

# North Carolina Department of Transportation



## FY18 Community Transportation Program Application Package

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

August 29, 2016

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

### Announcement

There will be a separate Consolidated Capital Call for Projects for all capital projects.

### 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 FTA Circular C 9040.1G, the definition is:

*"Public transportation means 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 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 and the State Human Service Transportation Management Program into a single CTP funding application. **For FY2018 there will be a separate Consolidated Capital Call for Projects for all capital projects.**

## Timetable

### Application Process for FY18

DATES	TASK/EVENT
August 29, 2016	▪ Grant Application Package Distributed
Sept. 2 – Sept. 7, 2016	▪ Partner Connect outage/unavailable
November 4, 2016	▪ Grant Application Due to NCDOT (including Project Funding Request Form)
November 11, 2016	▪ Partner Connect will close and no applications will be accepted after this date
Nov. 2016 – Jan. 2017	▪ Grant Application Review Process
Feb. – March 2017	▪ PTD makes funding recommendation to NCDOT BOT
April – June 2017	▪ FTA grant review and award for federal funding
July 1, 2017	▪ Effective date of one year grant agreement

## MAP-21 & FAST Act 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). 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>.

On December 4, 2015, President Obama signed the Fixing America’s Surface Transportation (FAST) Act, reauthorizing surface transportation programs through Fiscal Year 2020.

## ELIGIBILITY

### Designated Applicant

North Carolina’s coordinated approach to service delivery currently allows a single application within each designated service area. Section 5311 funding is only provided to a single sub recipient within each geographical area (county or counties served by a regional transit system). Originally, the transit system’s service area for rural operations was established by the governing body in the initial Transportation Development Plan (TDP) for the service area and approved by the NCDOT. PTD will implement the adoption of a Governing Board resolution that designates the single designated 5311 applicant on a 5 year cycle. This cycle is 2018, 2023, 2028 and so forth.

### 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>
<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.	<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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- All TAB or Governing Board members must sign a Conflict of Interest form and the signed form(s) must be attached as an application document.
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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. **In addition to Federal compliance requirements, PTD requires all transit systems to:**

- 1)** submit a 5-year budget with account codes mapped to PTD G-codes;
- 2)** use automated scheduling software;
- 3)** maintain 80% or greater compliance in AssetWorks;
- 4)** submit required reports such as Charter, OpStats, ROAP, etc...by the designated due date;
- 5)** submit a Fully Allocated Cost Model;
- 6)** submit invoices on a monthly or quarterly basis;
- 7)** participate in 2 official site visits per fiscal year with Mobility Development Specialist.

**ALL the documents below must be completed and returned as part of the CTP application. Documents will be uploaded as “Miscellaneous” documents to the Drop Box in Partner Connect. Where applicable, documents that apply to multiple budgets i.e., Authorizing Resolution, Title VI Report, etc...only have to be uploaded one time.**

- 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	<b><i>Authorizing Resolution</i></b>	Each applicant will accurately complete and submit with its grant application a Governing Board Approved Community Transportation Program <b>OR</b> Human Service Transportation authorizing resolution, whichever is applicable. 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	<b><i>Certifications and Assurances, Attorney’s Affirmation, Lobbying Certification, Equivalent Service Certification, and 5333(b) Labor Warranty</i></b>	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.  Certifications and Assurances documents are received from the FTA. All State and Federal certification documents will be distributed as a package upon receipt of federal documents.
3	<b><i>Title VI Certification</i></b>	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	<b><i>Disadvantaged Business Enterprise (DBE) Certification</i></b>	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><i>DBE/MBE/WBE/HUB Anticipated Vendor</i></b>	Expected DBE/MBE/WBE/ and HUB to be used in FY2018.

<i>Awards</i>	
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6	<i>Public Hearing Notice</i>	<p>As part of the CTP application, a public hearing must be held in front of the applicant's governing body. The public hearing may cover multiple grant requests to include 5311, Appalachian Program, 5310 Enhanced Mobility for Seniors and Individuals with Disabilities, and ROAP. 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 A <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	<i>Public Hearing / Public Hearing Record / Public Hearing Minutes</i>	<p>The applicant must hold a public hearing on the proposed project(s) to allow members of the community the opportunity to comment on transportation needs and the grant application. Each grant request (i.e., 5311, Appalachian, 5310, or ROAP) must be addressed individually with the hearing formally opened and closed, and reflected in the minutes. 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 <u>or</u> 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 FY2018 Community Transportation Program will <u>be</u> available as of July 1, 2017 for FY2018, which has a period of performance of July 1, 2017 – June 30, 2018.
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>	Threshold Requirements: Any applicant, recipient, or sub-recipient is required to comply with program requirements in Chapter III if it meets the following thresholds: <ul style="list-style-type: none"> <li>a. Employees 50 or more transit-related employees*; <b>and</b></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; <b>or</b></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>	<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. <b>In FY2018 no projects have been approved for funding in the Strategic Transportation Investment (STI) process. This includes Expansion Vehicles, Facilities, and Fixed Guideway.</b>
14	<i>Conflict of Interest Form(s)</i>	All TAB and/or Governing Board members must sign a Conflict of Interest form. Signed forms must be scanned and uploaded.
15	<i>5311 Designee Certification Form</i>	Certification resolving there will be one operator and applicant for the coordinated community transportation system for FY2018 – FY2022

## [Procurement and Third Party Contracting](#)

Procurement and third party contracting activities are primarily the responsibility of the subrecipient. Subrecipients should follow established local procedures and applicable state or federal standards in accordance with the North Carolina Consolidated Procurement Code (as amended). The procurement and contract standards set forth under N.C. G. S. 143 Article 8 and FTA Circular 4220.1F shall apply to the procurement of all goods and services the sub-recipient will purchase under the project contract.

For more information on procurement and third party contracting refer to item “P”, *Procurement and Third Party Contracting*, and item “Q”, *Circular 4220.1F, Third Party Contracting Guidance*.

## [Application Process](#)

The FY2018 CTP grant application must be transmitted through the online **NCDOT Grants Module no later than 11:59 pm EST, Friday, November 4, 2016. Partner Connect will close on**

**Friday November 11, 2016 and no applications will be accepted after this date. An incomplete application will not be reviewed.** The documents identified in the Application Submission Checklist must be submitted as attachments in the **Drop Box** within Partner Connect. 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.

**All documents are to be uploaded as “Miscellaneous” in the Drop Box and must use the following naming convention: SystemName.FY.DocumentName; i.e. “CarolinaCounty.FY2018.TitleVIReport”. Mobility Development Specialists will review uploaded documents and attach them to the appropriate budget forms as necessary. Refer to item “R” in the application package for Drop Box document uploading instructions.**

## 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%	0%	50% or more

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

**Community Transportation Systems in Urbanized Area Counties** – For the FY2018 Call for Projects, a funding allocation formula will be used. The funding formula for Fiscal Year 2018 provides 1) a base level of \$30,000 for each county in the 5311-funded transit system’s service area, 2) 10% of the formula is for performance and 3) the remaining funds are based on the amount of funds that were generated by each transit system. The remaining funds are distributed based on the FTA Apportionment formula which is how FTA determines the apportionment to each state. If the formula amount apportioned to a transit system was below FY 2017 totals, state or other federal funds were added to equal no more than a 10% reduction. This 10% reduction will continue each year until the funding matches the earned amounts. Ten percent (10%) of the funding will be based on performance as well. If you were above the apportioned amount, you will receive a slight increase. This funding formula will allow for future incorporation of performance criteria.

**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, Drug and Alcohol 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 sub-recipient.

**Safety & Security Compliance Reviews** – A Safety & Security Plan is required from the systems and must be annually certified by the Accountable Executive via a formal process. PTD performs a Safety & Security Compliance Review every three (3) years and the plan will be revisited on a triennial basis. If the system makes any updates to their plan, Board approval is required. A Safety Officer and an Accountable Executive must be identified in the Safety & Security Plan.

## FUNDING ASSISTANCE

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### 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. For the FY2018 Call for Projects, an interim funding allocation formula will be used. The interim funding formula provides 1) a base level of \$30,000 for each county in the 5311-funded transit system's service area, and 2) allocates the remaining funds based on the amount of funds that were generated by each transit system. The remaining funds are distributed based on the FTA Apportionment formula which is how FTA determines the apportionment to each state. If the amount apportioned to a transit system was below FY 2017 totals, state or other federal funds were added to bring the allocation to back to that level. If you were above the amount, you will receive a slight increase. Funding allocations will be provided to each transit system through their Mobility Development Specialist.

**\*\*\* System requests may not go over the federal and state amount allocated.**

**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.

**Note: All Transit systems are required to have a minimum amount of insurance, \$1.5 Million per vehicle, but transit systems that have 16 passenger vehicles or larger in their fleet must have insurance coverage of \$5 Million.**

**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.

**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 co-mingle approved activities eligible to be funded in this line item with any lobbying activities.

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. According to the 2014 State Management Plan, State Role in Program Administration, “Technical Management Assistance” page 72, “Systems are required to spend 2% of the total of their Section 5311 administrative funding request, minus vehicle insurance, on marketing.” 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.

### Operating Budgets

Applicants must ensure their operating budget requests match the FY18 approved budgets. Section 5311 operating funds can ONLY be used to support rural general public routes (RGP).

**RGP DEFINITION:** Intended to provide transportation services for individuals from the county who do not have a human service agency or organization that will pay for the transportation service. The passenger’s origin or destination must be in the rural area.

**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.

**\*\*\* System requests may not go over the federal and state amount allocated.**

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.

**Note:** Fare box revenue is not an applicable source of local match.

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 STATE OPERATING Funds and must apply for a development grant**

<b>Small Fixed Route Systems</b>	<b>Regional Systems</b>	<b>Urban/Rural Consolidated Systems</b>
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>CPTA</b> Choanoke Public Transportation Authority	<b>APPLE COUNTRY TRANSIT</b> Western Carolina Community Action, Inc.
<b>AppalCART</b> Town of Boone and Watauga County	<b>KARTS</b> Kerr Area Transportation Authority	<b>TAR RIVER TRANSIT</b> City of Rocky Mount (operates in a region)
	<b>RCATS</b> Randolph County Senior Adults Association, Inc.	<b>GREENWAY PUBLIC TRANSPORTATION</b> Western Piedmont Regional Transit Authority (operates in a region)
	<b>YVEDDI</b> Yadkin Valley Economic Development District, Inc.	<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

### 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 B

### REGIONAL MOBILITY DEVELOPMENT SPECIALISTS ASSIGNMENTS

<b>CAROLYN FREITAG</b> 919-707-4677 <a href="mailto:cmfreitag@ncdot.gov">cmfreitag@ncdot.gov</a> DISTRICT 8	<b>JENNIFER BAPTISTE</b> 919-707-4679 <a href="mailto:jcbaptiste@ncdot.gov">jcbaptiste@ncdot.gov</a> DISTRICT 7	<b>CRYSTAL ODUM</b> 919-707-4682 <a href="mailto:clodum@ncdot.gov">clodum@ncdot.gov</a> DISTRICT 6	<b>RYAN MAYERS</b> 919-707-4694 <a href="mailto:ramayers@ncdot.gov">ramayers@ncdot.gov</a> DISTRICT 5
BERTIE (CPTA) CAMDEN (ARHS) CHOWAN (ARHS) CURRITUCK (ARHS) DARE EDGECOMBE (TRT) GATES HALIFAX (CPTA) HERTFORD (CPTA) HYDE MARTIN NASH (TRT) 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 (SEATS) SAMPSON SCOTLAND WILSON	CHATHAM DURHAM FRANKLIN (KARTS) GRANVILLE (KARTS) LEE MOORE ORANGE PERSON VANCE (KARTS) WAKE WARREN (KARTS)
<b>Phillip Vereen (interim)</b> 919-707-4690 <a href="mailto:plvereen@ncdot.gov">plvereen@ncdot.gov</a> DISTRICT 4	<b>CASSANDRE HAYNESWORTH</b> 919-707-4688 <a href="mailto:chaynesworth@ncdot.gov">chaynesworth@ncdot.gov</a> DISTRICT 3	<b>Phillip Vereen (interim)</b> 919-707-4690 <a href="mailto:plvereen@ncdot.gov">plvereen@ncdot.gov</a> DISTRICT 2	<b>Phillip Vereen (interim)</b> 919-707-4690 <a href="mailto:plvereen@ncdot.gov">plvereen@ncdot.gov</a> DISTRICT 1
ANSON CABARRUS CLEVELAND GASTON IREDELL LINCOLN MECKLENBURG ROWAN STANLY UNION	ALAMANCE CASWELL DAVIDSON DAVIE (YVEDDI) FORSYTH GUILFORD MONTGOMERY (RCATS) RANDOLPH (RCATS) ROCKINGHAM STOKES (YVEDDI) SURRY (YVEDDI) YADKIN (YVEDDI)	ALEXANDER (WPRTA) ALLEGHANY ASHE AVERY BURKE (WPRTA) CALDWELL (WPRTA) CATAWBA (WPRTA) MADISON MCDOWELL MITCHELL WATAUGA WILKES (WTA) YANCEY	BUNCOMBE CHEROKEE CLAY EASTERN BAND OF CHEROKEE INDIANS (EBCI) GRAHAM HAYWOOD (MT PROJECTS) HENDERSON (WCCA) JACKSON MACON POLK RUTHERFORD SWAIN TRANSYLVANIA

ARHS - ALBEMARLE REGIONAL HEALTH SERVICES dba ICPTA – INTER-COUNTY PUBLIC TRANSPORTATION AUTHORITY  
 CARTS – CRAVEN AREA RURAL TRANSIT SYSTEM  
 CATS – CHARLOTTE AREA TRANSIT SYSTEM  
 CFPTA – CAPE FEAR PUBLIC TRANSPORTATION AUTHORITY (WAVE TRANSIT)  
 CPTA – CHOANOKE PUBLIC TRANSPORTATION AUTHORITY  
 EBCI – EASTERN BAND OF CHEROKEE INDIANS  
 FAST – FAYETTEVILLE AREA SYSTEM OF TRANSIT  
 GATEWAY or GWTA – GOLDSBORO-WAYNE TRANSIT AUTHORITY  
 KARTS - KERR AREA REGIONAL TRANSPORTATION SYSTEM  
 PART – PIEDMONT AUTHORITY FOR REGIONAL TRANSPORTATION  
 RCATS – REGIONAL COORDINATED AREA TRANSPORTATION SYSTEM (RANDOLPH)  
 SEATS – SOUTH EAST AREA TRANSIT SYSTEM (ROBESON)  
 TRT – TAR RIVER TRANSIT  
 WCCA – WESTERN CAROLINA COMMUNITY ACTION  
 WPRTA – WESTERN PIEDMONT REGIONAL TRANSIT AUTHORITY  
 WTA – WILKES TRANSIT AUTHORITY  
 YVEDDI – YADKIN VALLEY ECONOMIC DEVELOPMENT DISTRICT, INC.