*Before FTA may provide federal assistance for your Applicant's Award, you must select the Certifications and Assurances in Category 01 in addition to any other applicable Certifications and Assurances, except as FTA determines otherwise in writing.*

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

#### **01.A. Certifications and Assurances of Authority of the Applicant and Its Authorized Representative.**

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

1. Execute and file its application for federal assistance,
2. Execute and file its Certifications, Assurances, Charter Service Agreement, and School Bus Agreement, as applicable, binding its compliance,
3. Execute its Grant Agreement, Cooperative Agreement, Loan, Loan Guarantee, Line of Credit, Master Credit Agreement, or State Infrastructure Bank (SIB) Cooperative Agreement for which the Applicant is seeking federal assistance from FTA,
4. Comply with applicable federal laws, regulations, and requirements, 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 laws, regulations, and requirements in implementing its Award.
2. It is under a continuing obligation to comply with the terms and conditions of its Grant Agreement or Cooperative Agreement with FTA for each Award, including the FTA Master Agreement and other documents incorporated by reference and made part of its Grant Agreement or Cooperative Agreement, or latest amendment thereto.
3. It recognizes that federal laws, regulations, and requirements may be amended from time to time and those amendments may affect the implementation of its Award.
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 Award.
5. It agrees that the most recent federal laws, regulations, requirements, and guidance will apply to its Award, 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 federal assistance for those programs was appropriated or made available.

## **FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES**

*but not limited to, obtaining sufficient documentation from each Subrecipient and any other Third Party Participant as necessary to assure your Applicant's compliance with the applicable Certifications and Assurances selected on its behalf.*

*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 that each member will perform and the extent to which each member will be responsible for compliance with the selected Certifications and Assurances. You also must identify each member's role in the Award, whether as a Recipient, Subrecipient, Third Party Contractor, or other Third Party Participant.*

*It is important that you and your Applicant 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 Award. We expect you to submit your Applicant's FY 2017 Certifications and Assurances and its applications for federal assistance in FTA's electronic award and management system, currently the Transit Award Management System (TrAMS). You must be registered in TrAMS to submit your Applicant's FY 2017 Certifications and Assurances. TrAMS contains fields for selecting among the twenty-three (23) Categories of Certifications and Assurances and a designated field for selecting all twenty-three (23) Categories of Certifications and Assurances. If FTA agrees that you are unable to submit your Applicant's FY 2017 Certifications and Assurances electronically, you must submit the Signature Pages at the end of this document, as FTA directs, marked to show the Categories of Certifications and Assurances that you are submitting.*

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

- *The Fixing America's Surface Transportation (FAST) Act, Public Law No. 114-94, December 4, 2015, and other authorizing legislation to be enacted, and*
- *Appropriations Acts or Continuing Resolutions funding the U.S. Department of Transportation during Fiscal Year 2017.*

## FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES

### 01.C. Intergovernmental Review Assurance.

*(This assurance in this Category 01.C does not apply to an Indian tribe, an Indian organization, or an Indian tribal organization that applies for federal assistance made available under 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 assistance to the appropriate state and local agencies for intergovernmental review.

### 01.D. Nondiscrimination Assurance.

On behalf of your Applicant, you assure that:

1. It will comply with the following laws, regulations, and requirements 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 assisted 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 including:
  - a. Federal transit laws, specifically 49 U.S.C. § 5332 (prohibiting discrimination on the basis of race, color, religion, national origin, sex (including gender identity), disability, age, employment, or business opportunity),
  - b. Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000d,
  - c. Title VII of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000e *et seq.* (prohibiting discrimination on the basis of race, color, religion, sex, (including gender identity and sexual orientation) or national origin),
  - d. Executive Order No. 11246, "Equal Employment Opportunity" September 24, 1965, 42 U.S.C. § 2000e note, as amended by any later Executive Order that amends or supersedes it in part and is applicable to federal assistance programs,
  - e. Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. § 1681 *et seq.*,
  - f. U.S. DOT regulations, "Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance," 49 C.F.R. part 25,
  - g. The Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794, *et seq.*,
  - h. The Americans with Disabilities Act of 1990, as amended, 42 U.S.C. § 12101 *et seq.*,
  - i. 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,
  - j. U.S. DOT regulations, specifically 49 CFR parts 27, 37, 38, and 39, and
  - k. Any other applicable federal statutes that may be signed into law, federal regulations that may be issued, or federal requirements that may be imposed.
2. It will comply with federal guidance implementing federal nondiscrimination laws, regulations, or requirements, except as FTA determines otherwise in writing.
3. As required by 49 CFR § 21.7:

## FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES

- a. It will comply with 49 U.S.C. § 5332, 42 U.S.C. § 2000d, and 49 CFR part 21 in the manner that:
  - (1) It implements its Award,
  - (2) It undertakes property acquisitions, and
  - (3) It operates all parts of its facilities, as well as its facilities operated in connection with its Award.
- b. This assurance applies to its Award and to all parts of its facilities, as well as its facilities used to implement its Award.
- 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 Headquarters Office of Civil Rights, and
  - (2) Submitting information about its compliance with these provisions to U.S. DOT or FTA upon their request.
- d. If it transfers U.S. DOT or FTA assisted 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 assistance 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 law, 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 Award, except FTA and the Applicant (and later, 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,

## **FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES**

- (3) Third party contract or subcontract at any tier,
  - (4) Lease, or
  - (5) Participation agreement.
- j. The assurances you have made on your Applicant's behalf remain in effect as long as FTA determines appropriate, including, for example, as long as:
  - (1) Federal assistance is provided for its Award,
  - (2) Its property acquired or improved with federal assistance is used for a purpose for which the federal assistance is extended, or for a purpose involving similar services or benefits,
  - (3) It retains ownership or possession of its property acquired or improved with federal assistance provided for its Award, or
  - (4) FTA may otherwise determine in writing.
- 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. § 5332, 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 Category 01.D Assurance, of which compliance is a condition of approval or extension of any FTA assistance 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.
  - b. In any program or activity receiving or benefiting from federal assistance that U.S. DOT administers, no qualified individual with a disability will, because of his or her disability, be:
    - (1) Excluded from participation,
    - (2) Denied benefits, or
    - (3) Otherwise subjected to discrimination.

### **01.E. Suspension and Debarment, Tax Liability, and Felony Convictions Certifications.**

#### **01.E.1 Suspension and Debarment.**

On behalf of your Applicant, you certify that:

- a. 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.
- b. To the best of its knowledge and belief, that its Principals and Subrecipients at the first tier:
  - (1) Are eligible to participate in covered transactions of any federal department or agency and are not presently:
    - (a) Debarred,
    - (b) Suspended,

## FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES

- (c) Proposed for debarment,
  - (d) Declared ineligible,
  - (e) Voluntarily excluded, or
  - (f) Disqualified.
- (2) Within a three-year period preceding its latest application or proposal, its management has not been convicted of or had a civil judgment rendered against any of them for:
- (a) 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,
  - (b) Violation of any federal or state antitrust statute, or
  - (c) Commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making any false statement, or receiving stolen property.
- (3) 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 2.b of this Certification.
- (4) 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.
- (5) If, at a later time, it receives any information that contradicts the preceding statements of subsections 2.a – 2.d of this Category 01.E Certification, it will promptly provide that information to FTA.
- (6) It will treat each lower tier contract or subcontract under its Award as a covered lower tier contract for purposes of 2 CFR part 1200 and 2 CFR part 180 if it:
- (a) Equals or exceeds \$25,000,
  - (b) Is for audit services, or
  - (c) Requires the consent of a federal official.
- (7) It will require that each covered lower tier contractor and subcontractor:
- (a) Comply and facilitate compliance with the federal requirements of 2 CFR parts 180 and 1200, and
  - (b) Assure that each lower tier participant in its Award is not presently declared by any federal department or agency to be:
    - 1 Debarred from participation in any federally assisted Award,
    - 2 Suspended from participation in any federally assisted Award,
    - 3 Proposed for debarment from participation in any federally assisted Award,
    - 4 Declared ineligible to participate in any federally assisted Award,
    - 5 Voluntarily excluded from participation in any federally assisted Award, or
    - 6 Disqualified from participation in any federally assisted Award.
- c. It will provide a written explanation 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 Category 01.E.1 Certification.

### 01.E.2. Tax Liability.

If your Applicant is a private corporation, partnership, trust, joint-stock company, sole proprietorship, or other business association, on behalf of your Applicant, you certify that:



## FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES

- a. Your Applicant and its prospective Subrecipients have no unpaid federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.
- b. Your Applicant and its Subrecipients will follow applicable U.S. DOT guidance when issued.

### 01.E.3. Felony Convictions.

If your Applicant is a private corporation, partnership, trust, joint-stock company, sole proprietorship, or other business association, on behalf of your Applicant, you certify that:

- a. Your Applicant and its prospective Subrecipients have not been convicted of a felony criminal violation under any federal law within the preceding 24 months.
- b. Your Applicant and its Subrecipients will follow applicable U.S. DOT guidance when it is issued.

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

*The assurances in this Category 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, regulations, and requirements.*

1. *Administrative Activities.* On behalf of your Applicant, you assure that:
  - a. For any application it submits for federal assistance, it has adequate resources to plan, manage, and properly complete the tasks to implement its Award, including:
    - (1) The legal authority to apply for federal assistance,
    - (2) The institutional capability,
    - (3) The managerial capability, and
    - (4) The financial capability (including funds sufficient to pay the non-federal share of the cost of incurred under its Award).
  - b. As required, it will give access and the right to examine materials related to its Award to the following entities or individuals, including, but not limited to:
    - (1) FTA,
    - (2) The Comptroller General of the United States, and
    - (3) The State, through an appropriate authorized representative.
  - c. It will establish a proper accounting system in accordance with generally accepted accounting standards or FTA guidance.
  - 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) An appearance of a personal or organizational conflict of interest or personal gain.
2. *Specifics of the Award.* On behalf of your Applicant, you assure that:
  - a. It will begin and complete work within the period of performance that applies following receipt of an FTA Award.
  - b. For FTA assisted construction Awards:

## FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES

- (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 to the approved plans and specifications,
  - (3) It will include a covenant to assure nondiscrimination during the useful life of the real property financed under its Award in its title to that real property,
  - (4) To the extent FTA requires, it will record the federal interest in the title to FTA assisted real property or interests in real property, and
  - (5) It will not alter the site of the FTA assisted construction or facilities without permission or instructions from FTA by:
    - (a) Disposing of the underlying real property or other interest in the site and facilities,
    - (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.
  - c. It will furnish progress reports and other information as FTA or the state may require.
3. *Statutory and Regulatory Requirements.* On behalf of your Applicant, you assure that:
- a. Your Applicant will comply with all federal laws, regulations, and requirements 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 assisted 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 assisted 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 .
    - (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.*

## FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES

- (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.
- (10) The prohibitions against discrimination in employment as provided in Title VII of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000e *et seq.*,
- (11) The nondiscrimination provisions of any other statute(s) that may apply to its Award.
- 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 assistance has been provided for any real property acquired or improved for purposes of its Award:
  - (1) It will provide for fair and equitable treatment of any displaced persons or any persons whose property is acquired or improved as a result of federally assisted programs.
  - (2) It has the necessary legal authority under state and local laws, regulations, and requirements 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.
  - (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 provided by 42 U.S.C. §§ 4622, 4623, and 4624, and 49 CFR part 24, if its Award 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 provided 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 do the following:
      - 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.

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- (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 assistance for its eligible costs of providing payments for those expenses, as required by 42 U.S.C. § 4631.
  - (h) It will execute the necessary implementing amendments to FTA assisted 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.
  - (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, related to its Award that involves relocation or land acquisition.
  - (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 assistance 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 assisted Awards 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 the floodplains provisions of Executive Order No. 11988, May 24, 1977, 42 U.S.C. § 4321 note, and Executive Order No. 13690 "Establishing a Federal Flood Risk Management Standard and a Process for Further Soliciting and Considering Stakeholder Input, January 30, 2015.
  - (5) Complying with the assurance of 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.

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- (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 1970, as amended, 42 U.S.C. §§ 7401 – 7671q.
- (7) Complying with 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.
- (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 Award, 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.
- (11) Complying with and facilitating compliance with:
  - (a) Section 106 of the National Historic Preservation Act of 1966, as amended, 54 U.S.C. § 300108,
  - (b) The Archaeological and Historic Preservation Act of 1974, as amended, 54 U.S.C. § 312501 *et seq.*, and
  - (c) Executive Order No. 11593 (identification and protection of historic properties), 54 U.S.C. § 300101.
- 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 with federal assistance:
  - (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 assisted buildings.
- i. It will comply with and assure that each of its Subrecipients located in special flood hazard areas will 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 assistance, 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

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- system (or of any other agency or entity performing related functions) receiving federal assistance appropriated or made available under 49 U.S.C. chapter 53 and 23 U.S.C. § 142(a)(2) to whom the Hatch Act does not otherwise apply.
- 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. DOT regulations, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards," 2 CFR part 1201, which incorporates by reference U.S. OMB regulatory guidance, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards," 2 CFR part 200, and
    - (3) Most recent applicable U.S. OMB Compliance Supplement, 2 CFR part 200, appendix XI (previously known as the U.S. OMB Circular A-133 Compliance Supplement).
  - l. It will comply with all other federal laws, regulations, and requirements that apply.
  - m. It will follow federal guidance governing it and its Award, except as FTA has expressly approved otherwise in writing.

### CATEGORY 02. LOBBYING.

*Before FTA may provide federal assistance for a grant or cooperative agreement exceeding \$100,000 or a loan, line of credit, loan guarantee, or loan insurance exceeding \$150,000, you must select the Lobbying Certifications in Category 02, unless your Applicant is an Indian Tribe, Indian organization, or an Indian tribal organization exempt from the requirements of 31 U.S.C. § 1352, and/or except as FTA determines otherwise in writing.*

*Any provision of the Certifications in Category 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 assistance for a grant or cooperative agreement, and
    - (2) For \$150,000 or more in federal assistance for a loan, line of credit, loan guarantee, or loan insurance, and
  - b. Your Certification on your Applicant's behalf applies to the lobbying activities of:
    - (1) The Applicant,
    - (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:
    - (1) An officer or employee of any federal agency regarding the award of a:
      - (a) Federal grant or cooperative agreement, or
      - (b) Federal loan, line of credit, loan guarantee, or loan insurance, or
    - (2) A Member of Congress, an employee of a member of Congress, or an officer or employee of Congress regarding the award of a:

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- (a) Federal grant or cooperative agreement, or
  - (b) Federal loan, line of credit, loan guarantee, or loan insurance.
- b. Your Applicant will submit a complete OMB Standard Form LLL (Rev. 7-97), "Disclosure of Lobbying Activities," consistent with the instructions on that form, if any funds other than federal appropriated funds have been or will be paid to any person to influence or attempt to influence:
  - (1) An officer or employee of any federal agency regarding the award of a:
    - (a) Federal grant or cooperative agreement, or
    - (b) Federal loan, line of credit, loan guarantee, or loan insurance, or
  - (2) A Member of Congress, an employee of a member of Congress, or an officer or employee of Congress regarding the award of a:
    - (a) Federal grant or cooperative agreement, or
    - (b) Federal loan, line of credit, loan guarantee, or loan insurance.
- c. Your Applicant will include the language of this Certification in its Award documents under a federal grant, cooperative agreement, loan, line of credit, or loan insurance including, but not limited to:
  - (1) Each third party contract,
  - (2) Each third party subcontract,
  - (3) Each subagreement, and
  - (4) Each third party agreement.
- 3. Your Applicant understands that:
  - a. This Certification is a material representation of fact that the Federal Government relies on, and
  - b. It must submit this Certification before the Federal Government may award federal assistance for a transaction covered by 31 U.S.C. § 1352, including a:
    - (1) Federal grant or cooperative agreement, or
    - (2) Federal loan, line of credit, loan guarantee, or loan insurance.
- 4. Your Applicant understands that any person who does not file a required Certification will incur a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### CATEGORY 03. PROCUREMENT AND PROCUREMENT SYSTEMS.

*We request that you select the Procurement and Procurement Systems Certification in Category 03 on behalf of your Applicant, especially if your Applicant is a state, local, or Indian tribal government with a certified procurement system, as provided in 2 CFR § 200.324(c)(2), incorporated by reference in 2 CFR part 1201 or former 49 CFR § 18.36(g)(3)(ii).*

*Any provision of the Certification in Category 03 that does not apply will not be enforced.*

On behalf of your Applicant, you certify that its procurements and its procurement system will comply with all federal laws, regulations, and requirements in accordance with applicable federal guidance, except as FTA has approved otherwise in writing.

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### CATEGORY 04. PRIVATE SECTOR PROTECTIONS.

*Before FTA may provide federal assistance for an Award that involves the acquisition of public transportation property or the operation of public transportation facilities or equipment, you must select the Private Property Protections Assurances in Category 04.A and enter into the Agreements in Category 04.B and Category 04.C on behalf of your Applicant, except as FTA determines otherwise in writing.*

*Any provision of the Assurances and Agreements in Category 04 that does not apply will not be enforced.*

#### **04.A. Private Property Protections.**

*If your Applicant is a state, local government, or Indian tribal government and seeks federal assistance from FTA to acquire the property of a private transit operator or operate public transportation in competition with or in addition to a public transportation operator, the Private Property Protections Assurances in Category 04.A apply to your Applicant, except as FTA determines otherwise in writing.*

To facilitate FTA's ability to make the findings required by 49 U.S.C. § 5323(a)(1), on behalf of your Applicant, you assure that:

1. Your Applicant has or will have:
  - a. Determined that the federal assistance it has requested is essential to carrying out its Program of Projects as required by 49 U.S.C. §§ 5303, 5304, and 5306,
  - b. Provided for the participation of private companies engaged in public transportation to the maximum extent feasible, and
  - c. Paid just compensation under state or local laws to the company for any franchise or property acquired.
2. Your Applicant has completed the actions described in the preceding section 1 of this Category 04.A Certification before:
  - a. It acquires the property or an interest in the property of a private provider of public transportation, or
  - b. It operates public transportation equipment or facilities:
    - (1) In competition with transportation service provided by an existing public transportation operator, or
    - (2) In addition to transportation service provided by an existing public transportation operator.

#### **04.B. Charter Service Agreement.**

*If your Applicant seeks federal assistance from FTA to acquire or operate transit facilities or equipment, the Charter Service Agreement in Category 04.B applies to your Applicant, except as FTA determines otherwise in writing.*



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To comply with 49 U.S.C. § 5323(d) and (g) and FTA regulations, “Charter Service, 49 CFR part 604, specifically 49 CFR § 604.4, on behalf of your Applicant, you are entering into the following Charter Service Agreement:

1. FTA’s “Charter Service” regulations apply as follows:
  - a. FTA’s Charter Service regulations restrict transportation by charter service using facilities and equipment acquired or improved under an Award derived from:
    - (1) Federal transit laws, 49 U.S.C. chapter 53,
    - (2) 23 U.S.C. §§ 133 or 142, or
    - (3) Any other Act that provides federal public transportation assistance, unless otherwise excepted.
  - b. FTA’s charter service restrictions extend to:
    - (1) Your Applicant, when it receives federal assistance appropriated or made available for:
      - (a) Federal transit laws, 49 U.S.C. chapter 53,
      - (b) 23 U.S.C. §§ 133 or 142, or
      - (c) Any other Act that provides federal public transportation assistance, unless otherwise excepted.
    - (2) Any Third Party Participant that receives federal assistance derived from:
      - (a) Federal transit laws, 49 U.S.C. chapter 53,
      - (b) 23 U.S.C. §§ 133 or 142, or
      - (c) Any other Act that provides federal public transportation assistance, unless otherwise excepted.
  - c. A Third Party Participant includes any:
    - (1) Subrecipient at any tier,
    - (2) Lessee,
    - (3) Third Party Contractor or Subcontractor at any tier, and
    - (4) Other Third Party Participant in its Award.
  - d. You and your Applicant agree that neither it nor any governmental authority or publicly owned operator that receives federal public transportation assistance appropriated or made available for its Award will engage in charter service operations, except as permitted under:
    - (1) Federal transit laws, specifically 49 U.S.C. § 5323(d) and (g),
    - (2) FTA regulations, “Charter Service,” 49 CFR part 604, to the extent consistent with 49 U.S.C. § 5323(d) and (g),
    - (3) Any other federal Charter Service regulations, or
    - (4) Federal guidance, except as FTA determines otherwise in writing.
  - e. You and your Applicant agree that the latest Charter Service Agreement selected in its latest annual Certifications and Assurances is incorporated by reference and made part of the Underlying Agreement accompanying its Award of federal assistance from FTA.
  - f. You and your Applicant agree that:
    - (1) FTA may require corrective measures or impose remedies on it or any governmental authority or publicly owned operator that receives federal assistance from FTA that has demonstrated a pattern of violating of FTA’s Charter Service regulations by:
      - (a) Conducting charter operations prohibited by federal transit laws and FTA’s Charter Service regulations, or

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- (b) Otherwise violating its Charter Service Agreement selected in its latest annual Certifications and Assurances.
- (2) These corrective measures and remedies may include:
  - (a) Barring your Applicant or any Third Party Participant operating public transportation under its Award that has provided prohibited charter service from receiving federal assistance from FTA,
  - (b) Withholding an amount of federal assistance as provided by Appendix D to FTA's Charter Service regulations, or
  - (c) Any other appropriate remedy that may apply.
- 2. In addition to the exceptions to the restrictions in FTA's Charter Service regulations, FTA has established the following additional exceptions to those restrictions:
  - a. FTA's Charter Service restrictions do not apply to your Applicant if it seeks federal assistance appropriated or made available under 49 U.S.C. §§ 5307 or 5311 to be used for Job Access and Reverse Commute (JARC) activities that would have been eligible for assistance under former 49 U.S.C. § 5316 in effect in FY 2012 or a previous fiscal year, provided that it uses that federal assistance from FTA for those program purposes only.
  - b. FTA's Charter Service restrictions do not apply to your Applicant if it seeks federal assistance appropriated or made available under 49 U.S.C. § 5310 to be used for New Freedom activities that would have been eligible for assistance under former 49 U.S.C. § 5317 in effect in FY 2012 or a previous fiscal year, provided it uses that federal assistance from FTA for those program purposes only.
  - c. An Applicant for assistance under 49 U.S.C. chapter 53 will not be determined to have violated the FTA Charter Service regulations if that Recipient provides a private intercity or charter transportation operator reasonable access to that Recipient's federally assisted public transportation facilities, including intermodal facilities, park and ride lots, and bus-only highway lanes, as provided in 49 U.S.C. § 5323(r).

### 04.C. School Bus Agreement.

*If your Applicant seeks federal assistance from FTA to acquire or operate transit facilities or equipment, the School Bus Agreement in Category 04.C applies to your Applicant, except as FTA determines otherwise in writing.*

To comply with 49 U.S.C. § 5323(f) and (g) and FTA regulations, "School Bus Operations," 49 CFR part 605, to the extent consistent with 49 U.S.C. § 5323(f) and (g), your Applicant agrees to enter into the following School Bus Agreement:

- 1. FTA's "School Bus Operations" regulations at 49 CFR part 605 restricts school bus operations using facilities and equipment acquired or improved with federal assistance derived from:
  - a. Federal transit laws, 49 U.S.C. chapter 53,
  - b. 23 U.S.C. §§ 133 or 142, or
  - c. Any other Act that provides federal public transportation assistance, unless otherwise excepted.
- 2. FTA's school bus operations restrictions extend to:
  - a. Your Applicant, when it receives federal assistance appropriated or made available for:

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- (1) Federal transit laws, 49 U.S.C. chapter 53,
  - (2) 23 U.S.C. §§ 133 or 142, or
  - (3) Any other Act that provides federal public transportation assistance, unless otherwise excepted.
- b. Any Third Party Participant that receives federal assistance derived from:
  - (1) Federal transit laws, 49 U.S.C. chapter 53,
  - (2) 23 U.S.C. §§ 133 or 142, or
  - (3) Any other Act that provides federal public transportation assistance, unless otherwise excepted.
3. A Third Party Participant includes any:
  - a. Subrecipient at any tier,
  - b. Lessee,
  - c. Third Party Contractor or Subcontractor at any tier, and
  - d. Any other Third Party Participant in the Award.
4. You and your Applicant agree, and will obtain the agreement of any Third Party Participant, that it will not engage in school bus operations in competition with private operators of school buses, except as permitted under:
  - a. Federal transit laws, specifically 49 U.S.C. § 5323(f) and (g),
  - b. FTA regulations, "School Bus Operations," 49 CFR part 605, to the extent consistent with 49 U.S.C. § 5323(f) and (g),
  - c. Any other federal School Bus regulations, or
  - d. Federal guidance, except as FTA determines otherwise in writing.
5. You and your Applicant agree that the latest School Bus Agreement selected on its behalf in FTA's latest annual Certifications and Assurances is incorporated by reference and made part of the Underlying Agreement accompanying its Award of federal assistance.
6. You and your Applicant agree that after it is a Recipient, if it or any Third Party Participant has violated this School Bus Agreement, FTA may:
  - a. Bar your Applicant or Third Party Participant from receiving further federal assistance for public transportation, or
  - b. Require the Applicant or Third Party Participant to take such remedial measures as FTA considers appropriate.

### **CATEGORY 05. ROLLING STOCK REVIEWS AND BUS TESTING.**

*Before FTA may provide federal assistance for an Award to acquire rolling stock for use in revenue service or to acquire a new bus model, you must select the Rolling Stock Reviews and Bus Testing Certifications in Category 05, except as FTA determines otherwise in writing.*

*Any provision of the Certifications in Category 05 that does not apply will not be enforced.*

#### **05.A. Rolling Stock Reviews.**

*If your Applicant seeks federal assistance from FTA to acquire rolling stock for use in revenue service, the Rolling Stock Reviews Certifications in Category 05.A apply to your Applicant, except as FTA determines otherwise in writing.*

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On behalf of your Applicant, you certify that, when procuring rolling stock for use in revenue service:

1. Your Applicant will comply with:
  - a. Federal transit laws, specifically 49 U.S.C. § 5323(m), and
  - b. FTA regulations, “Pre-Award and Post-Delivery Audits of Rolling Stock Purchases,” 49 CFR part 663, and
2. As provided in 49 CFR § 663.7:
  - a. Your Applicant will conduct or cause to be conducted the required pre-award and post-delivery reviews of that rolling stock, and
  - b. It will maintain on file the Certifications required by 49 CFR part 663, subparts B, C, and D.

### **05.B. Bus Testing.**

*If your Applicant seeks federal assistance from FTA to acquire a new bus model, the Bus Testing Certifications in Category 05.B apply to your Applicant, except as FTA determines otherwise in writing.*

On behalf of your Applicant, you certify that:

1. FTA’s bus testing requirements apply to all acquisitions of new buses and new bus models that require bus testing as defined in FTA’s Bus Testing regulations, and it will comply with:
  - a. 49 U.S.C. § 5318, and
  - b. FTA regulations, “Bus Testing,” 49 CFR part 665.
2. As required by 49 CFR § 665.7, when acquiring the first bus of any new bus model or a bus model with a major change in components or configuration, your Applicant will not spend any federal assistance appropriated under 49 U.S.C. chapter 53 to acquire that new bus or new bus model until:
  - a. That new bus or new bus model has been tested at FTA’s bus testing facility, and
  - b. It has received a copy of the test report prepared for that new bus or new bus model.
3. It will ensure that the new bus or new bus model that is tested has met the performance standards consistent with those regulations, including the:
  - a. Performance standards for:
    - (1) Maintainability,
    - (2) Reliability,
    - (3) Performance (including braking performance),
    - (4) Structural integrity,
    - (5) Fuel economy,
    - (6) Emissions, and
    - (7) Noise, and
  - b. Minimum safety performance standards established under 49 U.S.C. § 5329, when issued.
4. After FTA regulations authorized by 49 U.S.C. § 5318(e)(2) are in effect, it will ensure that the new bus or new bus model that is tested has received a passing aggregate test score under the “Pass/Fail” standard established by regulation.

### **CATEGORY 06. DEMAND RESPONSIVE SERVICE.**

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*Before FTA may provide federal assistance to a public entity that operates demand responsive service for an Award to acquire a non-rail vehicle that is not accessible, you must select the Demand Responsive Service Certifications in Category 06, except as FTA determines otherwise in writing.*

*Any provision of the Certifications in Category 06 that does not apply will not be enforced.*

As required by U.S. DOT regulations, "Transportation Services for Individuals with Disabilities (ADA)," 49 CFR part 37, specifically 49 CFR § 37.77(d), on behalf of your Applicant, you certify that:

1. Your Applicant offers public transportation services equivalent in level and quality of service to:
  - a. Individuals with disabilities, including individuals who use wheelchairs, and
  - b. Individuals without disabilities.
2. Viewed in its entirety, your Applicant's service for individuals with disabilities is:
  - a. Provided in the most integrated setting feasible, and
  - b. Equivalent to the service it offers individuals without disabilities with respect to:
    - (1) Response time,
    - (2) Fares,
    - (3) Geographic service area,
    - (4) Hours and days of service,
    - (5) Restrictions on priorities based on trip purpose,
    - (6) Availability of information and reservation capability, and
    - (7) Constraints on capacity or service availability.

### **CATEGORY 07. INTELLIGENT TRANSPORTATION SYSTEMS.**

*Before FTA may provide federal assistance for an Award in support of an Intelligent Transportation System (ITS), you must select the Intelligent Transportation Systems Assurances in Category 07, except as FTA determines otherwise in writing.*

*Any provision of the Assurances in Category 07 that does not apply will not be enforced.*

On behalf of your Applicant, you and your Applicant:

1. Understand that, as used in this Assurance, the term Intelligent Transportation System is defined to include technologies or systems of technologies that provide or significantly contribute to the provision of one or more Intelligent Transportation System (ITS) user services as defined in the "National ITS Architecture."
2. Assure that, as provided in 23 U.S.C. § 517(d), any Award that includes an ITS or related activity financed with appropriations made available from the Highway Trust Fund, including amounts made available to deploy ITS facilities or equipment, will conform to the appropriate regional ITS architecture, applicable standards, and protocols developed under 23 U.S.C. § 517(a) or (c), unless it obtains a waiver as provided in 23 U.S.C. § 517(d)(2).

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### **CATEGORY 08. INTEREST AND FINANCING COSTS AND ACQUISITION OF CAPITAL ASSETS BY LEASE.**

*Before FTA may award federal assistance appropriated or made available under 49 U.S.C. chapter 53 to support the interest, financing, or leasing costs of any Award financed under the Urbanized Area Formula Grants Program, Fixed Guideway Capital Investment Grants Program, any program to which the requirements of 49 U.S.C. § 5307 apply, or any other program as FTA may specify, you must select the Certifications in Category 08, except as FTA may determine otherwise in writing.*

*Any provision of the Certifications and Assurances in Category 08 that does not apply will not be enforced.*

#### **08.A. Interest and Financing Costs.**

*If your Applicant intends to use federal assistance to support the interest or any other financing costs for an Award financed under the Urbanized Area Formula Grants Program, the Fixed Guideway Capital Investment Grants Program, the New Starts, Small Starts, and Core Capacity Programs, any program that must comply with the requirements of 49 U.S.C. § 5307, or any other program as FTA may specify, the Interest and Financing Costs Certifications in Category 08.A apply to your Applicant, except as FTA determines otherwise in writing.*

On behalf of your Applicant, you certify that:

1. It will not seek reimbursement for interest or any other financing costs unless:
  - a. It is eligible to receive federal assistance for those costs, and
  - b. Its records demonstrate that it has shown reasonable diligence in seeking the most favorable financing terms, as FTA may require.
2. It will comply with the same favorable financing cost provisions for Awards financed under:
  - a. The Urbanized Area Formula Grants Program,
  - b. A Full Funding Grant Agreement,
  - c. An Early Systems Work Agreement,
  - d. The Fixed Guideway Capital Investment Program financed by previous FTA enabling legislation,
  - e. Any program that must comply with the requirements of 49 U.S.C. § 5307, or
  - f. Any other program as FTA may specify.

#### **08.B. Acquisition of Capital Assets by Lease.**

*If your Applicant seeks federal assistance from FTA to acquire capital assets (other than rolling stock or related equipment) through a lease, the Acquisition of Capital Assets by Lease Certifications and Assurances in Category 08.B apply to your Applicant, except as FTA determines otherwise in writing.*

On behalf of your Applicant, you certify and assure that, as required by FTA regulations, "Capital Leases," 49 CFR part 639, to the extent consistent with the FAST Act, if your Applicant

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acquires any capital asset (other than rolling stock or related equipment) through a lease financed with federal assistance appropriated or made available under 49 U.S.C. chapter 53, it will not enter into a capital lease for which FTA can provide only incremental federal assistance unless it has adequate financial resources to meet its future lease obligations if federal assistance is not available.

### **CATEGORY 09. TRANSIT ASSET MANAGEMENT PLAN, PUBLIC TRANSPORTATION AGENCY SAFETY PLAN, AND STATE SAFETY OVERSIGHT REQUIREMENTS.**

*Before FTA may provide federal assistance appropriated or made available under 49 U.S.C. chapter 53 to support an Award, you must select the Certifications in Category 09, except as FTA determines otherwise in writing.*

*Any provision of the Certifications in Category 09 that does not apply will not be enforced.*

#### **09.A. Transit Asset Management Plan.**

*If your Applicant applies for funding appropriated or made available for 49 U.S.C. chapter 53, the Transit Asset Management Certifications in Category 09.A apply to your Applicant, except as FTA determines otherwise in writing.*

On behalf of your Applicant, you certify that it and each of its Subrecipients will:

1. Comply with FTA regulations, "Transit Asset Management," 49 CFR part 625, and
2. Follow federal guidance that will implement the regulations at 49 CFR part 625.

#### **09.B. Public Transportation Safety Program.**

*If your Applicant applies for funding under 49 U.S.C. chapter 53 and it is a State, local government authority, or any other operator of a public transportation system, the particular provisions under the Public Transportation Safety Program in Category 09.B apply to your Applicant, except as FTA determines otherwise in writing.*

On behalf of your Applicant, you certify that it will comply with applicable regulations, guidance, and directives that implement the Public Transportation Safety Program provisions of 49 U.S.C. § 5329(b)-(d), except as FTA determines otherwise in writing.

#### **09.C. State Safety Oversight Requirements.**

On behalf of your Applicant, depending on how far the Recipient has progressed in developing a State Safety Oversight program fully compliant with 49 U.S.C. § 5329(e) and FTA regulations, "State Safety Oversight," 49 C.F.R. part 674, your applicant certifies that it will comply as follows:

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1. States With a Fully Compliant Program. The Recipient agrees that FTA regulations, “State Safety Oversight,” 49 C.F.R. part 674, will apply when its State Safety Oversight program is fully compliant with FTA’s requirements, but
2. States Without a Fully Compliant Program. The Recipient agrees that FTA regulations, “Rail Fixed Guideway Systems; State Safety Oversight,” 49 C.F.R. part 659, will continue to apply to those states that have not yet implemented a fully compliant Public Transportation Safety Program.

### **CATEGORY 10. ALCOHOL AND CONTROLLED SUBSTANCES TESTING.**

*If your Applicant must comply with the alcohol and controlled substance testing requirements of 49 U.S.C. § 5331 and its implementing regulations, before FTA may provide federal assistance for an Award, you must select the Certifications in Category 10, except as FTA may determine otherwise in writing.*

*Any provision of the Certifications in Category 10 that does not apply will not be enforced.*

As required by 49 U.S.C. § 5331, and FTA regulations, “Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations,” 49 CFR part 655, subpart I, specifically 49 CFR § 655.83, on behalf of your Applicant, including an Applicant that is a state, and on behalf of its Subrecipients and Third Party Contractors, you certify that:

1. Your Applicant, its Subrecipients, and Third Party Contractors to which these testing requirements apply have established and implemented:
  - a. An alcohol misuse testing program, and
  - b. A controlled substance testing program.
2. Your Applicant, its Subrecipients, and its Third Party Contractors to which these testing requirements apply have complied or will comply with all applicable requirements of 49 CFR part 655 to the extent those regulations are consistent with 49 U.S.C. § 5331.
3. Consistent with U.S. DOT Office of Drug and Alcohol Policy and Compliance Notice, issued October 22, 2009, if your Applicant, its Subrecipients, or its Third Party Contractors to which these testing requirements apply reside in a state that permits marijuana use for medical or recreational purposes, your Applicant, its Subrecipients, and its Third Party Contractors to which these testing requirements apply have complied or will comply with the federal controlled substance testing requirements of 49 CFR part 655.

### **CATEGORY 11. FIXED GUIDEWAY CAPITAL INVESTMENT GRANTS PROGRAM (NEW STARTS, SMALL STARTS, AND CORE CAPACITY IMPROVEMENT).**

*Before FTA may provide federal assistance for an Award financed under the New Starts, Small Starts, or Core Capacity Improvement Program authorized under 49 U.S.C. § 5309, you must select the Certifications in Category 11, except as FTA may determine otherwise in writing.*

*Any provision of the Certifications in Category 11 that does not apply will not be enforced.*

Except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:



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1. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award,
2. It has or will have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.
3. It will maintain its equipment and facilities acquired or improved under its Award in accordance with its transit asset management plan and consistent with FTA regulations, "Transit Asset Management," 49 CFR part 625,
4. It will comply with:
  - a. The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
  - b. The statewide and nonmetropolitan transportation planning requirements of 49 U.S.C. § 5304, and
5. It will comply with FTA guidance, "Final Interim Policy Guidance, Federal Transit Administration Capital Investment Grant Program," June 2016.

### **CATEGORY 12. STATE OF GOOD REPAIR PROGRAM.**

*Before FTA may provide federal assistance for an Award financed under the State of Good Repair Program authorized under 49 U.S.C. § 5337, you must select the Certifications in Category 12, except as FTA determines otherwise in writing.*

*Any provision of the Assurance in Category 12 that does not apply will not be enforced.*

On behalf of your Applicant, you certify that:

1. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award,
2. It has or will have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award,
3. It will maintain its equipment and facilities acquired or improved under its Award, in accordance with the recipient's transit asset management plan and consistent with FTA regulations, "Transit Asset Management," 49 CFR part 625, and
4. It will comply with:
  - a. The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
  - b. The statewide and nonmetropolitan transportation planning requirements of 49 U.S.C. § 5304.

### **CATEGORY 13. GRANTS FOR BUSES AND BUS FACILITIES AND LOW OR NO EMISSION VEHICLE DEPLOYMENT GRANT PROGRAMS**

*Before FTA may provide federal assistance for an Award under the Buses and Bus Facilities Program authorized under 49 U.S.C. § 5339, as amended by the FAST Act, which authorizes grants for formula and competitive Bus and Bus Facilities Grants and Low or No Emission buses or an award under the Low or No Emission Vehicle Development Program authorized under former 49 U.S.C. § 5312(d)(5), you must select the Certifications in Category 13, except as FTA determines otherwise in writing.*

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*Any provision of the Certifications in Category 13 that does not apply will not be enforced.*

### **13.A. Grants for Buses and Bus Facilities Program**

*The following Certifications for the Grants for Buses and Bus Facilities Program are required by 49 U.S.C. § 5339, as amended by the FAST Act, which provides that the requirements of 49 U.S.C. § 5307 shall apply to recipients of grants made in urbanized areas and the requirements of 49 U.S.C. § 5311 shall apply to recipients of grants made in rural areas. Therefore:*

1. If your Applicant is in an urbanized area, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
  - a. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
  - b. It has or will have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.
  - c. It will maintain its equipment and facilities acquired or improved under its Award, in accordance with the recipient's transit asset management plan and consistent with FTA regulations, "Transit Asset Management," 49 CFR part 625.
  - d. When using or involving a facility or equipment acquired or improved with federal assistance under 49 U.S.C. § 5339 during non-peak hours for transportation, recipients in an urbanized area will charge a fare not exceeding fifty (50) percent of the peak hour fare to the following individuals:
    - (1) Any senior,
    - (2) Any individual who, because of illness, injury, age, congenital malfunction, or any other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), is unable to use a public transportation service or a public transportation facility effectively without special facilities, planning, or design,
    - (3) Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. § 401 *et seq.*), and
    - (4) Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. § 1395 *et seq.*).
  - e. When carrying out a procurement under 49 U.S.C. § 5339, it will comply with:
    - (1) The applicable general provisions of 49 U.S.C. § 5323, and
    - (2) The applicable third party contract provisions of 49 U.S.C. § 5325.
  - f. It has complied with or will comply with 49 U.S.C. § 5307(b).
  - g. As required by 49 U.S.C. § 5307(d):
    - (1) It has or will have the amount of funds required for the non-federal share,
    - (2) It will provide the non-federal share from sources approved by FTA, and
    - (3) It will provide the non-federal share when needed.
  - h. It will comply with:
    - (1) The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
    - (2) The statewide and nonmetropolitan transportation planning requirements of 49 U.S.C. § 5304.

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- i. It has a locally developed process to solicit and consider public comment before:
    - (1) Raising a fare, or
    - (2) Implementing a major reduction of public transportation service.
  - j. It will comply with applicable regulations, guidance, and directives that implement the Public Transportation Safety Program provisions of 49 U.S.C. § 5329(b)-(d), except as FTA determines otherwise in writing.
2. Except as FTA determines otherwise in writing, if your Applicant is in a rural area, you certify, on behalf of your Applicant, that:
- a. It has or will have and require each Subrecipient to have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
  - b. It has or will have and require each Subrecipient to have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.
  - c. It will maintain and require each Subrecipient to maintain its equipment and facilities acquired or improved under its Award, in accordance with the recipient's transit asset management plan and consistent with FTA regulations, "Transit Asset Management," 49 CFR part 625.
  - d. Its state program has provided for a fair distribution of federal assistance appropriated or made available under 49 U.S.C. § 5311(b) within the state to eligible entities, including Indian reservations.
  - e. Its program provides or will provide the maximum feasible coordination of federal assistance for public transportation service with transportation service financed by other federal sources.
  - f. Its Awards and Subawards in its Formula Grants for Rural Areas Program are included in:
    - (1) The statewide transportation improvement program, and
    - (2) To the extent applicable, a metropolitan transportation improvement program.
  - g. With respect to the non-federal share:
    - (1) It has or will have and, as necessary, will require each Subrecipient to have the amount of funds required for the non-federal share, as required by 49 U.S.C. § 5311(g),
    - (2) It will provide and, as necessary, will require each Subrecipient to provide the non-federal share from sources approved by FTA, and
    - (3) It will provide and, as necessary, will require each Subrecipient to provide the non-federal share when needed.
  - h. It may transfer a facility or equipment acquired or improved under its Award to any other Recipient eligible to receive assistance under 49 U.S.C. chapter 53, if:
    - (1) The Recipient possessing the facility or equipment consents to the transfer, and
    - (2) The facility or equipment will continue to be used as required under 49 U.S.C. § 5311.

### 13.B. Low or No Emission Vehicle Deployment.

*If your Applicant seeks federal assistance from FTA for an Award financed under the Low or No Emission Vehicle Development Program authorized under former 49 U.S.C. § 5312(d)(5), the*

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*Certifications and Assurances in Category 13.B apply to your Applicant, except as FTA determines otherwise in writing.*

Former section 5312(d)(5)(C)(i) of title 49, United States Code, requires the following Certifications for Low or No Emission Vehicle Deployment Program before awarding federal assistance appropriated or made available under MAP-21. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify and assure that:

1. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
2. It has or will have satisfactory continuing control over the use of equipment and facilities acquired or improved under its Award.
3. It will maintain its equipment and facilities acquired or improved under its Award in accordance with the Recipient's transit management plan and consistent with FTA regulations, "Transit Asset Management," 49 CFR part 625.
4. When using or involving a facility or equipment acquired or improved with federal assistance under former 49 U.S.C. § 5312(d)(5) during non-peak hours for transportation, it will charge a fare not exceeding fifty (50) percent of the peak hour to the following individuals:
  - a. Any senior,
  - b. Any individual who, because of illness, injury, age, a congenital malfunction, or any other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or who has semi-ambulatory capability) and is unable to use a public transportation service or a public transportation facility effectively without special facilities, special planning, or special design,
  - c. Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. § 401 *et seq.*), and
  - d. Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. § 1395 *et seq.*).
5. When carrying out a procurement under this Program, it will comply with:
  - a. The applicable general provisions of 49 U.S.C. § 5323, and
  - b. The applicable third party contract provisions of 49 U.S.C. § 5325.
6. It has complied with or will comply with 49 U.S.C. § 5307(b) because:
  - a. It has informed or will inform the public of the amounts of its federal assistance available under this Program,
  - b. It has developed or will develop, in consultation with interested parties including private transportation providers, its proposed Program of Projects for activities to be financed,
  - c. It has published or will publish its proposed Program of Projects in a way that affected individuals, private transportation providers, and local elected officials will have an opportunity to examine and submit comments on the proposed Projects and its performance as an Applicant,
  - d. It has provided or will provide an opportunity for a public hearing to obtain the views of individuals on its proposed Program of Projects,
  - e. It has assured or will assure that its proposed Program of Projects provides for coordination of public transportation services assisted under 49 U.S.C. § 5336, as amended by the FAST Act, with federally assisted transportation services supported by other federal sources,

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- f. It has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final list of Projects, and
  - g. It has made or will make the final list of Projects for which an Award is sought available to the public.
7. With respect to the non-federal share:
- a. It has or will have the amount of funds required for the non-federal share,
  - b. It will provide the non-federal share from sources approved by FTA, and
  - c. It will provide the non-federal share when needed.
8. It will comply with:
- a. The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
  - b. The statewide and nonmetropolitan planning requirements of 49 U.S.C. § 5304.
9. It has a locally developed process to solicit and consider public comment before:
- a. Raising a fare, or
  - b. Implementing a major reduction of public transportation service.
10. It will comply with applicable regulations, guidance, and directives that implement the Public Transportation Safety Program provisions of 49 U.S.C. § 5329(b)-(d), except as FTA determines otherwise in writing.

### **CATEGORY 14. URBANIZED AREA FORMULA GRANTS PROGRAMS AND PASSENGER FERRY GRANT PROGRAM.**

*Before FTA may provide federal assistance for an Award financed under the Urbanized Area Formula Grants Program authorized under 49 U.S.C. § 5307, as amended by the FAST Act, which authorizes federal assistance for Job Access and Reverse Commute (JARC) activities, and the Passenger Ferry Grant Program authorized under 49 U.S.C. § 5307(h), you must select the Certifications in Category 14, except as FTA determines otherwise in writing.*

*Any provision of the Certifications in Category 14 that does not apply will not be enforced.*

#### **14.A. Urbanized Area Formula Grants Program under the FAST Act.**

*If your Applicant seeks federal assistance from FTA for an Award financed under the Urbanized Area Formula Grants Program authorized under 49 U.S.C. § 5307, as amended by the FAST Act, the Certifications in Category 14.A apply to your Applicant, except as FTA determines otherwise in writing.*

The following Certifications for the Urbanized Area Formula Grants Program under 49 U.S.C. § 5307, as amended by the FAST Act, are required by 49 U.S.C. § 5307(c)(1). Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

- 1. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
- 2. It has or will have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.

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3. It will maintain its equipment and facilities acquired or improved under its Award, in accordance with the recipient's transit asset management plan and consistent with FTA regulations, "Transit Asset Management," 49 CFR part 625,
4. When using or involving a facility or equipment acquired or improved with federal assistance under 49 U.S.C. § 5307 during non-peak hours for transportation, it will charge a fare not exceeding fifty (50) percent of the peak hour fare to the following individuals:
  - a. Any senior,
  - b. Any individual who, because of illness, injury, age, congenital malfunction, or any other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), is unable to use a public transportation service or a public transportation facility effectively without special facilities, planning, or design,
  - c. Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. § 401 *et seq.*), and
  - d. Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. § 1395 *et seq.*).
5. When carrying out a procurement under 49 U.S.C. § 5307, it will comply with:
  - a. The applicable general provisions of 49 U.S.C. § 5323, and
  - b. The applicable third party contract provisions of 49 U.S.C. § 5325.
6. It has complied with or will comply with 49 U.S.C. § 5307(b) because:
  - a. It has made or will make available to the public information on the amounts of federal assistance available to it under 49 U.S.C. § 5307,
  - b. It has developed or will develop, in consultation with interested parties including private transportation providers, its proposed Program of Projects for activities for which federal assistance is sought,
  - c. It has published or will publish its proposed Program of Projects in a way that affected individuals, private transportation providers, and local elected officials will have an opportunity to examine and submit comments on its proposed Program of Projects and its performance as an Applicant or Recipient,
  - d. It has provided or will provide an opportunity for a public hearing to obtain the views of individuals on its proposed Program of Projects,
  - e. It has ensured or will ensure that its proposed Program of Projects provides for coordination of transportation services financed by FTA under 49 U.S.C. § 5336, as amended by the FAST Act, with transportation services supported by other Federal Government sources,
  - f. It has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final Program of Projects, and
  - g. It has made or will make its final Program of Projects available to the public.
7. As required by 49 U.S.C. § 5307(d):
  - a. It has or will have the amount of funds required for the non-federal share,
  - b. It will provide the non-federal share from sources approved by FTA, and
  - c. It will provide the non-federal share when needed.
8. As required by 49 U.S.C. § 5307(c)(1)(H), it will comply with:
  - a. The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and

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- b. The statewide and nonmetropolitan transportation planning requirements of 49 U.S.C. § 5304.
- 9. As required by 49 U.S.C. § 5307(c)(1)(I), it has a locally developed process to solicit and consider public comment before:
  - a. Raising a fare, or
  - b. Implementing a major reduction of public transportation.
- 10. Each fiscal year:
  - a. It will assure that at least one (1) percent of the amount of federal assistance under 49 U.S.C. § 5307 apportioned to its urbanized area must be expended for Public Transportation Security activities as described in 49 U.S.C. § 5307(c)(1)(J)(i) including:
    - (1) Increased lighting in or adjacent to a public transportation system (including bus stops, subway stations, parking lots, and garages),
    - (2) Increased camera surveillance of an area in or adjacent to that system,
    - (3) Emergency telephone line or lines to contact law enforcement or security personnel in an area in or adjacent to that system, and
    - (4) Any other activity intended to increase the security and safety of an existing or planned public transportation system, or
  - b. The Designated Recipients in its urbanized area certify that such expenditures for Public Transportation Security activities are not necessary.
- 11. If it serves an urbanized area with a population of at least 200,000 individuals, as determined by the Bureau of the Census:
  - a. It will provide a report by the end of the fourth quarter of the preceding federal fiscal year that lists projects carried out in the preceding fiscal year under this section for associated transit improvements as defined in 49 U.S.C. § 5302, and
  - b. The report of its Associated Transit Improvements or related activities is or will be incorporated by reference and made part of its Certifications and Assurances.
- 12. It will comply with applicable regulations, guidance, and directives that implement the Public Transportation Safety Program provisions of 49 U.S.C. § 5329(b)-(d), except as FTA determines otherwise in writing.

### **14.B. Passenger Ferry Grant Program.**

*If your Applicant seeks federal assistance from FTA for an Award financed under the Passenger Ferry Grant Program authorized under 49 U.S.C. § 5307(h), as amended by the FAST Act, the Certifications in Category 14.B apply to your Applicant, except as FTA determines otherwise in writing.*

The following Certifications for the Passenger Ferry Grant Program are required by 49 U.S.C. § 5307(c)(1) or (h). Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

- 1. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
- 2. It has or will have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.

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3. It will maintain its equipment and facilities acquired or improved under its Award, in accordance with the recipient's transit asset management plan and consistent with FTA regulations, "Transit Asset Management," 49 CFR part 625.
4. When using or involving a facility or equipment acquired or improved with federal assistance under 49 U.S.C. § 5307(h) during non-peak hours for transportation, it will charge a fare not exceeding fifty (50) percent of the peak hour fare to the following individuals:
  - a. Any senior,
  - b. Any individual who, because of illness, injury, age, congenital malfunction, or any other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), is unable to use a public transportation service or a public transportation facility effectively without special facilities, planning, or design,
  - c. Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. § 401 *et seq.*), and
  - d. Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. § 1395 *et seq.*).
5. When carrying out a procurement under 49 U.S.C. § 5307(h), it will comply with:
  - a. The applicable general provisions of 49 U.S.C. § 5323, and
  - b. The applicable third party contract provisions of 49 U.S.C. § 5325.
6. As required by 49 U.S.C. § 5307(d):
  - a. It has or will have the amount of funds required for the non-federal share,
  - b. It will provide the non-federal share from sources approved by FTA, and
  - c. It will provide the non-federal share when needed.
7. As required by 49 U.S.C. § 5307(c)(1)(H), it will comply with:
  - a. The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
  - b. The statewide and nonmetropolitan transportation planning requirements of 49 U.S.C. § 5304.
8. As required by 49 U.S.C. § 5307(c)(1)(I), it has a locally developed process to solicit and consider public comment before:
  - a. Raising a fare, or
  - b. Implementing a major reduction of public transportation service.
9. It will comply with applicable regulations, guidance, and directives that implement the Public Transportation Safety Program provisions of 49 U.S.C. § 5329(b)-(d), except as FTA determines otherwise in writing.

### **CATEGORY 15. ENHANCED MOBILITY OF SENIORS AND INDIVIDUALS WITH DISABILITIES PROGRAMS.**

*Before FTA may provide federal assistance for an Award financed under the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program authorized under 49 U.S.C. § 5310, as amended by the FAST Act, or the Pilot Program for Innovated Access and Mobility under Section 3006(b) of the FAST Act, you must select the Certifications in Category 15, except as FTA determines otherwise in writing.*

*Any provision of the Certifications in Category 15 that does not apply will not be enforced.*



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1. The following Certifications for the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program are required by 49 U.S.C. § 5310. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
  - a. Each Subrecipient is:
    - (1) A private nonprofit organization, or
    - (2) A state or local governmental authority that:
      - (a) Is approved by a state to coordinate services for seniors and individuals with disabilities, or
      - (b) Certifies that there are no private nonprofit organizations readily available in the area to provide the services authorized for support under the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program.
  - b. Your Applicant will comply with the following selection and planning requirements:
    - (1) The Projects it has selected or will select for an Award or Subaward of federal assistance appropriated or made available under 49 U.S.C. § 5310 are included in a public transit-human services transportation plan that has been:
      - (a) Locally developed, and
      - (b) Coordinated.
    - (2) The public transit-human services transportation plan was developed and approved through a process that included participation by:
      - (a) Seniors,
      - (b) Individuals with disabilities,
      - (c) Representatives of public, private, and nonprofit transportation providers,
      - (d) Representatives of public, private, and nonprofit human services providers, and
      - (e) Other members of the public.
    - (3) Within its Award, the Projects selected to receive federal assistance will assist in providing transportation services for seniors and individuals with disabilities are included in its Program of Projects submitted to FTA annually.
    - (4) To the maximum extent feasible, the services financed by 49 U.S.C. § 5310 will be coordinated with transportation services financed by other federal departments and agencies, including any transportation activities carried out by a recipient of federal assistance from the Department of Health and Human Services.
  - c. As required by 49 U.S.C. § 5310(e)(2)(B), it certifies that if it allocates federal assistance received under 49 U.S.C. § 5310 to any Subrecipient, it will have allocated that federal assistance on a fair and equitable basis.
  - d. It will not transfer a facility or equipment acquired or improved with federal assistance appropriated or made available for a grant under 49 U.S.C. § 5310 to any other recipient eligible to receive assistance under 49 U.S.C. chapter 53, unless:
    - (1) The recipient possessing the facility or equipment consents to the transfer, and
    - (2) The facility or equipment will continue to be used as required under 49 U.S.C. § 5310.
  - e. As required by 49 U.S.C. § 5310(b)(2), it will use at least fifty-five (55) percent of the federal assistance it receives for Capital Projects to meet the special needs of seniors and individuals with disabilities.

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- f. The requirements of 49 U.S.C. § 5307, as determined by FTA, will apply to the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program authorized by 49 U.S.C. § 5310.
- 2. FTA has determined that certain requirements of 49 U.S.C. § 5307 are appropriate for the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program, some of which require Certifications. Therefore, as specified under 49 U.S.C. § 5307(c)(1), your Applicant certifies that:
  - a. It has or will have and will require each Subrecipient to have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
  - b. It has or will have and will require each Subrecipient to have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award or Subaward.
  - c. It will maintain and will require each Subrecipient to maintain its equipment and facilities acquired or improved under its Award or Subaward, in accordance with the recipient's transit asset management plan and consistent with FTA regulations, "Transit Asset Management," 49 CFR part 625.
  - d. When carrying out a procurement under the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program, it will require each Subrecipient to comply with:
    - (1) The applicable general provisions of 49 U.S.C. § 5323, and
    - (2) The applicable third party contract provisions of 49 U.S.C. § 5325.
  - e. With respect to the non-federal share:
    - (1) It has or will have and, as necessary, will require each Subrecipient to have the amount of funds required for the non-federal share, as required by 49 U.S.C. § 5310,
    - (2) It will provide and, as necessary, will require each Subrecipient to provide the non-federal share from sources approved by FTA, and
    - (3) It will provide and, as necessary, will require each Subrecipient to provide the non-federal share when needed.
  - f. It has complied or will comply and will require each Subrecipient to comply with:
    - (1) The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
    - (2) The statewide and nonmetropolitan transportation planning requirements of 49 U.S.C. § 5304.
  - g. To the extent applicable, it will and will require its Subrecipients to comply with applicable regulations, guidance, and directives that implement the Public Transportation Safety Program provisions of 49 U.S.C. § 5329(b)-(d), except as FTA determines otherwise in writing.

### **CATEGORY 16. RURAL AREAS AND APPALACHIAN DEVELOPMENT PROGRAMS.**

*Before FTA may provide federal assistance for an Award financed under the Formula Grants for Rural Areas Program authorized under 49 U.S.C. § 5311(b), as amended by FAST Act, and the Appalachian Development Public Transportation Assistance Program authorized under*

## FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES

*49 U.S.C. § 5311(c)(2), as amended by FAST, you must select the Certifications in Category 16, except as FTA determines otherwise in writing.*

*Any provision of the Certifications and Assurances in Category 16 that does not apply will not be enforced.*

### **16.A. Formula Grants for Rural Areas Program.**

*If your Applicant seeks federal assistance from FTA for an Award financed under the Formula Grants for Rural Areas Program authorized under 49 U.S.C. § 5311, as amended by FAST Act, the Certifications in Category 16.A apply to your Applicant, except as FTA determines otherwise in writing.*

The following Certifications apply to each state or state organization serving as your Applicant for federal assistance appropriated or made available for the Rural Areas Formula Program financed under 49 U.S.C. § 5311(b), as amended by FAST Act. On its behalf, you certify and assure that:

1. It has or will have and require each Subrecipient to have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
2. It has or will have and require each Subrecipient to have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.
3. It will maintain and require each Subrecipient to maintain its equipment and facilities acquired or improved under its Award, in accordance with the recipient's transit asset management plan and consistent with FTA regulations, "Transit Asset Management," 49 CFR part 625.
4. It will and will require each Subrecipient to comply with applicable regulations and guidance that implement the Public Transportation Safety Program provisions of 49 U.S.C. § 5329(b)-(d), except as FTA determines otherwise in writing.
5. Its state program has provided for a fair distribution of federal assistance appropriated or made available under 49 U.S.C. § 5311(b) within the state to eligible entities, including Indian reservations.
6. Its program provides or will provide the maximum feasible coordination of federal assistance for public transportation service authorized by 49 U.S.C. § 5311(b) with transportation service financed by other federal sources.
7. Its Awards and Subawards in its Formula Grants for Rural Areas Program are included in:
  - a. The statewide transportation improvement program, and
  - b. To the extent applicable, a metropolitan transportation improvement program.
8. With respect to the non-federal share:
  - a. It has or will have and, as necessary, will require each Subrecipient to have the amount of funds required for the non-federal share, as required by former 49 U.S.C. § 5311(g),
  - b. It will provide and, as necessary, will require each Subrecipient to provide the non-federal share from sources approved by FTA, and

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- c. It will provide and, as necessary, will require each Subrecipient to provide the non-federal share when needed.
9. It may transfer a facility or equipment acquired or improved under its Award to any other Recipient eligible to receive assistance under 49 U.S.C. chapter 53, if:
  - a. The Recipient possessing the facility or equipment consents to the transfer, and
  - b. The facility or equipment will continue to be used as required under 49 U.S.C. § 5311.
10. Each fiscal year:
  - a. It will spend at least fifteen (15) percent of its federal assistance authorized under 49 U.S.C. § 5311 and available that fiscal year for eligible activities to develop and support intercity bus transportation within the state including:
    - (1) Planning and marketing for intercity bus transportation,
    - (2) Capital grants for intercity bus facilities,
    - (3) Joint-use facilities,
    - (4) Operating grants through purchase-of-service agreements, user-side subsidies, and demonstration projects, and
    - (5) Coordinating rural connections between small public transportation operations and intercity bus carriers, or
  - b. It will provide to FTA a Certification from the governor of the state that:
    - (1) It has consulted with the affected intercity bus service providers about the intercity bus needs of the state, and
    - (2) The state's intercity bus service needs are being met adequately.

### **16.B. Appalachian Development Public Transportation Assistance Program.**

*If your Applicant seeks federal assistance from FTA for an Award financed under the Appalachian Development Public Transportation Assistance Program authorized under 49 U.S.C. § 5311(c)(2), the Certifications in Category 16.B apply to your Applicant, except as FTA determines otherwise in writing.*

On behalf of your Applicant, you certify and assure that, if it is unable to use its federal assistance made available or appropriated for public transportation operating assistance, in accordance with 49 U.S.C. § 5311(c)(2)(D), it may use the federal assistance for a Highway Project only after:

1. It provides notice and an opportunity for comment and appeal to affected public transportation providers,
2. It approves such use in writing, and
3. In approving the use, it determines that local transit needs are being addressed.
4. It complies or will comply, to the extent applicable, with the recipient's transit asset management plan consistent with FTA regulations, "Transit Asset Management," 49 CFR part 625, and
5. It complies or will comply, to the extent applicable, with applicable regulations, guidance, and directives that implement the Public Transportation Safety Program provisions of 49 U.S.C. § 5329(b)-(d), except as FTA determines otherwise in writing.

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### **CATEGORY 17. TRIBAL TRANSIT PROGRAMS (PUBLIC TRANSPORTATION ON INDIAN RESERVATIONS PROGRAMS).**

*Before FTA may provide federal assistance for an Award financed under either the Public Transportation on Indian Reservations Formula or Discretionary Program authorized under 49 U.S.C. § 5311(c)(1), as amended by the FAST Act, (Tribal Transit Programs), you must select the Certifications in Category 17, except as FTA determines otherwise in writing.*

*Any provision of the Certifications in Category 17 that does not apply will not be enforced.*

FTA has established terms and conditions for Tribal Transit Program grants financed with federal assistance appropriated or made available under 49 U.S.C. § 5311(c)(1). On behalf of your Applicant, you certify and assure that:

1. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
2. It has or will have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.
3. It will maintain its equipment and facilities acquired or improved under its Award, in accordance with the recipient's transit asset management plan and consistent with FTA regulations, "Transit Asset Management," 49 CFR part 625.4. Its Award will achieve maximum feasible coordination with transportation service financed by other federal sources.
4. With respect to its procurement system:
  - a. It will have a procurement system that complies with U.S. DOT regulations, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards," 2 CFR part 1201, which incorporates by reference U.S. OMB regulatory guidance, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards," 2 CFR part 200, for Awards made on or after December 26, 2014,
  - b. It will have a procurement system that complies with U.S. DOT regulations, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," 49 CFR part 18, specifically former 49 CFR § 18.36, for Awards made before December 26, 2014, or
  - c. It will inform FTA promptly if its procurement system does not comply with either of those U.S. DOT regulations.
5. It will comply with the Certifications, Assurances, and Agreements in:
  - a. Category 03.B and 03.C (Charter Service Agreement and School Bus Agreement),
  - b. Category 05.B (Bus Testing),
  - c. Category 06 (Demand Responsive Service),
  - d. Category 07 (Intelligent Transportation Systems), and
  - e. Category 10 (Alcohol and Controlled Substances Testing).

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### **CATEGORY 18. STATE SAFETY OVERSIGHT GRANT PROGRAM.**

*Before FTA may provide federal assistance for an Award financed under the State Safety Oversight Grant Program authorized under 49 U.S.C. § 5329(e)(6), you must select the Certifications in Category 18, except as FTA determines otherwise in writing.*

*Any provision of the Certifications in Category 18 that does not apply will not be enforced.*

On behalf of your Applicant, you certify that:

1. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
2. It has or will have satisfactory continuing control over the use of equipment and facilities acquired or improved under its Award.
3. It will maintain its equipment and facilities acquired or improved under its Award in accordance with the Recipient's transit asset management plan and consistent with FTA regulations, "Transit Asset Management," 49 CFR part 625.
4. When carrying out a procurement under its Award, it will comply with:
  - a. The applicable general provisions of 49 U.S.C. § 5323, and
  - b. The applicable third party contract provisions of 49 U.S.C. § 5325.
5. As required by 49 U.S.C. § 5329(e)(6)(C):
  - a. It has or will have the amount of funds required for the non-federal share,
  - b. It will provide the non-federal share only from sources approved by FTA, and will not be met by:
    - (1) Any federal assistance,
    - (2) Any funds received from a public transportation agency, or
    - (3) Any revenues earned by a public transportation agency, and
  - c. Will provide the non-federal share when needed.
6. Depending on how far the Recipient has progressed in developing a State Safety Oversight program fully compliant with 49 C.F.R. part 674, the following FTA regulations will apply:
  - a. States With a Fully Compliant Program. The Recipient agrees that FTA regulations, "State Safety Oversight," 49 C.F.R. part 674, will apply when its State Safety Oversight program is fully compliant with FTA's requirements;
  - b. States Without a Fully Compliant Program. The Recipient agrees that FTA regulations, "Rail Fixed Guideway Systems; State Safety Oversight," 49 C.F.R. part 659, will continue to apply to those states that have not yet implemented a fully compliant Public Transportation Safety Program.

### **CATEGORY 19. PUBLIC TRANSPORTATION EMERGENCY RELIEF PROGRAM.**

*Before FTA may provide federal assistance for an Award financed under the Public Transportation Emergency Relief Program authorized under 49 U.S.C. § 5324, you must select the Certifications in Category 19, except as FTA determines otherwise in writing.*

*Any provision of the Assurance in Category 19 that does not apply will not be enforced.*

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As required by 49 U.S.C. § 5324(d), on behalf of your Applicant, you assure that it will:

1. Comply with the requirements of the Certifications and Assurances as FTA determines will apply to an Applicant for federal assistance appropriated or made available for the Public Transportation Emergency Relief Program, and
2. Comply with FTA regulations, "Emergency Relief," 49 C.F.R. part 602.

### **CATEGORY 20. EXPEDITED PROJECT DELIVERY PILOT PROGRAM.**

*Before FTA may provide federal assistance for an Award financed under the Expedited Project Delivery Pilot Program authorized under section 3005(b) of the FAST Act, you must select the Certifications in Category 20, except as FTA determines otherwise in writing.*

*To the extent that any Certification in Category 20 does not apply, it will not be enforced.*

As required by section 3005(b)(3)(B) of the FAST Act, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

1. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
2. It has or will have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.
3. It will maintain its equipment and facilities acquired or improved under its Award in accordance with the recipient's transit asset management plan and consistent with FTA regulations, "Transit Asset Management," 49 CFR part 625.
4. It will comply with:
  - a. The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
  - b. The statewide and nonmetropolitan transportation planning requirements of 49 U.S.C. § 5304.

### **CATEGORY 21. INFRASTRUCTURE FINANCE PROGRAMS.**

*Before FTA may provide credit assistance for an Award that also is or will be financed under the Transportation Infrastructure Finance and Innovation Act (TIFIA) Program authorized under 23 U.S.C. §§ 601 – 609, or the State Infrastructure Banks (SIB) Program authorized under 23 U.S.C. § 610, you must select the Certifications in Category 21.*

*If the Applicant does not receive credit assistance under the TIFIA or SIB programs, the Certifications and Assurances in Category 21 will not be enforced.*

#### **21.A. Transportation Infrastructure Finance and Innovation Act (TIFIA) Program.**

*If your Applicant seeks federal assistance from FTA for an Award that also is or will be financed under the TIFIA Program authorized under 23 U.S.C. §§ 601 – 609 the Certifications and Assurances in Category 21.A apply to your Applicant. In administering this Program, the FAST Act cross-cutting requirements supersede inconsistent former requirements.*

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On behalf of your Applicant, you certify and assure, as required by 49 U.S.C. § 5323(o), that federal transit laws, specifically 49 U.S.C. § 5307, 49 U.S.C. § 5309, and 49 U.S.C. § 5337, apply to any Project under 49 U.S.C. chapter 53 that receives TIFIA credit assistance under 23 U.S.C. §§ 601 – 609.

1. To comply with 49 U.S.C. § 5307, specifically 49 U.S.C. § 5307(c)(1), on your Applicant's behalf, you certify that:
  - a. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
  - b. It has or will have satisfactory continuing control over the use of equipment and facilities acquired or improved under its Award.
  - c. It will maintain its equipment and facilities acquired or improved under its Award, in accordance with the recipient's transit asset management plan and consistent with FTA regulations, "Transit Asset Management," 49 CFR part 625.
  - d. For transportation during non-peak hours and using or involving a facility or equipment of an Award financed using 49 U.S.C. § 5307 funds, it will charge a fare not exceeding fifty (50) percent of the peak hour fare to the following individuals:
    - (1) Any senior,
    - (2) Any individual who, because of illness, injury, age, congenital malfunction, or other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), is unable to use a public transportation service or a public transportation facility effectively without special facilities, planning, or design,
    - (3) Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. § 401 *et seq.*), and
    - (4) Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. § 1395 *et seq.*).
  - e. When carrying out a TIFIA-financed procurement, the Applicant will comply with:
    - (1) The applicable provisions of 49 U.S.C. § 5323, and
    - (2) The applicable provisions of 49 U.S.C. § 5325.
  - f. It has complied with or will comply with 49 U.S.C. § 5307(b).
  - g.
    - (1) It has or will have no more than 80 percent of the Total Award Budget as the sum of all federal grants and any TIFIA-financed awards,
    - (2) It will provide the non-federal share from sources approved by FTA, and
    - (3) It will provide the non-federal share when needed.
  - h. It will comply with:
    - (1) The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
    - (2) The statewide and nonmetropolitan planning requirements of 49 U.S.C. § 5304.
  - i. It has a locally developed process to solicit and consider public comment before:
    - (1) Raising a fare, or
    - (2) Implementing a major reduction of public transportation.
  - j. It will comply with applicable regulations, guidance, and directives that implement the Public Transportation Safety Program provisions of 49 U.S.C. § 5329(b)-(d), except as FTA determines otherwise in writing.



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2. To comply with the interest and financing costs restrictions of 49 U.S.C. chapter 53, it agrees that it will not seek reimbursement for interest or any other financing costs incurred in connection with its Award that must be in compliance with those requirements unless:
  - a. It is eligible to receive federal assistance for those expenses, and
  - b. Its records demonstrate that it has used reasonable diligence in seeking the most favorable financing terms underlying those costs, to the extent FTA may require.
3. It will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d *et seq.*).
4. Pursuant to the National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. § 5321 *et seq.*, the Project will qualify for an environmental categorical exclusion or receive a finding of no significant impact or a record of decision under NEPA before the Applicant undertakes activities for which it expects to receive federal assistance.
5. It agrees that it will adopt a transit asset management plan that complies with regulations implementing 49 U.S.C. § 5326(d).

### 21.B. State Infrastructure Banks (SIB) Program.

*If your Applicant is a state and seeks federal assistance from FTA for a project that also is or will be financed under the SIB Program authorized under 23 U.S.C. § 610, the Certifications and Assurances in Category 21.B apply to your state and its Award, except as the Secretary determines in writing. In administering this Program, the FAST Act cross-cutting requirements supersede inconsistent former requirements.*

On behalf of the state Applicant for federal assistance for its SIB Program, you certify and assure that:

1. It will comply with the following applicable federal laws establishing the various SIB Programs since 1995:
  - a. 23 U.S.C. § 610,
  - b. Section 1511 of TEA-21, 23 U.S.C. § 181 note, or
  - c. Section 350 of the National Highway System Designation Act of 1995, as amended, 23 U.S.C. § 181.
2. It will comply with or follow the Grant Agreement between it and FTA that provides federal assistance to the SIB, including the FTA Master Agreement, which is incorporated by reference into the Grant Agreement, except that, unless FTA determines otherwise in writing, a provision of the FTA Master Agreement incorporated by reference into that Grant Agreement will not apply if it conflicts with any provision of:
  - a. 23 U.S.C. § 610, as amended by the FAST Act,
  - b. 23 U.S.C. § 610 or its predecessor before the FAST Act was signed into law,
  - c. Section 1511 of TEA-21, 23 U.S.C. § 181 note, or section 350 of the National Highway System Designation Act of 1995, as amended, 23 U.S.C. § 181 note,
  - d. Federal guidance pertaining to the SIB Program,
  - e. The SIB Cooperative Agreement establishing the state's SIB Program,
  - f. The Grant Agreement with FTA.
3. As required by 49 U.S.C. § 5323(o), federal transit laws, specifically 49 U.S.C. § 5307, 49 U.S.C. § 5309, and 49 U.S.C. § 5337, as amended by the FAST Act, apply to any Award

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under 49 U.S.C. chapter 53 that receives SIB support or financing under title 23, United States Code.

4. As required by 49 U.S.C. § 5323(o) and 49 U.S.C. § 5307(c)(1):
  - a. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
  - b. It has or will have satisfactory continuing control over the use of equipment and facilities acquired or improved under its Award.
  - c. It will maintain its equipment and facilities acquired or improved under its Award, in accordance with the recipient's transit asset management plan and consistent with FTA regulations, "Transit Asset Management," 49 CFR part 625.
  - d. When using or involving a facility or equipment acquired or improved with federal assistance under a SIB-financed Award during non-peak hours for transportation, it will charge a fare not exceeding fifty (50) percent of the peak hour fare to the following individuals:
    - (1) Any senior,
    - (2) Any individual who, because of illness, injury, age, congenital malfunction, or any other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), is unable to use a public transportation service or a public transportation facility effectively without special facilities, planning, or design,
    - (3) Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. § 401 *et seq.*), and
    - (4) Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. § 1395 *et seq.*).
  - e. When carrying out a procurement under a SIB-financed Award, it will comply with:
    - (1) The applicable general provisions of 49 U.S.C. § 5323, and
    - (2) The applicable third party contract provisions of 49 U.S.C. § 5325.
  - f. It has complied with or will comply with 49 U.S.C. § 5307(b).
  - g. It has or will have or provide:
    - (1) The amount of funds required for the non-federal share by the SIB Program, but not less than twenty-five (25) percent of each capitalization grant,
    - (2) The non-federal share from sources approved by FTA, and
    - (3) The non-federal share when needed.
  - h. It will comply with:
    - (1) The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
    - (2) The statewide and nonmetropolitan planning requirements of 49 U.S.C. § 5304.
  - i. It has a locally developed process to solicit and consider public comment before:
    - (1) Raising a fare, or
    - (2) Implementing a major reduction of public transportation.
  - j. It will comply with applicable regulations, guidance, and directives that implement the Public Transportation Safety Program provisions of § 5329(b)-(d), except as FTA determines otherwise in writing.
5. As required by 49 U.S.C. chapter 53, it certifies that it will not seek reimbursement for interest or any other financing costs incurred in connection with its Award unless:
  - a. It is eligible to receive federal assistance for those expenses, and

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- b. Its records demonstrate that it has used reasonable diligence in seeking the most favorable financing terms underlying those costs, as FTA may require.
6. It agrees that it will adopt a transit asset management plan that complies with FTA regulations, "Transit Asset Management," 49 CFR part 625.

### CATEGORY 22. PAUL S. SARBANES TRANSIT IN PARKS PROGRAM

*Before FTA may provide federal assistance for an Award financed under the Paul S. Sarbanes Transit in Parks Program authorized under former 49 U.S.C. § 5320, in effect in FY 2012 or a previous fiscal year, except as superseded by FAST Act requirements, you must select the Certifications in Category 22, except as FTA determines otherwise in writing.*

*Any provision of the Certifications and Assurances in Category 22 that does not apply will not be enforced.*

1. Except as superseded by the FAST Act cross-cutting requirements, the following Certifications and Assurances for the Paul S. Sarbanes Transit in Parks Program (Parks Program) are required by former 49 U.S.C. § 5320, in effect in FY 2012 or a previous fiscal year. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
  - a. It will consult with the appropriate federal land management agency during the planning process, and
  - b. The requirements of former 49 U.S.C. § 5307, as determined by FTA, will apply to the Parks Program authorized by former 49 U.S.C. § 5320.
2. FTA has determined certain requirements of former 49 U.S.C. § 5307 to be appropriate for the Parks Program, of which some require Certifications. Therefore, as specified under former 49 U.S.C. § 5307(d)(1), except as superseded by the FAST Act cross-cutting requirements that apply, you certify that your Applicant:
  - a. Has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
  - b. Has or will have satisfactory continuing control over the use of equipment and facilities acquired or improved under its Award.
  - c. Will maintain its equipment and facilities acquired or improved under its Award.
  - d. When carrying out a procurement under former 49 U.S.C. § 5320, it will comply and will require each Subrecipient to comply with the following provisions:
    - (1) Competitive procurement (as defined or approved by FTA) requirements of 49 U.S.C. § 5325(a),
    - (2) The prohibition against exclusionary or discriminatory specifications in its procurements under 49 U.S.C. § 5323(h),
    - (3) "Buy America" requirements under 49 U.S.C. § 5323(j), as amended by the FAST Act, and FTA regulations, "Buy America Requirements," 49 CFR part 661,
    - (4) Applicable pre-award and post-delivery requirements of 49 U.S.C. § 5323(m),
    - (5) Applicable railcar option restrictions of 49 U.S.C. § 5325(e), and
    - (6) "Veterans Preference/Employment" requirements under 49 U.S.C. § 5325(k).
  - e. It will comply with other applicable requirements under 49 U.S.C. § 5323 and § 5325.

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- f. It has complied or will comply with the requirements of former 49 U.S.C. § 5307(c), and specifically:
  - (1) It has made or will make available to the public information on the amounts available for the Parks Program, former 49 U.S.C. § 5320, and the Projects it proposes to implement under its Award,
  - (2) It has developed or will develop, in consultation with interested parties including private transportation providers, Projects to be financed under its Award,
  - (3) It has published or will publish a list of proposed Projects in a way that affected citizens, private transportation providers, and local elected officials have the opportunity to examine the proposed Projects and submit comments on the proposed Projects and its performance,
  - (4) It has provided or will provide an opportunity for a public hearing to obtain the views of citizens on the proposed Projects,
  - (5) It has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final list of Projects, and
  - (6) It has made or will make the final list of Projects for which an Award is sought available to the public.
- g. With respect to the non-federal share:
  - (1) It has or will have and, as necessary, will require each Subrecipient to have the amount of funds required for the non-federal share, as required by 49 U.S.C. § 5320,
  - (2) It will provide the non-federal share from sources approved by FTA, and
  - (3) It will provide the non-federal share when needed.
- h. It has complied or will comply with and will require each Subrecipient to comply with:
  - (1) The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
  - (2) The statewide and nonmetropolitan planning requirements of 49 U.S.C. § 5304.
- i. It has a locally developed process to solicit and consider public comment before:
  - (1) Raising a fare, or
  - (2) Implementing a major reduction of public transportation.

### CATEGORY 23. CONSTRUCTION HIRING PREFERENCES.

*Before FTA may provide federal assistance for a third party contract for construction hiring financed under title 49 U.S.C. or title 23 U.S.C. using a geographic, economic, or any other hiring preference not otherwise authorized by federal law or regulation, you must select the Certifications in Category 23 on behalf of your Applicant, except as FTA determines otherwise in writing.*

*Any provision of the Certifications in Category 23 that does not apply will not be enforced.*

As provided by section 192 of division L, title I of the Consolidated Appropriations Act, 2017, Public Law No. 114-113, on behalf of your Applicant, you certify that if, in connection with any third party contract for construction hiring financed under title 49 U.S.C. or title 23 U.S.C., it uses a geographic, economic, or any other hiring preference not otherwise authorized by law or prohibited under 2 CFR § 200.319(b):

## **FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES**

1. Except with respect to apprentices or trainees, a pool of readily available but unemployed individuals possessing the knowledge, skill, and ability to perform the work that the third party contract requires resides in the jurisdiction where the work will be performed,,
2. It will include appropriate provisions in its bid document ensuring that its third party contractor(s) do not displace any of its existing employees in order to satisfy such hiring preference, and
3. That any increase in the cost of labor, training, or delays resulting from the use of such hiring preference does not delay or displace any transportation project in the applicable Statewide Transportation Improvement Program or Transportation Improvement Program.

Selection and Signature Page(s) follow.

## FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES

### FEDERAL FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES FOR FEDERAL TRANSIT ADMINISTRATION ASSISTANCE PROGRAMS

(Signature pages alternative to providing Certifications and Assurances in TrAMS)

Name of Applicant: \_\_\_\_\_

The Applicant agrees to comply with applicable provisions of (Categories 01 – 23. \_\_\_\_\_

OR

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

<u>Category</u>	<u>Description</u>	
01.	Required Certifications and Assurances for Each Applicant.	_____
02.	Lobbying.	_____
03.	Procurement and Procurement Systems.	_____
04.	Private Sector Protections.	_____
05.	Rolling Stock Reviews and Bus Testing.	_____
06.	Demand Responsive Service.	_____
07.	Intelligent Transportation Systems.	_____
08.	Interest and Financing Costs and Acquisition of Capital Assets by Lease.	_____
09.	Transit Asset Management Plan, Public Transportation Safety Program, and State Safety Oversight Requirements.	_____
10.	Alcohol and Controlled Substances Testing.	_____
11.	Fixed Guideway Capital Investment Grants Program (New Starts, Small Starts, and Core Capacity Improvement).	_____
12.	State of Good Repair Program.	_____
13.	Grants for Buses and Bus Facilities and Low or No Emission Vehicle Deployment Grant Programs.	_____
14.	Urbanized Area Formula Grants Programs and Passenger Ferry Grant Program.	_____
15.	Enhanced Mobility of Seniors and Individuals with Disabilities Programs.	_____
16.	Rural Areas and Appalachian Development Programs.	_____
17.	Tribal Transit Programs (Public Transportation on Indian Reservations Programs).	_____
18.	State Safety Oversight Grant Program.	_____
19.	Public Transportation Emergency Relief Program.	_____
20.	Expedited Project Delivery Pilot Program.	_____
21.	Infrastructure Finance Programs.	_____
22.	Paul S. Sarbanes Transit in Parks Program.	_____
23.	Construction Hiring Preferences.	_____

## FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES

### FEDERAL FISCAL YEAR 2017 FTA CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE

(Required of all Applicants for federal assistance to be awarded by FTA and all FTA Grantees with an active Capital or Formula Award)

#### AFFIRMATION OF APPLICANT

Name of the Applicant: \_\_\_\_\_

Name and Relationship of the Authorized Representative: \_\_\_\_\_

BY SIGNING BELOW, on behalf of the Applicant, I declare that it has duly authorized me to make these Certifications and Assurances and bind its compliance. Thus, it agrees to comply with all federal laws, regulations, and requirements, follow applicable federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative makes to the Federal Transit Administration (FTA) in federal fiscal year 2017, irrespective of whether the individual that acted on his or her Applicant's behalf continues to represent it.

FTA intends that the Certifications and Assurances the Applicant selects on the other side of this document should apply to each Award for which it now seeks, or may later seek federal assistance to be awarded during federal fiscal year 2017.

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

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

Signature \_\_\_\_\_ Date: \_\_\_\_\_

Name \_\_\_\_\_  
Authorized Representative of Applicant

#### AFFIRMATION OF APPLICANT'S ATTORNEY

For (Name of Applicant): \_\_\_\_\_

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

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

Signature \_\_\_\_\_ Date: \_\_\_\_\_

Name \_\_\_\_\_  
Attorney for Applicant

*Each Applicant for federal assistance to be awarded by FTA and each FTA Recipient with an active Capital or Formula Project or Award must provide an Affirmation of Applicant's Attorney pertaining to the Applicant's legal capacity. The Applicant may enter its electronic signature in lieu of the Attorney's signature within FTA's electronic award and management system, provided the Applicant has on file and uploaded to FTA's electronic award and management system this hard-copy Affirmation, signed by the attorney and dated this federal fiscal year.*