

# North Carolina Department of Transportation



## FY16 Community Transportation Program Application Package

Includes the Section 5311- Non-urbanized Area Formula Program, Human  
Service Transportation Management Program  
and Rural Capital Program

SEPTEMBER 15, 2014

N.C. Department of Transportation  
Public Transportation Division  
1 S. Wilmington Street  
Raleigh, NC 27601

## Background

The Federal Transit Administration, on the behalf of the Secretary of Transportation, apportions appropriated 5311 funds annually to the Governor of each state for public transportation projects in non-urbanized areas.

Specifically, the Section 5311 program intends to: (1) enhance the access of people in nonurbanized areas to health care, shopping, education, employment, public services and recreation; (2) assist in the maintenance, development, improvement and use of public transportation systems in non-urbanized areas; (3) encourage and facilitate the most efficient use of all transportation funds used to provide passenger transportation in nonurbanized areas through the coordination of programs and services; (4) assist in the development and support of intercity bus transportation; (5) provide for the participation of private transportation providers in non-urbanized transportation; (6) to provide and enhance public transportation to the Tribal Transit Program on Indian reservations/tribal lands and to provide transit services to serve tribal communities; (7) to provide technical assistance to include project planning, program and management development, public transportation coordination activities, and research to promote effective delivery of public transportation in rural areas of the designated Appalachian region, and (8) to enhance and improve access to jobs through employment-related transportation services for welfare recipients and eligible low-income individuals; this includes transportation of residents from urbanized and rural areas to suburban employment opportunities. Public Transportation definition has changed slightly under MAP-21 by including a reference to 'shared ride' transportation. From the proposed FTA Circular C 9040.1G, the proposed definition is:

*Regular, continuing **shared-ride** surface transportation services that are open to the general public or open to a segment of the general public defined by age, disability, or low income... Public transportation can be either fixed-route or demand-response service, but excludes intercity passenger rail provided by Amtrak, intercity bus service, charter bus service, school bus service, sightseeing services, courtesy shuttle services provided by individual businesses, and intra-terminal or intra-facility shuttle services.*

The Governor of North Carolina, in accordance with the Urban Mass Transportation Act of 1964, as amended, designated the N.C. Department of Transportation (NCDOT) Public Transportation Division (PTD) as the agency to receive and administer federal and state public transportation funds. The NCDOT (G.S. 136-44.20) is the recipient of all Section 5311 funds and the Community Transportation Program (CTP) applicant is the sub-recipient. The purpose of Section 5311 assistance is the provision of public transportation services and maximum feasible coordination with other rural transportation services.

The Public Transportation Division shall have principal responsibility and authority for the administration of the Section 5311 Program, and shall administer the programs in accordance with the guidance published by the Federal Transit Administration (FTA Proposed Circular 9040.1G) and in accordance with existing Federal and State regulations pertaining to the administration of Federal grants by the North Carolina Department of Transportation. Transportation systems can use Section 5311 funds for public transportation projects in non-

urbanized areas. Because most rural trips end in urbanized areas, Section 5311 funds can be used for portions of trips in urbanized areas, however, the primary beneficiary of the transportation must be rural areas. A rural transit provider may design its Section 5311 funded services to maximize use by members of the general public who are transportation disadvantaged. Transportation disadvantaged people include elderly people and people with disabilities.

NCDOT incorporates the Federal Section 5311, State Rural Capital Program (includes vehicles and related equipment, facility improvements and baseline technology) and the State Human Service Transportation Management Program into a single CTP funding application.

## Timetables

### **Application Process for FY16**

<b>DATES</b>	<b>TASK/EVENT</b>
September 15	<ul style="list-style-type: none"> <li>▪ Funding Solicitation (Grant Application and Instructions Distributed)</li> </ul>
November 21	<ul style="list-style-type: none"> <li>▪ Grant Application Due to NCDOT (including Project Funding Request Form)</li> </ul>
Dec. – Feb.	<ul style="list-style-type: none"> <li>▪ Grant Application Review Process</li> </ul>
March	<ul style="list-style-type: none"> <li>▪ PTD makes funding recommendation to NCDOT BOT</li> </ul>
April - June	<ul style="list-style-type: none"> <li>▪ FTA grant review and award</li> </ul>
July 1	<ul style="list-style-type: none"> <li>▪ Effective date of one year grant agreement</li> </ul>

## MAP-21 OVERVIEW

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On July 6, 2012 President Obama signed into law a new two-year transportation authorization, entitled Moving Ahead for Progress in the 21st Century (MAP-21). The new law authorizes \$10.6 billion in FY 2013 and \$10.7 billion in FY 2014 for public transportation.

MAP-21 furthers several important goals, including safety, state of good repair, performance, and program efficiency. MAP-21 gives FTA significant new authority to strengthen the safety of public transportation systems throughout the United States. The act also puts new emphasis on restoring and replacing our aging public transportation infrastructure by establishing a new needs-based formula program and new asset management requirements. In addition, it establishes performance-based planning requirements that align Federal funding with key goals and tracks progress towards these goals. Finally, MAP-21 improves the efficiency of administering grant programs by consolidating several programs and streamlining the major capital investment grant program known as “New Starts.” These, and other important changes, are summarized in this document.

While this summary focuses on the transit title (Division B, including amendments to chapter 53 of title 49, United States Code), several provisions that reside in the highway title (Division A, including amendments to title 23, United States Code) also affect transit. These provisions include performance measures in transportation planning, the Transportation Infrastructure Finance and Innovation Act (TIFIA), the Surface Transportation Program (STP), the Congestion Management and Air Quality program (CMAQ), and acceleration of project delivery through streamlining environmental reviews. A summary of these provisions can be found at <http://www.fhwa.dot.gov/map21/summaryinfo.cfm>.

## Designated Applicant

North Carolina's coordinated approach to service delivery allows only a single applicant (sub-recipient) for CTP funding within a county or group of counties as identified by an approved Community Transportation Service Plan (CTSP). Applicants must maintain a minimum level of coordinated transportation services to be eligible to receive any public transportation assistance through the CTP program. The minimum level will be determined in the CTSP process and must be illustrated beyond vehicle sharing unless local conditions clearly prohibit greater coordinating opportunities. Each applicant shall ensure that, to the maximum extent feasible, all transportation services provided utilizing funding through the CTP are coordinated with transportation services provided by other entities receiving federal funds, including any urban transit providers. Coordination can be used to improve transportation system performance by eliminating duplicative efforts and improving the efficiency of transportation operations. Each transportation system will have a Transportation Advisory Board (TAB) approved by the applicant's governing body.

## Transportation Advisory Board

Each applicant is REQUIRED to have a Transportation Advisory Board (TAB). A TAB is made up of stakeholders from the service area that care about the services provided by the transit system. The make-up of the TAB is representative of the various target audiences in the service area and includes one or more actual passengers of the transit system. An "ACTIVELY ENGAGED" Transportation Advisory Board is expected to discuss unmet needs in the service area, service design and scheduling, billing rates and fares, and to resolve complaints. They also monitor compliance with federal regulations and the status of any deficiencies noted in any official federal, state or local review or report. The Transportation Advisory Board is a locally formed advisory group based on the following guidelines and requirements:

## TRANSPORTATION ADVISORY BOARD (TAB) COMPOSITION

CATEGORIES	PUBLIC HUMAN SERVICE AGENCY	TRANSPORTATION PROVIDERS	PUBLIC AND BUSINESS SECTORS	GOVERNMENT AND GOVERNMENTAL AFFILIATES	TRANSIT USER
<i>Suggested number of representatives per category</i>	<b>3-5</b>	<b>1-2</b>	<b>4-5</b>	<b>3-5</b>	<b>1-3</b>
<p><b>NOTE:</b> TAB members should be individuals that know about the transit needs of the general public including the elderly, minorities, disabled, LEP, or low income populations living in the service area.</p>	<ul style="list-style-type: none"> <li>▪ Senior Services</li> <li>▪ DSS</li> <li>▪ Vocational Rehabilitation</li> <li>▪ Head Start</li> <li>▪ Shelter Workshop</li> <li>▪ Health Dept.</li> <li>▪ Veterans Admin</li> <li>▪ Smart Start</li> <li>▪ Mental Health</li> <li>▪ Housing Authority</li> <li>▪ Human Service Transit Users</li> </ul>	<ul style="list-style-type: none"> <li>▪ Private transportation providers</li> <li>▪ Intercity bus providers</li> <li>▪ Ambulance Service</li> <li>▪ Regional Authority</li> <li>▪ Urban System</li> <li>▪ Faith based services</li> <li>▪ Volunteers</li> </ul>	<ul style="list-style-type: none"> <li>▪ Chamber of Commerce</li> <li>▪ Major employers</li> <li>▪ DBE's</li> <li>▪ Hospital/Dialysis Ctr. Staff</li> <li>▪ Non-profit organizations</li> <li>▪ Employment Transit Users</li> <li>▪ General Public Transit Users</li> <li>▪ Public Citizens</li> </ul>	<ul style="list-style-type: none"> <li>▪ MPO</li> <li>▪ RPO</li> <li>▪ Economic Development</li> <li>▪ Employment Security Commission</li> <li>▪ Job Link and/or Career Centers</li> <li>▪ Elected Officials</li> <li>▪ County Government staff</li> <li>▪ Community College</li> </ul>	<ul style="list-style-type: none"> <li>▪ Passenger(s) that currently utilize the transit system</li> </ul>
	▪	▪	▪	▪	▪

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- The Transportation Advisory Board must include representatives from the elderly, minority, LEP, disabled and/or low income populations in the service area **or** include individuals that represent these consumer groups that will challenge the transit system to be more sensitive to their needs or to discuss unmet needs of their consumer group. Census data should be consulted to determine which groups should be represented and the size of the representation needed.
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- If the applicant serves as an “umbrella” agency for programs in addition to transportation services, then the Executive or Governing Board may not serve as the Transportation Advisory Board. There may be overlapping of members from the Executive or Governing Board, but there must be a separate Transportation Advisory Board that meets the requirements.
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- If the applicant is a transportation authority or a non-profit organization that only provides transportation, the Executive or Governing Board may serve as the Transportation Advisory Board. In this case, the composition of the Executive or Governing Board will have to meet the 5311 Program requirements to serve as the TAB or consider creating a separate TAB that does meet the requirements.
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- PTD expects, at a minimum, **quarterly TAB meetings** for the community transportation system to maintain ongoing communications as one means of seeking public involvement, and ongoing administrative oversight. TAB meetings must be open to the public and the public must be notified of the scheduled meetings through such means as posting notices on agency Web sites; local news media; flyers; etc. Additionally, meeting minutes must be published and distributed to PTD regional mobility development specialists, with original file copies maintained by the transportation system for a minimum of five (5) years.
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## Regulatory Compliance

All projects must annually meet all Federal/State requirements prior to July 1, the beginning of the project period and State fiscal year, to be eligible for reimbursement of Federal funds for the entire project period. Applicants that do not meet federal and state requirements are not eligible to receive reimbursement for expenses incurred prior to the effective date of compliance. NCDOT will not award any financial assistance until the applicant provides assurance of compliance and it has been determined that federal and state requirements are met. **An incomplete application will not be reviewed.**

**ALL the following documents must be completed and returned as part of the CTP application.**

- Some documents must be signed by the AUTHORIZED OFFICIAL as indicated
- Some documents must AFFIX A SEAL as indicated on the form
- Instructions are included with the form

	<b>DOCUMENTS</b>	<b>COMMENTS</b>
1	<i>Authorizing Resolution</i>	Each applicant will accurately complete and submit with its grant application a <u>GOVERNING BOARD APPROVED</u> Community Transportation Program <i>or</i> Human Service Transportation authorizing resolution. The Community Transportation Program Resolution is for Federal and State funded projects that provide general public transportation, while the Human Service Transportation Resolution is for State funded projects that provide only human service transportation.
2	<i>Certifications and Assurances, Attorney's Affirmation, Lobbying Certification, Equivalent Service Certification, and 5333(b) Labor Warranty</i>	In accordance with 49 U.S.C. 5323(n), Certifications and Assurances have been compiled for the North Carolina Community Transportation Program. NCDOT requires sub-recipients to certify to all applicable categories.
3	<i>Title VI Certification</i>	All Recipients of FTA and State funds must comply with Title VI of the 1964 Civil Rights Act, Section 601. Title VI states that "No person in the United States shall, on the ground of race, color or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance."  <ul style="list-style-type: none"> <li>▪ Additional federal information may be found in FTA Circular 4702.1B "Title VI Requirements and Guidelines for Federal Transit Administration Recipients," dated October 1, 2012 at: <a href="http://www.fta.dot.gov/documents/FTA_Title_VI_FINAL.pdf">http://www.fta.dot.gov/documents/FTA_Title_VI_FINAL.pdf</a></li> </ul>
4	<i>Disadvantaged Business Enterprise (DBE) Certification</i>	All recipients and sub-recipients of grant funds from the FTA and/or the State of North Carolina must participate in the DBE Program/Minority Business Enterprises (MBE) Program. DBE Program information may be found at <a href="https://apps.dot.state.nc.us/vendor/directory/">https://apps.dot.state.nc.us/vendor/directory/</a> .

5	<b>DBE/MBE/WBE/HUB Anticipated Vendor Awards</b>	Expected DBE/MBE/WBE/ and HUB to be used in FY 16.
6	<b>Public Hearing Notice</b>	<p>As part of the CTP application, a public hearing must be held in front of the applicant's governing body. The applicant must publish one public notice in a newspaper(s) having general circulation in the project's proposed service area. It is recommended that the Public Hearing Notice provide a minimum of seven (7) calendar days notice and a maximum of fourteen (14) calendar days notice between the time that the Public Hearing Notice is published in the newspaper and the actual public hearing date. In accordance with the DOT LEP Guidance, 70 FR 74087, (December 14, 2005), a public notice will also be published in <b>Spanish</b> in counties that have 1,000 or 5% of their population that speaks Spanish at home, but speaks English less than well. <b>Applicants in the counties listed in Appendix B <u>MUST</u> publish a public hearing notice in English <u>and</u> Spanish. PTD is not including a Spanish version of the public notice in the application package. Applicants should have the public notice translated locally to ensure the accuracy of the translation.</b></p>
7	<b>Public Hearing /  Public Hearing Record /  Public Hearing Minutes</b>	<p>The applicant must hold a public hearing on the proposed project to allow members of the community the opportunity to comment on transportation needs and the grant application. During the hearing the public should explicitly be asked if they wish to comment on the proposed funding. The public hearing will be held before the governing board.</p> <ul style="list-style-type: none"> <li>▪ County Commissioners - county applicants</li> <li>▪ Board of Directors - non-profit applicants</li> <li>▪ Authority Board of Directors or Executive Board - public transportation authorities</li> <li>▪ City/Town Council - municipalities</li> </ul> <p>The Clerk/Secretary to the Board must complete, sign and certify the Public Hearing Record form. Either indicate that NO public comments were made <b>or</b> public comments were made and enter the estimated date for board approval of meeting minutes. A copy of the board approved minutes must be submitted if comments were made at the Public Hearing.</p>

8	<b>Public Hearing Outreach</b>	Outreach efforts beyond holding a public hearing must be conducted to inform the public including minorities, women, elderly, disabled, Limited English Proficiency (LEP), low income individuals, and persons who are not human service agency clients, about the availability of CTP funds and to discuss transportation service needs. These efforts should include, but are not limited to surveys, presentations to groups, committees, fliers and/or posters. The intent is to remove barriers and conditions that prevent these groups from receiving access, participation and benefits of the CTP funded services. Services and benefits must be distributed in a non-discriminatory manner. Title VI of the Civil Rights Act of 1964 applies. This form should include a <u>DETAILED DESCRIPTION</u> of public hearing outreach efforts by the applicant to inform the public ( <u>INCLUDING MINORITY, WOMEN, ELDERLY, DISABLED, LIMITED ENGLISH PROFICIENCY (LEP), AND LOW INCOME INDIVIDUALS</u> ) about the public hearing to comment on the Community Transportation Grant application.
9	<b>Local Share Certification for Funding</b>	The Legal Applicant must certify to the North Carolina Department of Transportation that the required local funds for the FY16Community Transportation Program will <u>be</u> available as of July 1, 2015 for FY16, which has a period of performance of July 1, 2015 – June 30, 2016.
10	<b>Surface Transportation Providers</b>	List of all private transportation providers.
11	<b>Transportation Advisory Board Composition</b>	Each applicant is <u>REQUIRED</u> to have a Transportation Advisory Board (TAB). A TAB is made up of stakeholders from the service area that care about the services provided by the transit system. The make-up of the TAB is representative of the various target audiences in the service area and includes one or more actual passengers of the transit system. An “ <u>ACTIVELY ENGAGED</u> ” Transportation Advisory Board is expected to discuss unmet needs in the service area, service design and scheduling, billing rates and fares, and to resolve complaints. They also monitor compliance with federal regulations and the status of any deficiencies noted in any official federal, state or local review or report.

12	<i>Equal Employment Opportunity (EEO)</i>	<p>Threshold Requirements: Any applicant, recipient, or sub-recipient is required to comply with program requirements in Chapter III if it meets the following thresholds:</p> <ul style="list-style-type: none"> <li>a. Employees 50 or more transit-related employees*; and</li> <li>b. Requests or receives capital or operating assistance under Sections 3, 4(i), or 9 of the FTA; assistance under 23 U.S.C. 142(a)(2) or 23 U.S.C. 103(e)(4), or any combination thereof, in excess of \$1 million in the previous Federal fiscal year; or</li> <li>c. Request and receives planning assistance under Sections 8 and/or 9 in excess of \$250,000 in the previous Federal fiscal year.</li> </ul>
13	<i>Project Funding Request Form</i>	<p><b>Attention:</b> The Project Funding Request Form (Page 1) must be completed by all systems for each budget requested and placed in the grant application. Portions of State match funds for capital expenditures for FY16 as part of the competitive steps in the State Transportation Investments (STI) Process (Expansion vehicles, Infrastructure [bus-shelters, park and ride, facilities], and fixed-guideway) require pages 1-3 to be complete. Those systems having requested projects under the STI process in FY15 for State Match for FY16 should attach all three page of the project funding request form in the application. If the applicant has not applied previously nor is awarded STI State Match funds, other sources of matching funds will be necessary.</p>

### [Application Process](#)

The FY16 CTP grant application must be transmitted through the online NCDOT Grants Module no later than midnight EST, November 21, 2014. **An incomplete application will not be reviewed.** The documents identified in the Application Submission Checklist must be submitted as attachments within the online Grants Module. Note that documents with original signatures must be scanned for electronic submittal (ensure that seal is visible for documents with seals) and some forms/other documents must be saved and attached in their original form (Microsoft Word/Excel), as indicated in the Application Submission Checklist.

## FUNDING AND MONITORING

The PTD supports community transportation systems in fulfilling the transportation needs of each community by providing **ADMINISTRATIVE, CAPITAL, AND OPERATING** funding assistance programs. The division has sought increased state funding in these key areas to assist in meeting the goals and policy objectives of the Community Transportation Program. Community transportation systems will be eligible to receive these funding assistance programs if the policy requirements of the Community Transportation Program are met.

Budget Category	Not to exceed		Local Share
	Federal	State <sup>1</sup>	
ADMINISTRATION	80%	5%	15%
CAPITAL	80%	10%	10%
▪ Other Vehicles / Capital	80%	10%	10%
▪ Technology	80%	10%	10%
▪ Facilities	80%	10%	10%
OPERATING (net)	50%		50% or more <sup>2</sup>

<sup>1</sup> State funding is subject to State appropriations and availability of funds

<sup>2</sup> Small Fixed Route Systems' Local Share exceeds 50%

**Community Transportation Systems in Urbanized Area Counties** - The Public Transportation Division and the Institute for Transportation Research and Education developed methodology to allocate funds to community transportation systems located in counties within urbanized areas. The same method was used in the FY15 grant. This method is used to determine the percentage of service eligible for non-urbanized funding. The following methodology was used to determine these estimates:

- Total Population for each county using Census 2010 data.
- Subtract the Urbanized Area Population from the Total Population to derive the Non-Urbanized Population.
- Divide the Non-Urbanized Population into the Total Population to derive the Percent Non-Urban Population.
- Determine the Multiplier for each county to adjust for individual differences. The Multiplier is essential because some counties have urban fixed route options for the urban population while other county Community Transportation systems are solely responsible for the mobility of the urban population. The following assumptions were used:
  - Community Transportation systems in counties with fixed route options will provide a higher percent service to the non-urban population (Multiplier of 2.5).
  - Community Transportation systems in counties with fixed route options that perform the ADA service for the fixed route will provide a slightly lower percent service to the non-urban population (Multiplier of 2).
  - Community Transportation systems in counties with no fixed route option will provide the same percent of service to the non-urban area as the Non-Urbanized Population (Multiplier of 1).
- Multiply the Percent Non-Urban Population by the Multiplier to determine the Estimated Non-Urban Trip Share Percent (5311 eligible trips).

**Consolidated Urban-Rural Systems** - Consolidated urban-rural transportation systems must use an equitable method to distribute costs that cannot be directly allocated to one program. Expenses will be allocated to the appropriate program when the product, service, or material is not a shared resource between the rural and urban public transportation programs. Consolidated urban-rural systems will use a cost allocation based on urban-rural miles and hours from FY 2014 Operating Statistics to allocate any joint urban-rural expenses and determine the rural share eligible for Section 5311 funding. PTD will determine and provide the cost allocation percentages to the consolidated systems.

**Funding Requests** - All community transportation systems are required to utilize the Uniform Public Transportation Accounting System (UPTAS) for budgeting and reporting. The governing board determines how to allocate the maximum amount of funds for which they are eligible, to meet the transportation needs of the service area for the fiscal year. The administrative funding (with the exception of G481 central services [indirect cost], G452 vehicle insurance, G371 marketing, G372 promotional items, and G395 Training [employee development]), allocated to the system can be budgeted at the discretion of the system, utilizing eligible UPTAS cost categories (Object Codes).

**Indirect Cost Plans** - Under Federal and State funded grant programs, recipients may incur costs of both a direct and indirect nature. Sub-recipients who seek federal or state funding for indirect costs must have an approved indirect cost plan (cost allocation plan) and an approved indirect cost rate. A cost allocation plan is required if a grantee desires to charge indirect program-related costs. The Public Transportation Division requires each sub-recipient requesting central services (indirect costs) in their CTP budget to submit a copy of their most recently audited cost allocation plan and obtain an approved indirect cost rate prior to submitting their grant application.

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**NOTE:** Indirect cost is an eligible operating expense for small fixed route, regional transportation systems, and urban-rural consolidated transportation systems. Grantees must have an **approved cost allocation plan and indirect cost rate prior to submitting their grant application.**

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**Program Auditing** -The Public Transportation Division is responsible for providing program monitoring and oversight to ensure that Federal/State funds are used for the intended purpose. This is accomplished through various onsite program monitoring and evaluation tools including but not limited to: Maintenance Reviews, Site Visits, Compliance Reviews, and attendance at TAB meetings. In addition, the Community Transportation Program is subject to the OMB A-133 single audit requirement. The department's Office of Inspector General periodically conducts site visits to audit expenditures of the local Community Transportation Grant program subrecipient.

### Administrative Budgets

Applicants are expected to carefully consider administrative budget request submissions. A careful review of actual line item expenditures over the past 2-3 years should play an integral role in determining current budget request. Applicants must cap their administrative budget requests to the FY15 approved budgets. PTD reserves the right to decrease the FY16 administrative allocation for those applicants that have significant unexpended administrative funds over the past two fiscal years and for budget line costs that appear excessive.

**Vehicle insurance** is an allowable administrative expense in the CTP application. Only active revenue vehicles are eligible for vehicle insurance cost participation by PTD. The applicant will be required to submit the following documentation that will be used to determine the PTD financial participation level for vehicle insurance:

- Certificate of Insurance - verifying liability limits, and the deductible amount,
- Auto Schedule – a list of the vehicles insured and the cost associated with insuring each vehicle at the required levels. The PTMS cannot be used as a substitute for the Auto Schedule.

The applicant should request this information from their insurance provider. PTD will cap reimbursement to the federal and state share of 85% of the actual annual premium cost, up to a maximum annual premium cost of \$2,500 per revenue vehicle.

**Training - Employee Education Expenses (Object Code 395)** – These funds are intended to support training and development activities for community transportation systems' employees. Eligible employee training expenses include: registration fees, tuition, books and materials for approved courses; travel, lodging and meals related to approved training activities; fees for purchase or rental of Video or CD-ROM training or fees for participation in Internet or world wide web based training courses (excluding basic Internet service provider fees); and instructor fees and materials cost for approved courses. Employee Development funds may be used to support the travel and registration fees for no more than two drivers for the annual statewide Bus and Van Roadeo.

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**NOTE:** Travel expenses for Roadeo volunteers and judges must be paid from another source or the administrative travel line items (object codes 311, 312, and/or 314). Employee Development funds may not be used to defray the cost of salaries for staff attending a training course or conducting a training course for other system employees.

**IMPORTANT:** No costs that are actually or potentially associated with lobbying activities may be paid for using funds approved in the CTP grant in general and in Object Code 395 in particular. Applicants may not comingle approved activities eligible to be funded in this line item with any lobbying activities.

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The Public Transportation Division will issue minimum training standards for all community transportation systems that receive state financial assistance from the department.

**Marketing and Promotional Items** – Applicants are required to budget Marketing (Object Code 371) and Promotional Items (Object Code 372) at designated levels. The amount in Object Code 371 must be a minimum of 2% of the total of administrative funding request minus vehicle insurance. Applicants should thoroughly evaluate their marketing needs to determine if more than the 2% minimum should be budgeted. Additionally, funding requests for Object Code 372 cannot exceed 25% of the budgeted amount for Object Code 371.

### Capital Budgets

All rural transportation systems will be eligible for capital assistance funds. A Capital Replacement Schedule is included in Appendix A of this document. ASSETS THAT HAVE MET USEFUL LIFE WILL NOT AUTOMATICALLY BE REPLACED. The Capital Replacement Schedule represents the minimum threshold for replacement consideration unless the applicant can document that a capital item has a history of mechanical failure, is un-repairable or that it is financially prohibitive to repair the item.

**Expansion Vehicles and Replacements** - Each applicant has been required to provide a current Public Transportation Management System (PTMS) which includes two inventories, one for Other Capital and the other for Rolling Stock. The Regional Mobility Development Specialists will perform a capital assessment to determine the system's fleet needs. Several technical tools such as the Vehicle Utilization Data Analysis, spare ratios, lift-equipped vehicle ratio, operating statistics, agency contracts, and other data will be used to evaluate vehicle usage and needs. Once the recommended fleet size has been determined through the capital assessment process, vehicles may be designated for disposition instead of being replaced. The applicant is required to enter written justification for Expansion Vehicles in No. 13 and 14 of the System Description form. Those systems having requested projects under the STI process in FY15 for State Match for FY16 should attach all three page of the project funding request form in the application. If the applicant has not applied previously nor is awarded STI State Match funds, other sources of matching funds will be necessary.

**Other Capital, Advanced Technology and Baseline Technology** – Applicants should consult the Capital Replacement Schedule before requesting any replacements of Other Capital or Advanced/Baseline Technology. Appendix C lists the minimum specifications for technology items. New Advanced Technology users must have completed the Advanced Technology Pre-Application process with ITRE. Current Advanced Technology users may request to replace existing Advanced Technology items as necessary. Any system requesting expansion vehicles should also request vehicle security and surveillance equipment and any other advanced technology items currently used. The applicant must provide one (1) retail estimate per item if they request funding to replace or purchase Other Capital or Advanced/Baseline Technology. The estimate will determine the amount of funding recommended by the reviewer. Some Object Codes in the Other Capital and Baseline Technology budgets include the maximum cost in which PTD will participate. Requests for funding cannot exceed these amounts per item. The applicant is required to enter written justification in No. 14 of the System Description form for Advanced/Baseline Technology; Radio Equipment; and Telephone Equipment.

### Operating Budgets

Applicants must cap their operating budget requests to the FY15 approved budgets. PTD reserves the right to decrease the FY16 operating allocation for those applicants that have significant unexpended operating funds over the past two fiscal years and for budget line costs

that appear excessive. Section 5311 operating funds can ONLY be used to support rural general public routes (RGP).

**RGP DEFINITION:** Service provided on a repetitive, fixed-route schedule or deviated fixed-route schedule basis along a specific route for pick up and delivery of passengers to specific locations; each fixed-route trip serves the same origins and destinations, unlike demand responsive, taxicabs, or subscription service.

Operating Expenses - Operating expenses are considered those costs directly related to system operations. Eligible items are defined as stated in the UPTAS manual and State Management Plan.

Net operating expenses are eligible for assistance. Net operating expenses are those expenses that remain after the provider subtracts operating revenues from eligible operating expenses. Operating revenues must include farebox revenues. Farebox revenues include fares paid by riders who are later reimbursed by a human service agency or other user-side subsidy arrangement. Farebox revenues do not include payments made directly to the transit system by human service agencies to purchase service. However, purchase of transit passes or other fare media for clients would be considered farebox revenue. A voluntary or mandatory fee that a college, university, or similar institution imposes on all its students for free or discounted transit service is not farebox revenue. Farebox revenue must be used to reduce total operating expenses (treated as revenue).

Funds received pursuant to a service agreement with a State or local social service agency or a private social service organization may be used as local match. Income from contracts to provide human service transportation may be used either to reduce the net project cost (treated as revenue) or to provide local match for Section 5311 operating assistance. In either case, the cost of providing the contract service is included in the total project cost.

The manner in which a subrecipient applies income from human service agencies to a project affects the calculation of net operating expenses and, therefore, the amount of Section 5311 operating assistance the project is eligible to receive.

Sources of Local Match. Local match for the remainder of net project costs may be provided from:

- An undistributed cash surplus, a replacement cash fund or reserve, a service agreement with a State or local social service agency or a private social service organization; or
- Amounts appropriated or otherwise made available to a department or agency of the Government (other than the [U.S.] Department of Transportation) that are eligible to be expended for transportation.

Examples of non-Federal sources that may be used for any or all of the local share include: State or local appropriations; dedicated tax revenues; private donations; and net income generated from advertising and concessions.

Subrecipients may use funds from other non-DOT Federal agencies (e.g., employment training, aging, community services, vocational rehabilitation services, and TANF) for the entire local match if the other agency makes the funds available to the recipient for the purposes of the project. Any non-DOT Federal funds used as local match must be used for activities included in total net project costs of this grant.

Net Operating Expenses = Total Eligible Operating Expenses – Fare Revenues

*Cost Participation:* The Federal share for net-operating expenses may not exceed 50%.

**ONLY the systems listed below are eligible for 5311 OPERATING Funds**

Small Fixed Route Systems	Regional Systems	Urban/Rural Consolidated Systems
NOTE: Increases in operating assistance are provided consistent with percentage increases in the State’s Governor’s Apportionment through the Section 5307 Program and/or at the discretion of PTD.	NOTE: Section 5311 operating funds are also provided to the regional transportation systems listed below to support rural general public routes as defined above.	NOTE: Section 5311 operating funds will be available to the systems listed below to support <u>GENERAL PUBLIC ROUTES</u> in the non-urbanized area. Consolidated urban/rural transportation systems will use a cost allocation based on urban/rural miles and hours from FY 2013 Operating Statistics to allocate any joint urban/rural expenses and determine the rural share eligible for Section 5311 funding.
<b>WILSON TRANSIT</b> City of Wilson	<b>ICPTA</b> Albemarle Regional Health Services	<b>GATEWAY</b> Goldsboro-Wayne Transportation Authority
<b>SALISBURY TRANSIT</b> City of Salisbury	<b>CPTA</b> Choanoke Public Transportation Authority	<b>WAVE TRANSIT</b> Cape Fear Public Transportation Authority
<b>AppalCART</b> Town of Boone and Watauga County	<b>KARTS</b> Kerr Area Transportation Authority	<b>APPLE COUNTRY TRANSIT</b> Western Carolina Community Action, Inc.
	<b>RCATS</b> Randolph County Senior Adults Association, Inc.	<b>TAR RIVER TRANSIT</b> City of Rocky Mount (operates in a region)
	<b>YVEDDI</b> Yadkin Valley Economic Development District, Inc.	<b>GREENWAY PUBLIC TRANSPORTATION</b> Western Piedmont Regional Transit Authority (operates in a region)
		<b>CARTS</b> Craven County

**Facility Safety and Security Improvement Budgets** - Applicants will be eligible to request facility *SAFETY AND SECURITY IMPROVEMENT* assistance to address safety and compliance with federal and state regulations. Facility improvement/repairs funding is available only for a facility owned by the applicant and occupied by the transit system.

**NOTE: DOCUMENTATION TO INCLUDE WITH APPLICATION**

- A copy of the deed of ownership must be provided to the Public Transportation Division (PTD) with the safety and/or security renovation budget request.
- An estimate is required if funding is applied for in the application.

## Appendix A

# CAPITAL REPLACEMENT SCHEDULE

**Note:** Assets that have met their useful life will *not* automatically be replaced. This schedule represents the minimum threshold for replacement consideration. Listed capital items are illustrative and not exhaustive. **Effective 7/1/2012**

CATEGORY CAPITAL ITEMS	MINIMUM REQUIREMENTS	MINIMUM DOCUMENTATION REPLACEMENT CONSIDERATION
<b>MAJOR FACILITY RENOVATIONS AND NEW CONSTRUCTION</b>	<b>40 years</b>	
<ul style="list-style-type: none"> <li>▪ Building Purchase</li> <li>▪ Facility Construction</li> </ul>		<b>Note:</b> Major Renovation involves the purchase of an existing building and complete refurbishing of the building. <b>Needs Assessment required.</b> Plans and specs would be required.
<b>OFFICE FURNITURE</b>	<b>12 Years</b>	
<ul style="list-style-type: none"> <li>▪ Desk</li> <li>▪ Bookcase</li> <li>▪ File Cabinet</li> <li>▪ Chairs</li> <li>▪ Conference Table</li> <li>▪ Safe (Fireproof) (25 yrs.)</li> </ul>		<ul style="list-style-type: none"> <li>○ 1 retail estimate</li> <li>○ Description of need for replacement</li> </ul>
<b>OFFICE EQUIPMENT</b>	<b>5 Years</b>	
<ul style="list-style-type: none"> <li>▪ Fax Machine</li> <li>▪ Copier</li> <li>▪ Calculator</li> <li>▪ Etc.</li> </ul>		<ul style="list-style-type: none"> <li>○ 1 retail estimate</li> <li>○ Description of need for replacement</li> </ul>
<b>AUDIO VISUAL EQUIPMENT</b>	<b>10 Years</b>	
<ul style="list-style-type: none"> <li>▪ VCR/DVD</li> <li>▪ TV</li> <li>▪ Camcorder</li> <li>▪ Etc.</li> </ul>		<ul style="list-style-type: none"> <li>○ 1 retail estimate</li> <li>○ Description of need for replacement</li> </ul>
<b>BASELINE TECHNOLOGY</b>	<b>5 Years</b>	
<ul style="list-style-type: none"> <li>▪ Computer</li> <li>▪ Printer</li> <li>▪ Laptop (Includes Projector)*</li> <li>▪ Server</li> <li>▪ Scanner (6 yrs.)</li> </ul>		<ul style="list-style-type: none"> <li>○ 1 retail estimate</li> <li>○ Description of need for replacement in item #14 of project description</li> <li>* Will be considered if needed for presentations</li> </ul>
<b>SECURITY &amp; SURVEILLIANCE</b>	<b>7 Years</b>	
<ul style="list-style-type: none"> <li>▪ Video (facility and vehicles)</li> <li>▪ Cameras</li> <li>▪ DVR</li> <li>▪ Wireless unit</li> <li>▪ Antenna</li> </ul>		<ul style="list-style-type: none"> <li>○ 1 retail estimate</li> <li>○ Description of need for replacement</li> </ul>
<b>COMMUNICATIONS EQUIPMENT</b>	<b>6 Years</b>	
<ul style="list-style-type: none"> <li>▪ Radio units</li> <li>▪ Base Station</li> <li>▪ Cell phones</li> <li>▪ Antenna</li> <li>▪ Repeater</li> </ul>		<ul style="list-style-type: none"> <li>○ 1 retail estimate</li> <li>○ Description of need for replacement in item #14 of project description</li> </ul>
<b>MAINTENANCE EQUIPMENT &amp; FIXTURES</b>	<b>12 Years</b>	
<ul style="list-style-type: none"> <li>▪ Roller cabinets</li> <li>▪ Portable tool stands</li> <li>▪ Compressors- (5 yrs.)</li> <li>▪ Hoists- (10 yrs.)</li> <li>▪ Bus washers- (10-15 yrs.)</li> <li>▪ Diagnostic equip</li> <li>▪ Lift truck</li> <li>▪ Engine stands</li> <li>▪ Brake lathes</li> <li>▪ Etc.</li> </ul>		<ul style="list-style-type: none"> <li>○ Only Systems with in-house Maintenance Garage are eligible</li> <li>○ 1 retail estimate</li> </ul>
<b>SUPPORT VEHICLES</b>		
<ul style="list-style-type: none"> <li>▪ Trucks - Light Duty (under 12,500 lbs. g.v.w.)</li> </ul>	<b>7 Years</b>	<ul style="list-style-type: none"> <li>○ Only Systems with in-house maintenance garage are eligible</li> <li>○ 1 retail estimate &amp; Justification for replacement</li> </ul>
<b>REVENUE VEHICLES</b>		
<b>Vans</b>		
<ul style="list-style-type: none"> <li>▪ Center Aisle Van (2010 or older)</li> <li>▪ Mini-Van</li> <li>▪ Conversion Van or Lift Van</li> </ul>	<b>115,000 miles</b>	<ul style="list-style-type: none"> <li>○ Updated PTMS</li> <li>○ Current VUD</li> <li>○ Once required fleet size has been determined through the capital assessment process, vehicles may be designated for disposition and not be eligible for replacement.</li> </ul>
<b>Buses</b>		
Light Transit Vehicle (LTV) 20-28 ft. - body on cut-a-way chassis	<b>145,000 miles</b>	
Medium (Medium duty chassis) Over 28 ft. - body on truck chassis	<b>7 Years or 200,000 miles</b>	
Medium (Heavy Duty Chassis) 30-35 ft.	<b>10 Years or 350,000 miles</b>	
Large (Heavy Duty Chassis) 35-40 ft.	<b>12 years or 500,000 miles</b>	

## Appendix B

### Public Hearing Notice Safe Harbor Requirement

County population includes at least 1,000 persons  
who speak Spanish at home and English "less than well"

Alamance County, North Carolina  
Alleghany County, North Carolina  
Bladen County, North Carolina  
Brunswick County, North Carolina  
Buncombe County, North Carolina  
Burke County, North Carolina  
Cabarrus County, North Carolina  
Catawba County, North Carolina  
Chatham County, North Carolina  
Cleveland County, North Carolina  
Columbus County, North Carolina  
Craven County, North Carolina  
Cumberland County, North Carolina  
Davidson County, North Carolina  
Davie County, North Carolina  
Duplin County, North Carolina  
Durham County, North Carolina  
Forsyth County, North Carolina  
Franklin County, North Carolina  
Gaston County, North Carolina  
Granville County, North Carolina  
Greene County, North Carolina  
Guilford County, North Carolina  
Harnett County, North Carolina  
Henderson County, North Carolina  
Hoke County, North Carolina  
Iredell County, North Carolina

Johnston County, North Carolina  
Lee County, North Carolina  
Lenoir County, North Carolina  
Lincoln County, North Carolina  
Mecklenburg County, North Carolina  
Montgomery County, North Carolina  
Moore County, North Carolina  
Nash County, North Carolina  
New Hanover County, North Carolina  
Onslow County, North Carolina  
Orange County, North Carolina  
Pender County, North Carolina  
Pitt County, North Carolina  
Randolph County, North Carolina  
Robeson County, North Carolina  
Rockingham County, North Carolina  
Rowan County, North Carolina  
Sampson County, North Carolina  
Stanly County, North Carolina  
Surry County, North Carolina  
Union County, North Carolina  
Vance County, North Carolina  
Wake County, North Carolina  
Wayne County, North Carolina  
Wilkes County, North Carolina  
Wilson County, North Carolina  
Yadkin County, North Carolina

## Appendix C

### **FY2014 Technology Specifications:** *(to be used as guideline for **minimum** standards only)* **Standards for Hardware, Software and Networking** *(Effective July 1, 2012)*

**These are MINIMUM standards only. NCDOT guidelines require that each computer last at least 5 years. If you plan on installing automated scheduling software or other technologies during the lifetime of the computer, please consult with the appropriate resource to determine minimum requirements.**

#### **Desktop**

<b>Operating System:</b>	Windows 7
<b>Processor:</b>	Intel I5-750
<b>Memory:</b>	4.0GB or higher
<b>Hard Drive (s):</b>	80G, partitioned so C: drive is for programs and D: drive is for data
<b>Software:</b>	Microsoft Office Professional 2010
<b>Video Card:</b>	GeForce GTS250 1GB/Radeon HD4850 512MB
<b>Network Card:</b>	100/1000 Mbps
<b>UPS Backup/Surge Protection:</b>	Multi-outlet AC Surge Protector with power supply backup (if necessary)
<b>Multimedia Devices:</b>	Pair of desktop speakers (if not included with monitor), Microphone, optional Camera
<b>Monitor:</b>	Any standard monitor capable of display in 1024x768 or greater. Purchase larger monitors if required by specific applications.
<b>Other Drives:</b>	CD/DVD ROM Drive
<b>Anti-Virus Software:</b>	Any industry standard anti-virus software
<b>Service Program:</b>	3-year warranty with on-site service

#### **Network**

<b>Configuration:</b>	100/1000 MB using switches (no hubs), TCP/IP Protocol
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#### **Server**

All server specifications are minimums only. Servers should be expandable to enable increases in memory, processors, hard drive, etc.

<b>Operating System:</b>	Microsoft Windows Server 2008
<b>Database Software:</b>	Microsoft SQL Server 2005 SP2 or 2008 Standard (if necessary)
<b>Network Card:</b>	(2) 100/1000 MB
<b>Processor Type:</b>	Intel Xenon 2.5Ghz or higher
<b>Memory:</b>	12 GB
<b>Hard Drive(s):</b>	300 GB
<b>Monitor:</b>	15" or larger
<b>Graphics Card:</b>	64MB or greater
<b>Other Drives:</b>	CD/DVD ROM
<b>Anti-Virus Software:</b>	Any industry standard anti-virus software
<b>Service Program:</b>	3-year warranty with on-site service

## Appendix D

### REGIONAL MOBILITY DEVELOPMENT SPECIALISTS CONTACT INFORMATION

<b>CAROLYN FREITAG</b> 919-707-4677 <a href="mailto:cmfreitag@ncdot.gov">cmfreitag@ncdot.gov</a> <b>DISTRICT 8</b>	<b>SHAWN BLANCHARD</b> 919-707-4694 <a href="mailto:sablanchard@ncdot.gov">sablanchard@ncdot.gov</a> <b>DISTRICT 7</b>	<b>KEN BAKER</b> 919-707-4688 <a href="mailto:kabaker2@ncdot.gov">kabaker2@ncdot.gov</a> <b>DISTRICT 6</b>	<b>TAMRA SHAW</b> 919-707-4679 <a href="mailto:tshaw@ncdot.gov">tshaw@ncdot.gov</a> <b>DISTRICT 5</b>
BERTIE (CPTA) CAMDEN (ARHS) CHOWAN (ARHS) CURRITUCK (ARHS) DARE EDGECOMBE GATES HALIFAX (CPTA) HERTFORD (CPTA) HYDE MARTIN NASH NORTHAMPTON (CPTA) PASQUOTANK (ARHS) PERQUIMANS (ARHS) TYRRELL WASHINGTON	BEAUFORT CARTERET CRAVEN (CARTS) DUPLIN GREENE JONES (CARTS) LENOIR NEW HANOVER ONSLOW PAMLICO (CARTS) PITT WAYNE	BLADEN BRUNSWICK COLUMBUS CUMBERLAND HARNETT HOKE JOHNSTON PENDER RICHMOND ROBESON SAMPSON SCOTLAND WILSON	CHATHAM DURHAM FRANKLIN (KARTS) GRANVILLE (KARTS) LEE MOORE ORANGE PERSON VANCE (KARTS) WAKE WARREN (KARTS)
<b>JAMES LIM</b> 919-707-4693 <a href="mailto:jlim@ncdot.gov">jlim@ncdot.gov</a> <b>DISTRICT 4</b>	<b>PAM HAWLEY</b> 336-760-3494 <a href="mailto:phawley@ncdot.gov">phawley@ncdot.gov</a> <b>DISTRICT 3</b>	<b>CRAIG HUGHES</b> 336-903-9245 <a href="mailto:crhughes1@ncdot.gov">crhughes1@ncdot.gov</a> <b>DISTRICT 2</b>	<b>NICK SCHEUER</b> 919-707-4695 <a href="mailto:nrscheuer@ncdot.gov">nrscheuer@ncdot.gov</a> <b>DISTRICT 1</b>
ANSON CABARRUS CLEVELAND GASTON IREDELL LINCOLN MECKLENBURG ROWAN STANLY UNION	ALAMANCE CASWELL DAVIDSON DAVIE (YVEDDI) FORSYTH GUILFORD MONTGOMERY RANDOLPH ROCKINGHAM STOKES (YVEDDI) SURRY (YVEDDI) YADKIN (YVEDDI)	ALEXANDER (WPRTA) ALLEGHANY ASHE AVERY BURKE (WPRTA) CALDWELL (WPRTA) CATAWBA (WPRTA) MADISON MCDOWELL MITCHELL WATAUGA YANCEY	BUNCOMBE CHEROKEE CLAY EASTERN BAND OF CHEROKEE INDIANS (EBCI) GRAHAM HAYWOOD HENDERSON JACKSON MACON POLK RUTHERFORD SWAIN TRANSYLVANIA

ARHS - ALBEMARLE REGIONAL HEALTH SERVICES  
 CPTA – CHOANOKE PUBLIC TRANSPORTATION AUTHORITY  
 EBCI – EASTERN BAND OF CHEROKEE INDIANS  
 KARTS - KERR AREA REGIONAL TRANSPORTATION SYSTEM  
 WPRTA – WESTERN PIEDMONT REGIONAL TRANSIT AUTHORITY  
 YVEDDI – YADKIN VALLEY ECONOMIC DEVELOPMENT DISTRICT, INC.

Update 9.10.14