

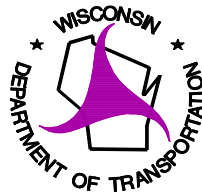
PUBLIC TRANSPORTATION

2012 OPERATING ASSISTANCE

URBAN AND NON-URBAN BUS **APPLICATION BOOKLET**



FOR:
STATE AID (85.20)
FEDERAL AID (SECTION 5311)



Issued August 2011

ALTERNATIVE ACCESSIBLE FORMATS OF THIS DOCUMENT WILL BE PROVIDED UPON
REQUEST

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* Exhibit is prepared as part of an Excel operating assistance spreadsheet found at:
<http://www.dot.wisconsin.gov/localgov/transit/ruralsmall.htm>.

☆ Exhibit is only required of applicants for federal Section 5311 funding.

What's different in the 2012 aid application?

- Chapter 85.205 of Wisconsin Act 32 (2011-2013 Biennium Budget) appropriated \$2.5 million to be distributed over each of the next two years for the maintenance of ADA paratransit service. Funds will be distributed to fixed-route bus systems in the State. Appendix D lists the distribution of these funds.
- Applicants are requested to attach a copy of the current ADA complementary paratransit plan for fixed route bus systems receiving federal Section 5311 operating assistance.
- Applicants are requested to now list contracting opportunities in addition to listing vendors with which you have contracts in Exhibit Q6★
- Applicants are requested to submit updated maintenance plans only if they have been revised since the previous application submittal. (Exhibit W)
- **New Exhibits-** WisDOT has added the following new exhibits to the application format to reduce the need for follow-up documentation after the application deadline.
 - Exhibit X – Title VI ★
 - Exhibit Y – Federal Financial Accountability and Transparency Act★
- **New Reports** – There are new reports that accompany exhibits in the application.
 - Federal Financial Accountability and Transparency Act★

★ Exhibit is only required of applicants for federal Section 5311 funding.

I. INTRODUCTION

This booklet is intended to outline the procedures for eligible applicants to apply to the Wisconsin Department of Transportation (WisDOT) for public transit operating assistance for a shared-ride taxi system under the State Urban Mass Transit Operating Assistance Program and/or the Federal Section 5311 Program for calendar year 2012.

Applicants in areas under 50,000 in population who will not receive state operating assistance

Eligible applicants should use this booklet to apply to WisDOT for federal operating assist under the Federal Section 5311 program. After WisDOT reviews and approves the operating budget, WisDOT will apply to the Federal Transit Administration (FTA) for Federal funding on behalf of eligible applicants.

Applicants in areas under 50,000 in population who will receive state operating assistance

Eligible applicants should use this booklet to apply to WisDOT for federal operating assist under the Federal Section 5311 program. After WisDOT reviews and approves the operating budget, WisDOT will apply to the Federal Transit Administration (FTA) for funding on behalf of eligible applicants. In addition, this application is used by applicants eligible for state operating assistance to apply to WisDOT for state operating assistance under the State of Wisconsin's 85.20 program.

Applicants in areas urbanized areas (over 50,000 in population)

Eligible applicants should use this booklet to apply to WisDOT for state operating assistance under the State of Wisconsin's 85.20 program. After WisDOT reviews and approves the operating budget and allocates the Governor's apportionment of Federal 5307 operating assistance, applicants must apply separately to FTA for Federal 5307 operating assistance.

Using this Application Booklet

A completed application consists of three parts:

- Completion of this application booklet – with relevant Exhibits A, K, L.M, N,O, P, Q, R, S, T, U, V, W,
- Completion of Excel spreadsheets – Exhibits B, D, E, F, F-1, G, H, I, J, and Q-6, and,
- For Section 5311 applicants, the completion of Federal Certification and Assurances, Exhibits P and Q.
- Exhibits are marked with a ☆ and should only be completed by those applying for Federal Section 5311 operating assistance.

This application booklet is not intended to provide detailed program information, rules and regulations.

More detailed information for the State of Wisconsin's State Urban Mass Transit Operating Assistance program can be found in TRANS 4 of the Wisconsin Administrative Code at <http://www.legis.state.wi.us/rsb/code/trans/trans004.pdf>

More detailed information on the State of Wisconsin's administration of the Federal Section 5311 program found in TRANS 6 of the Wisconsin Administrative Code at: <http://www.legis.state.wi.us/rsb/code/trans/trans006.pdf>

Additional Federal program guidance for transit systems funded with Federal Section 5311 program entitled “Nonurbanized Area Formula Program Guidance and Grant Application Instructions, “FTA Circular 9040.1F, can be found at http://www.fta.dot.gov/laws/leg_reg_circulars_guidance.html

Additional Federal program guidance for transit systems funded with Section 5307 program entitled, “Urbanized Area Formula Program: Program Guidance and Application Instructions,” FTA Circular 9030.1D can be found at http://www.fta.dot.gov/laws/leg_reg_circulars_guidance.html

Statement of Non-Discrimination

It is the policy of the Wisconsin Department of Transportation (WisDOT) to ensure full compliance with Title VI of the Civil Rights Act of 1964 and related statutes and regulations in all programs and activities.

Title VI and related statutes require that no person in the United States shall, on the grounds of race, color, national origin, sex, age or disability be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity receiving federal financial assistance.

Any person who believes that, in the course of business with a WisDOT program or service, he or she or any specific class of persons or entity has been subject to discrimination or retaliation prohibited by any of the federal or state Civil Rights statutes or common law principles, based upon race, color, national origin, sex, age or disability, may file a complaint. For more information, please see the WisDOT web site at <http://www.dot.wisconsin.gov/business/civilrights/complaint.htm>

or contact the WisDOT Title VI Officer, Wisconsin Department of Transportation, Civil Rights Compliance, 4802 Sheboygan Avenue, Room 451, PO Box 4765, Madison, WI 53707, 608-266-0208

II. PROGRAM ELIGIBILITY AND DEFINITIONS

A. State Urban Mass Transit Operating Assistance Program Definitions

The following definitions are taken from the administrative code.

Urban Area: Any area that includes a city or village having a population of 2,500 or more or an area that includes two American Indian reservations and that is served by a mass transit system operated by a transit commission.

Mass Transit System: An entity which provides the general public with passenger transportation services on a regular and continuing basis. Transportation services for the general public may be provided by buses, rail, shared-ride taxicabs or another conveyance. An agency providing transportation services exclusively for a subgroup of the general public is not a “mass transit system” for purposes of this chapter.

Urban Mass Transit System: A mass transit system providing at least two-thirds of its revenue

miles of service within the boundaries of an urban area.

Shared-ride Taxicab: A taxicab legally able to simultaneously transport passengers having different origins or destinations.

Eligible Applicant: A local public body in an urban area which is served by an urban mass transit system incurring an operating deficit.

Local Public Body: (a) Counties, municipalities or towns or agencies thereof; (b) Transit or transportation commissions or authorities and public corporations established by law or by interstate compact to provide mass transportation services or facilities; (c) Two or more of any such bodies acting jointly under s. 66.0301 Wis. Stats.

Paratransit Service: Comparable transportation service required by the federal Americans with Disabilities Act for individuals with disabilities who are unable to use fixed route transportation services.

B. State Urban Mass Transit Operating Assistance Program Information

In a given urban area, more than one local public body may support a shared-ride taxi system and may receive state aids under s. 85.20, Wis. Stats. The department will, however, contract with only one entity. That entity in turn contracts with the public bodies in other contributing communities to share the state aids received.

Operating assistance funds are available for calendar year 2012 to eligible applicants for public transportation projects where operating revenue is insufficient to cover eligible operating expenses. The operating project cost is the difference between the costs of operating an eligible public transportation service and the revenues derived from system operations. Operating assistance projects must meet the following eligibility requirements:

Eligible Applicants for State 85.20 operating assistance:

- Local public bodies or federally recognized Indian tribal government bodies in areas that include a city or village having a population of at least 2,500.
- In a given area, more than one local public body may support a shared-ride taxi system and may receive state operating assistance under s. 85.20, Wis. Stats. WisDOT will, however, accept a single application and execute a grant agreement with only one entity. That entity in turn contracts with the public bodies in other contributing communities to share the operating assistance received.

Eligible Applicants for State 85.205 Paratransit aids:

- Has the same meaning as Eligible Applicants for State 85.20 operating assistance.

Eligible Projects

Operating assistance funds are available for calendar year 2012 to eligible applicants for public transportation projects where operating revenue is insufficient to cover eligible operating expenses. The operating project cost is the difference between the costs of operating an eligible public transportation service and the revenues derived from system operations. Operating

assistance projects must meet the following eligibility requirements:

- 1) The project must be for passenger transportation service. At least two-thirds of the miles of service must be within the boundaries of the urban area in order for the project to be considered for the State of Wisconsin's program for operating assistance known as the "85.20 program."
- 2) The project transportation service must be provided on a regular and continuing basis.
- 3) The project transportation service must be open to the general public. Service provided exclusively for a particular subgroup of the general public (e.g. elderly, disabled, or school children) is not eligible.
 - a. Charter services as defined under 40 CFR 604 may not be provided with vehicles purchased under any Federal grant program unless it is a situation specifically exempted or an exception has been issued. See Exhibit S.
 - b. Local projects may not engage in school bus operations, exclusively for the transportation of students and school personnel, in competition with private school bus operators. Vehicles must remain open to the public at all times and be clearly marked as available for public use.
- 4) Fares must be collected for the project transportation service in accordance with established schedules.
- 5) The applicant must provide assurances that the local share of the project funding is available.
- 6) The applicant must provide assurances that the project meets all requirements described in the various exhibits under these application procedures.

C. Federal Section 5311 program for Small Urban and Rural Areas

Small Urban Transit Systems

This category includes all transit systems, both bus and shared-ride taxi, operating in urban areas with populations of at least 2,500, but not greater than 49,999. Other eligibility requirements are the same as defined in part A above. Systems in this category will use this booklet to apply for both state and Federal operating assistance. Based on administrative rules and available funding, the department will distribute funds such that the combination of Federal and state operating assistance cover an equal percentage of costs for all systems in this category applying for aid.

Rural Transit Systems

These systems, serving areas not eligible for state operating assistance, are

eligible for Federal operating assistance under the Federal Section 5311 program. Eligible applicants include public bodies, agencies thereof and recognized Native American tribes. Services may be provided directly by the applicant, or contracted to a private transportation provider. More than one public body may financially participate in a project, but one agency should take the lead role in preparing the application and contracting with WisDOT.

Any of the following types of organizations are eligible applicants for Section 5311 Operating Assistance:

- (1) Counties, municipalities or towns, or the agencies thereof;
- (2) Transit or transportation commissions or authorities and public corporations established by law or by interstate compact to provide mass transportation services and facilities;
- (3) Two or more of any such bodies acting jointly under s. 66.30 Wis. Stats.;
- (4) Native American tribes.

Operating assistance funds are available to eligible applicants for projects where operating revenue is not sufficient to cover eligible operating expenses. The operating project cost is the difference between the costs of operating an eligible public transportation service and the operating revenues derived from the project. Section 5311 funding can cover up to 50% of net eligible project costs (operating deficit), depending on the availability of funds. The other 50% of the operating deficit is local share. The local share may include cash or in-kind contributions. Any funds **except** U.S. DOT Federal transportation funds may be used as match.

An applicant wishing to use non-DOT Federal funds as match should contact the Federal or state agency administering such funds to determine any restrictions on their use as local share for the transportation project.

The following types of service are eligible to receive 5311 funding.

- a. Service intended to transport rural residents to small urban or urbanized areas.
- b. Service intended to transport passengers around the rural area.
- c. Service between small urban areas (under 50,000 population).
- d. Service between urbanized areas which serve at least one stop outside an urban area.
- e. The project transportation service may constitute an entire public transit system or may be an individual route of a larger system. A project route is established by the termini points listed in the provider's published schedules and the highway over which the service is provided. All service provided on the defined route will be included in the project.

Note: Service intended to transport urbanized area residents to a rural area is not eligible for funding under this program.

D. Operating Expenses for State and Federal Aid

Operating expenses are those expenses related to the day-to-day operation of the transit system. Eligible operating expenses include: labor, fringe benefits; services (e.g. legal, advertising); materials and supplies consumed (e.g. fuel and tires); utilities; insurance; taxes; purchased transportation service; license fees and lease costs. Federal acquisition regulations at 48 CFR Part 31 provide cost principles applicable to contracts with commercial organizations. Depreciation of capital assets is an eligible expense for private providers only, and then only under certain circumstances.

The following items are not eligible for operating assistance per Trans 6.03(b) of the Wisconsin Administrative Code:

- a) Depreciation will not be approved as an operating expense, based on a ruling from the FTA. Please do not include depreciation as an itemized expense, and the attachment mentioning depreciation has been removed. Contractors can consider applying for federal capital assistance under capital cost of contracting (FTA Circular 9030.1D, p.III-13), which can cover some of these depreciation expenses. For more information, contact the WisDOT 5311 program managers.
- b) Entertainment expenses.
- c) Fines and penalties.
- d) Bad debts.
- e) Charitable contributions.
- f) Interest expenses on debt.
- g) Self insurance tax.
- h) Costs of advisory councils, including meeting expenses and per diems.
- i) (For private mass transportation operators) Costs of Federal, state, and local income taxes.
- j) Indirect transit-related functions or activities of regional or local entities performed as a normal or direct aspect of general public administration (e.g., expenses of a City Council in considering transit matters, expenses of an MPO in programming formula funds).
- k) Expense for contingencies or capital acquisitions, including contributions to a capital reserve account or fund.
- l) Any portion of services funded by other state and Federal transportation grants.

E. Operating Revenue

- In determining operating revenue, the applicant should include all passenger revenue derived from the project service, as well as any other amounts collected or received for

providing public transportation under the project for the period January 1, 2012 to December 31, 2012.

- Operating revenue shall also include any unrestricted Federal, state or local funds received as a result of providing the project service and not used to match Section 5311 funds.
- Charter and package delivery operation expenses and income are assumed to be equal and therefore will not have any net financial effect on the project.

F. Deadlines

Eligible applicants desiring to participate in the State of Wisconsin's Urban Mass Transit Operating Assistance Program must submit an application on behalf of all local public bodies providing financial assistance for the operation of the transit system. Application deadlines and transmittal requirements are as follows:

FEDERAL SECTION 5311 PROGRAM:

Applications for Federal operating assistance (Section 5311) must be received by the department no later than **October 15, 2011**. No extensions to this deadline will be granted. The original application must be sent to the **Bureau of Transit, Local Roads, Railroads and Harbors**, with copies of the application sent to:

- a) Appropriate Regional Office of the Wisconsin Department of Health Services (see Appendix A)
- b) Area Agency on Aging (see Appendix B)
- c) Appropriate Regional Planning Commission, if necessary (see Appendix C)

STATE URBAN MASS TRANSIT ASSISTANCE PROGRAM:

Applications for state assistance ONLY must be received by the department no later than **November 15, 2011**. Applicants may request up to a 45-day extension of this due date. Extensions should be requested from the Bureau of Transit, Local Roads, Railroads and Harbors. The original application must be sent to the Bureau of Transit, Local Roads, Railroads and Harbors.

Please note that if public bodies apply to WisDOT for BOTH state and Federal (Section 5311) operating assistance, the deadline for both applications is October 15, 2011.

G. Participation in Statewide Consortium/Third Party Administrator

All existing members of the existing statewide drug and alcohol testing consortium and any new projects funded under this program will be required to participate in the drug and alcohol statewide testing consortium administered by WisDOT's approved Third Party Administrator that complies with 49 CFR Part 655. Additionally, the Recipient will produce any documentation necessary to establish its compliance with Part 655, and permit any authorized representative of

the United States Department of Transportation or its operating administrations and/or the State of Wisconsin, Department of Transportation or its authorized agents, to inspect the facilities and records associated with the implementation of the drug and alcohol testing program as required under 49 CFR Part 655 and review the testing process.

The recipient is responsible for and shall pay all fees assessed by WisDOT's Third Party Administrator pursuant to any agreement between the recipient and WisDOT's Third Party Administrator. WisDOT shall not be responsible for paying any portion of such fees. Such fees are, however, program expenses that are eligible for reimbursement as operating expenses.

Additional Application Information

Certain parts of the booklet apply only to a specific type of transit system (e.g., those applying for Section 5311 operating assistance). The following points help clarify which portions of the booklet are applicable to your transit system:

- “Section 5311 applicants” refers to shared-ride taxi, bus, and rural transit systems in small urban or rural areas that apply to WisDOT to receive Federal 5311 funds. “Urbanized applicants” refers to urbanized area bus and urbanized area taxi systems.
- **Certain application requirements are marked with a ☆ and should only be completed by municipalities applying for Federal Section 5311 operating assistance.**
- In addition to this application, Section 5311 applicants should access the required Federal Certifications and Assurances (Exhibits P and Q) at the WisDOT internet website: <http://www.dot.wisconsin.gov/localgov/transit/ruralsmall.htm>. These forms should be completed and submitted as part of the application. FTA generally publishes its updated certifications/assurances in November of each year. If there are changes or additions to the attached certifications, WisDOT will publish an addendum to the application materials to update the information submitted in your application.
- Your municipality should use the spreadsheet specific to the type of transit system (shared ride taxi or bus) for which operating assistance is being requested. The operating assistance spreadsheet can be accessed electronically at: <http://www.dot.wisconsin.gov/localgov/transit/ruralsmall.htm>.

5311 Capital Assistance☆

There is a separate capital assistance application for those wishing to apply for capital funding under the Section 5311 program. This includes items such as the purchase of vehicles, facility construction, and capital cost of contracting. Capital assistance applications are also due by **October 15, 2011**. Capital application materials can be accessed electronically at: <http://www.dot.wisconsin.gov/localgov/transit/ruralsmall.htm>

- Leased buildings, vehicles, or equipment should be included as costs in Exhibit F under “Leases and Rentals.” All assets with an original cost of less than \$1,000 should not be capitalized. Items of less than \$1,000 should be expensed at the time of purchase.

Third Party Contracts ☆

It is required that certain Federal Clauses be included in third-party operating contracts. The Federal Transit Administration has issued a set of Federally required clauses that are to be included in all contracts between WisDOT and any municipality receiving transit aid.

WisDOT's subrecipients (i.e., local transit systems) are also required to include these Federal clauses in their third-party contracts with private operators to provide transit service, including paratransit service. A letter to this effect containing a list of the specific clauses is sent out annually. If you need sample language to include in your third party contracts, please contact the Section 5311 Program Managers.

Cost Allocation Plans

If sharing facilities, personnel, or equipment with another government agency entity or business operation, a cost allocation plan must be submitted as part of Exhibit T for WisDOT review and approval. Allocation may be based on square footage occupied by each enterprise, percent of revenues generated from each business, or number of rides provided by each business.

Applications submitted without an allocation plan, if required, will be considered incomplete and will not be approved until a plan is submitted and approved. Allocation plans for government agencies should follow similar principles. If you are unsure whether or not a cost allocation plan is required as part of your application, please contact the Section 5311 Program Managers.

GRANT APPLICATION CHECKLIST

- Exhibit A, Letters of Transmittal
- Exhibit B, Service Characteristics Form*
- Exhibit C, Management Plan
- Exhibit D, Operating Statistics*
- Exhibit E, Labor Analysis*
- Exhibit F, Projected Operating Expenses*
- Exhibit G, Projected Operating Revenues*
- Exhibit H, Projected Operating Assistance Requirements*
- Exhibit I, Sharing of Projected Deficit*
- Exhibit J, Four-Year Transit Development Plan*
- Exhibit K, Draft Contract with Private Operator
- Exhibit L, Project Coordination ☆
- Exhibit M, Involvement of Private Operator ☆
- Exhibit N, Competitive Procurement Requirement ☆
- Exhibit O, Public Involvement ☆
- Exhibit P, Labor Protection ☆
- Exhibit Q, Federal Certifications and Assurances ☆
- Exhibit Q-6, Disadvantaged Business Enterprise and vendor information* ☆
- Exhibit R, Information That WisDOT Needs From You
- Exhibit S, Charter Service ☆
- Exhibit T, Cost Allocation Plan (if required)
- Exhibit U, Americans with Disabilities Act ☆
- Exhibit V, School Bus Operations ☆
- Exhibit W, Asset Inventory and Maintenance Plans ☆
- Exhibit X, Title VI ☆
- Exhibit Y, Federal Financial Accountability and Transparency Act ☆

* Exhibit found in Excel spreadsheet.

☆ Exhibit is only required of applicants for federal Section 5311 funding.

IV. APPLICATION FORMAT

EXHIBIT A - LETTERS OF TRANSMITTAL

A.1 - LETTER OF APPLICATION ☆(See Sample Letter A.1)

The applicant must prepare a letter of application to the Wisconsin Department of Transportation containing the following items:

1. Name of applicant.
2. A statement that state and/or Federal operating assistance is requested for the period January 1, 2012 through December 31, 2012.
3. Name of the transit system for which operating assistance is being requested.
4. A statement assuring that local funds have been budgeted and will be available for the twelve month period January 1, 2012 through December 31, 2012. (For bus systems, local funds must be equal to at least 20% of state aids received.)
5. A list of all local units of government participating in sharing of the local share.
6. Name and telephone number of person who prepared the financial exhibits contained in the application.
7. Signature of the chief elected or administrative officer of the applicant public body.

An example of a letter of application is provided on the following page.

SEND ORIGINAL TO:

Wisconsin Department of Transportation
Bureau of Transit, Local Roads, Railroads and Harbors
Public & Specialized Transit Section, Room 951
P. O. Box 7913
Madison, WI 53707-7913
Attn: 5311 Program Manager

SAMPLE LETTER A.1

Date

Wisconsin Department of Transportation
Bureau of Transit, Local Roads, Railroads and Harbors
Public & Specialized Transit Section, Room 951
P. O. Box 7913
Madison, WI 53707-7913

Dear 5311 Program Manager:

The (Name of Applicant) is hereby requesting state mass transit operating assistance under Section 85.20 of the Wisconsin Statutes to assist in the operating expenses of the (Name of Transit System) during the period of January 1, 2011 through December 31, 2011.

The applicant also requests Federal Section 5311 operating assistance to assist in financing up to 50% of the transit system's operating deficit for the same period. *(do not include this paragraph if you are a system in an urban area over 50,000)*

It is recognized that the actual amount of funding received has yet to be determined, and will be subject to the funds available for distribution.

The applicant assures that the resulting local portion of the operating deficit incurred during this period will be available for this purpose.

While we understand the applicant is responsible for the local share of the deficit, the following local units of government have agreed to participate in the sharing of the local share.

UNIT OF GOVERNMENT

(Applicant Public Body)

(Participant Public Body)

(Participant Public Body)

(Participant Public Body)

(Participant Public Body)

(Participant Public Body)

The applicant represents that the information submitted to the Wisconsin Department of Transportation in support of this application is true and correct.

The financial exhibits were prepared by (Name of Contact Person) who can be contacted at (telephone number).

Sincerely,

(Chief Elected or Administrative Officer of Applicant Public Body)

A.2 - LETTER TO THE REVIEW AGENCIES ☆ (See Sample Letter A.2)

1. Name of Applicant.
2. A request that the agency review the application and forward the comments to the Bureau of Transit, Local Roads, Railroads and Harbors, Public & Specialized Transit Section with a copy to the applicant.
3. The name of a contact person for further information.

The letter should be signed by the chief elected or administrative officer of the organization or public body.

One review letter with a copy of the application should be sent to the appropriate Wisconsin Department of Health Services, Regional Office and a second review letter and copy of the application should be sent to the appropriate Area Agency on Aging.

An example of the review letter is shown in Sample Letter A.2.

A copy of the review letters to the respective agencies should be included in the application to WisDOT.

A.3 - LETTER TO THE REGIONAL PLANNING COMMISSIONS ☆ (See Sample Letter A.3)

1. Name of applicant.
2. A request that the Regional Planning Commission review the project under Presidential Executive Order 12372 and implementing regulations at 49 CFR Part 17, and forward the review to the Bureau of Transit, Local Roads, Railroads and Harbors, Transit Section with a copy to the applicant.
3. An indication of what other agencies have review copies of the application.
4. Name of the contact person for further information.

The letter should be signed by the chief elected or administrative officer of the organization or public body.

The review letter with a copy of the application should be sent to the appropriate regional planning commission.

An example of this letter is shown in Sample Letter A.3.

A copy of the transmittal letter should be included in the application.

SAMPLE LETTER A.2 ☆

(DATE)

(Addressee)

(See Appendix B or C)

Dear _____:

In accordance with Chapter TRANS 6, Wisconsin Administrative Code, (Name of Applicant) hereby submits for your agency's review this application for operating assistance under Section 5311 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act –a Legacy for Users (SAFETEA-LU), as amended. Please forward any comments to the Bureau of Transit, Local Roads, Railroads and Harbors, Public & Specialized Transit Section by (specify the date 45 days after the date of the transmittal letter to the Bureau of Transit, Local Roads, Railroads and Harbors). In addition, please forward a copy of your review comments to (Name of Person).

If you need further information, please contact (Name of Contact Person).

Sincerely,

(Name and Title of the Chief Elected
or Administrative Officer of Applicant)

SAMPLE LETTER A.3 ☆

(DATE)

(Addressee)

(See Appendix D)

Dear _____:

The (Name of Applicant) hereby submits for your agency's review this application for operating assistance under Section 5311 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act –a Legacy for Users (SAFETEA-LU), as amended.

Copies of this application have also been sent to the following agencies:

1. Bureau of Transit, Local Roads, Railroads and Harbors, Public & Specialized Transit Section
2. Wisconsin Department of Health Services, Office of Strategic Finance
Regional Office
3. Area Agency on Aging

Please note we are requesting you initiate an intergovernmental review under Presidential Executive Order 12372 and implementing regulations at 49 CFR Part 17.

Please forward any comments to the Bureau of Transit, Local Roads, Railroads and Harbors, Public & Transit Section by (specify the date 45 days after the date of the transmittal letter to the Bureau of Transit and Local Roads, Public & Specialized Transit Section). In addition, please forward a copy of your review comments to (Name of Person).

If you need further information, please contact (Name of Contact Person).

Sincerely,

(Name and Title of the Chief Elected
or Administrative Officer of Applicant)

Exhibits B, B-2, D-E, F, G-J, and Q-6

These exhibits are all prepared using an operating assistance Excel spreadsheet. If you haven't already done so, you should download the most current version at

<http://www.dot.wisconsin.gov/localgov/transit/ruralsmall.htm>.

EXHIBIT B, B-2 - SERVICE CHARACTERISTICS FORM

This exhibit is found in the Excel operating assistance spreadsheet available at

<http://www.dot.wisconsin.gov/localgov/transit/ruralsmall.htm>.

A "Service Characteristics Form" has been developed by the Department to document the type and level of transit services being provided in an urban area. The form provides much of the information necessary to compute and calculate operating cost information. Bus systems have forms for regular routes and special services.

Each applicant must submit an updated Service Characteristics Form as Exhibit B of its application detailing service levels as of January 1, 2012. If during the course of 2012, an applicant modifies its schedules and if the modifications have not been incorporated into the original 2012 Management Plan, then the applicant must submit an updated Service Characteristics Form to the Department for review prior to implementing the proposed changes.

If services are being bid in 2011 for service beginning in 2012, the procurement does not need to be concluded nor a final contract signed by the application deadline of October 15, 2011. Hours of service listed in Exhibit B **MUST MATCH WHAT IS REQUESTED IN THE RFP**, and municipalities should use their best judgment of estimated costs (e.g., the independent cost estimate). Once the winning bid is selected, please contact WisDOT with the details of that bid, and forward a copy of the contract with the service provider. Budget figures and service hours will then be adjusted accordingly.

An accurate and up-to-date Service Characteristics form for regular service must be on file with the Department of Transportation. Any approved service modifications to the transit system will necessitate revising the Service Characteristics form.

REPORTING INSTRUCTIONS AND DEFINITIONS

The following are some common definitions used by fixed-route systems:

- **Total Service Hours:** Total hours a vehicle is active, including driver prep. time, breaks, etc.
- **Revenue Hours:** Total time the vehicle is providing service for customers.
- **Dead Hours:** Total time the driver is in the vehicle, but the vehicle is NOT in service. (total service hours – revenue hours)
- **Platform Hours:** Total time from when the vehicle leaves the garage until the time it is returned (total time the driver is in the seat).

This form is for reporting service characteristics for those vehicles serving the community throughout the day. Complete this form for each day of the week in which service characteristics are different. If the same level of service is provided all week, only one form would be required. If weekend service hours or number of vehicles running are different from weekday service, separate forms should be prepared. On the form, space is provided to indicate which day or days the level of service applies. If in a given day service is provided during two or more separate periods, indicate this in columns 2 and 3. Report instructions follow:

COLUMN 1: ROUTE NUMBER AND NAME – This column should be used to identify each route in

service on a particular day or group of days.

COLUMN 2: DAILY ROUTE MILES – The cumulative amount of miles driven on the route each day.

COLUMN 3: DAILY DEAD MILES – The amount of miles driven by buses on the route where the bus is not in service to potential riders.

COLUMN 4: DAILY REVENUE HOURS – The cumulative amount of hours the route is in service.

COLUMN 5: DAILY PLATFORM HOURS – The total amount of time the driver is in the seat of the bus (revenue hours + dead hours).

COLUMN 6: START TIME OF FIRST RUN: – The time of day where riders can be picked up on the route.

COLUMN 7: START OF LAST RUN: – The time of day that the final run starts for that route.

2012 Service Days

Day of the Week	# of Days	Holidays	# After Holidays
Sunday	53	Easter Sunday New Year's Day	51
Monday	53	Memorial Day Labor Day	51
Tuesday	52	Christmas	51
Wednesday	52	4 th of July	51
Thursday	52	Thanksgiving	51
Friday	52		52
Saturday	52		52
Total of 256 weekdays after holidays			

A 2012 calendar is found in Appendix F.

EXHIBIT C - MANAGEMENT PLAN

The 2012 Management Plan is a description of all planned or anticipated events affecting the participating transit system's operating revenues and expenses during the twelve month period January 1, 2012 through December 31, 2012. All systems should also include a description of the transit system's goals and objectives for 2012, which will assist in WisDOT's budgeting and integration for planning purposes. Any other plans for upcoming expansions and changes in service routes should also be explained in Exhibit C.

The essential purposes of the management plan are: (1) provide the Department with a description of the services to be provided during the ensuing year; (2) to insure the maintenance or improvement of service available to the public; (3) to identify and implement various policies and practices to increase the efficiency of transit operations; and (4) to insure that state funds will be spent wisely. The Department will use the management plan as a basis for final allocation of state funds to an applicant within the framework of the statutory and budgetary constraints of the operating assistance program. The Department will also

use the management plan as a basis for monitoring and evaluating the performance of the participating transit system during the contract period. Transit policy and management decisions made and actions taken during the contract period must be in conformance with the management plan. Any proposed deviations from the management plan must be reported to the Department and approved by the Department prior to implementation. Failure to do so will jeopardize continued state assistance.

Each applicant is required to prepare a management plan in accordance with the outline given below. The level of detail required will vary according to the size and complexity of the system involved, but each topic must be addressed by all applicants.

I. OPERATING AUTHORITY ☆

The applicant should submit a copy of any local ordinance or arrangement that grants the authority to perform this service.

II. FARES

This section should document in detail the fare schedule in effect on January 1, 2012. For Section 5311 applicants, the tariff schedule should include the fare rates which are in effect for various age groups and the hours of the day and days of the week, etc. for which they apply. If agency fares have been established, they should be noted as well.

In addition to documenting your January 1, 2012 fares, describe any anticipated changes in fare structure during the period January 1, 2012 through December 31, 2012. Any proposed changes in fare structure must be coordinated with your passenger counting program when the average fare method is used.

Do not enter contract revenues (flat fees for service to a specific organization or municipality) as farebox revenues. Contract revenues should be listed as “local share” in Exhibit I, and not as farebox revenue. This clarification should decrease the local tax levy support of expenses required to operate transit systems, and increase the availability of Federal funding for transit systems in 2012.

III. LEVELS OF SERVICE

This section should describe anticipated changes in the levels of service provided by the participating transit system effective during the period of January 1, 2012 through December 31, 2012. Each change in level of service should be discussed separately and each discussion should include the following:

- (1) The date on which the change is to be implemented;
- (2) The reasons for instituting the change;
- (3) A statement indicating why the change is essential to the preservation of the transit system;
- (4) A detailed description of the change; and
- (5) The projected impact of the change upon operating revenues and expenses during calendar year 2012.

NOTE: Any normal service adjustments made to coincide with the opening and closing of the school year need not be documented.

IV. PROCEDURES FOR ESTABLISHING 2012 REVENUE PASSENGERS

This section should describe in detail the procedures to be utilized for establishing 2012 revenue passenger trips. Explain whether passengers will be determined by actual count or by the average-fare method. If the average fare method is to be used, include a schedule of the surveys required to determine the average fare.

V. SERVICE AND PERFORMANCE GOALS

The section must document multi-year service and performance goals for the participating transit system as required by s.85.20, Wis. Stats. The goals must set annual targets and cover a 4-year period (2012-2015). At a minimum, system wide goals must be established for the following performance indicators:

- (a) Expense/Revenue Hour
- (b) Expense/Passenger
- (c) Revenue/Expense Ratio (Operating Ratio)
- (d) Passengers/Revenue Hour
- (e) Passengers/Capita
- (f) Revenue Hours/Capita

EXHIBITS D through J and Q-6

The following exhibits are found in the Excel 97-2003 (.xls) document available with this application. The format of some exhibits varies according to the type of transit system for which operating assistance is being requested, and only those exhibits required for the type of transit system operated in your municipality are included in the spreadsheet.

- ◆ Exhibit D - Operating Statistics
- ◆ Exhibit E - Labor Analysis
- ◆ Exhibit F - Projected Operating Expenses
 - ◆ Supplemental Exhibit F-1, Competitive Bid Options ☆
- ◆ Exhibit G - Projected Operating Revenue
- ◆ Exhibit H - Projected Operating Assistance Requirements (note new projected funding levels)
- ◆ Exhibit I - Sharing of Projected Operating Deficit
- ◆ Exhibit J - Four-Year Transit Development Plan
- ◆ Exhibit Q-6 – Disadvantaged Business Enterprise (DBE) Participation ☆

EXHIBIT K - DRAFT CONTRACT WITH PRIVATE OPERATOR

For all applicants, it is necessary for a draft contract to be prepared between the local unit of government and any private operator (profit or non-profit) providing transportation service. A state assistance contract will not be executed with the applicant until the applicant's contract with the private operator is fully executed and a copy has been reviewed and approved by WisDOT.

If an applicant has contracted transit services with a third party, please include an executed copy of the contract for 2012 or draft copy if it has not yet been executed, which explicitly states:

- The name of the provider
- Hours of service to be provided for the year
- Dollar amount of the contract, expressed through an hourly rate or contracted fee

If transit services are in the process of being procured for 2012, please submit a copy of the RFP.

If the applicant leases any vehicles to a contracted service provider, a draft lease agreement must also be submitted with this application. A sample lease agreement is shown below. While the draft agreement need not be identical to the sample, it must contain the basic provisions shown in the sample.

SAMPLE VEHICLE LEASE ☆

WHEREAS, the City of _____ purchased a vehicle with a grant from the "Section 5311" Program of the Federal Transit Administration (FTA); and

WHEREAS, it is proposed that said vehicle be leased from the City of _____ by _____ located in the City of _____, Wisconsin, and operated by said Lessee under the terms of certain licenses granted by the City and its agreement to provide _____ service dated _____, 20____, copies of which documents are attached hereto and incorporated herein by reference.

NOW, THEREFORE, it is agreed by and between the City of _____, as Lessor and _____ as Lessee, as follows:

The Lessor shall and does hereby lease the following vehicle to the Lessee for a period of ____ year(s), commencing _____, 20____,

Year	Make	Model	VIN Number
------	------	-------	------------

on the following terms and conditions:

1. Lessee shall lease said vehicle and operate the same in accordance with its authority to operate _____ service in the City of _____ and surrounding area pursuant to the licenses and agreement set forth therein, copies of which are attached hereto and incorporated herein by reference.
2. Title to the vehicle shall be in the name of the City of _____ with _____ named on the registration as Lessee. The Lessee may not sublease this vehicle.
3. The vehicle shall only be used by the Lessee for the purpose of providing public transit service in accordance with its operating assistance contract referred to above.

4. Lessee shall not be charged more than \$1 for use of municipal vehicles or other equipment.
5. The Lessee shall immediately notify the City if the vehicle is no longer used in the provision of _____ service. The Lessee shall also keep satisfactory records with regard to the use of the equipment and submit to the City upon request such information as may be required by the City to assure compliance.
6. The Lessee shall perform preventive maintenance on the vehicle and any ADA (Americans with Disabilities Act) accessibility equipment at a level no less than the manufacturer's recommended specifications. The vehicle shall be maintained in accordance with the maintenance plan filed with WisDOT.
7. The Lessee shall make the vehicle available to the Wisconsin Department of Transportation (Department) and the City upon demand for the purpose of an annual verification or other inspections deemed necessary by the Department or City.
8. A certificate of insurance for each of the following coverages shall be filed with the City Clerk prior to any operation of said vehicle:
 - (a) the vehicle shall be insured for damage or loss from fire, theft, collision, and shall contain a comprehensive damage provision.
 - (b) the vehicle shall be insured for liability for personal injury and property damage for not less than \$1,000,000 combined single limit policy. The City shall be named co-insured.
 - (c) the collision insurance shall provide for a deductible of not more than \$250.
 - (d) the Lessor shall be named as an additional insured on the liability policy and all other policies shall contain a provision providing for loss to be payable to the Lessor as its interest may appear.
9. Lessor reserves the right to require the Lessee to restore the vehicle or pay for damages to the vehicle as a result of abuse or misuse of such vehicle with Lessee's knowledge and consent.
10. In the event of a default on the part of the Lessee in the payment of its lease required hereunder, or by its failure to perform any of its other obligations under this agreement, the Lessor may, at its option, declare this lease terminated and may take immediate possession of the vehicle leased hereunder, without notice.

This agreement shall extend to and be binding upon the parties hereto and their respective successors and assigns.

City of _____

Lessee _____

By _____

By _____

Name Title

Name Title

Attest _____

Name Title

Planning for the use of Section 5311 federal funding should go hand-in-hand with coordination between different organizations that provide transportation services.

This exhibit describes project coordination accomplished with other providers of transportation in the service area and the applicant's efforts to maximize the integration of existing funding sources with funds being applied for under the Section 5311 program. The following items must be included in this exhibit, and attach additional sheets as necessary.

1. A list of all other providers of transportation operating in the service area. (Include taxicab systems, inter-city bus operators, and any public or private paratransit system serving the elderly and/or disabled.)
2. A description of efforts that have been made to coordinate with any of the above listed transportation providers. Efforts may include transfer arrangements, coordination of routes to avoid unnecessary duplication of service, coordination of fare structure, etc.
3. A description of efforts made to coordinate with social service agencies in the service area, particularly with those agencies providing services (non-transportation) to low income, minority, non-English speakers, elderly, or disabled clientele, and capable of purchasing transportation services. Efforts might include purchase-of-service agreements, establishing routes and schedules based on the transportation needs of agency clients, providing front-door service to the agencies and to traffic generators frequented by their clients (e.g., senior citizen centers, nursing homes, clinics), providing schedules, route maps and other information aids.
4. A summary of public outreach and involvement activities undertaken since the last application and a description of steps taken to ensure that minority persons had meaningful access to these activities.
5. Identification of any transportation coordinating committees on which you serve. List all members (agencies) that are a part of this committee.

EXHIBIT M - INVOLVEMENT OF PRIVATE ENTERPRISE ☆

If the transit system contracts with a private provider for all or part of its transportation service, please complete the following:

→ **Bid in _____ (bid year) for service year _____ (year).**

It is the policy of the Federal Transit Administration (FTA) that private transit and paratransit operators be allowed the opportunity to participate in the provision of rural transportation service to the maximum extent feasible. In order for the state to make the required assurances to FTA, each applicant is required to provide the following information with its application for Section 5311 funds. Attach additional sheets if needed

A. **Process and Procedures. This exhibit must be completed every year and submitted to WisDOT.** Information will be considered valid for the entire year. If changes are made during the year, a revised exhibit must be submitted to WisDOT.

1. In planning your public transportation services, private sector providers must be given ample opportunity to express their views. Describe how you have given private sector providers an opportunity to submit such comments. An example would be a transportation committee meeting held prior to the submission of a grant application.
2. Describe how you decide whether the public transportation service should be publicly operated or contracted out to the private sector.
3. If your public transportation is put out to bid, proposals may be submitted by a variety of passenger service providers. It is important to evaluate all of the costs of the public and private non-profit bidders when comparing them to private for-profit bids. Operating costs, capital grants and the use of public facilities should be reflected in the cost comparisons.

Describe how you make true cost comparisons of the bid proposals you receive.

4. If a private operator has a complaint about your decision to go either public or private, what is your procedure for resolving the complaint?
5. A publicly operated transit system must periodically review (at a minimum of once every three years) the existing system to determine if the service can be provided more efficiently by the private sector. Describe how you evaluate your system for such efficiency.

B. **Project Specific.** Each item in this section must be addressed as part of the application process. Some of the items may not be applicable to the current application and should be so indicated.

1. If you are utilizing private for-profit providers for all or part of your public transportation service, please list such providers and the service they provide.
2. Do you have any new or substantially restructured service contained in the current application for which private transportation providers and possible new business entrants could submit proposals? If yes, please describe, along with how you have notified private transportation providers of these changes.

3. Describe or submit copies of the private sector proposals, if any, offered for your consideration of the new or substantially changed service. Explain why you either accepted or rejected the proposals.
4. Describe any complaints regarding current proposals from private operators and how these were resolved.
5. When was your last review of your existing system made to determine if the service taken as a whole or segments of the service could be provided more efficiently by the private sector? If it was done this calendar year, attach your review findings.

WISDOT staff will be available to assist in the development and implementation of any of the above requirements.

EXHIBIT N - COMPETITIVE PROCUREMENT REQUIREMENT ☆

Applicants that contract with a provider for eligible public transportation service shall use the competitive bid process outlined in TRANS 6.03(c), Wisconsin Administrative Code, and Wisconsin's Procurement Manual for the Acquisition of Goods and Services Under FTA Funded Grant Programs, not less than once every five years for each of its contracts. A copy of the manual is available at <http://www.dot.wisconsin.gov/localgov/transit/documents.htm>. The applicant is required to provide the following information on each of its public transportation service contracts. If you do not believe this exhibit is applicable, please explain why.

What service(s) do you contract for?
In what year was this service last offered for competitive procurement?
Was the competitive procurement process outlined in TRANS 6.03 (c) and Wisconsin's <u>Procurement Manual for the Acquisition of Goods and Services Under FTA Funded Grant Programs</u> used?
Was there more than one firm interested in providing the service?
How many years was the contract written for?

EXHIBIT O - PUBLIC INVOLVEMENT

This exhibit is required in all cases if the applicant is a **first-time applicant** for state operating assistance.

It is not required if:

- A. The applicant is applying only for federal operating assistance OR
- B. The applicant has previously applied for and received State operating assistance and anticipates no major service changes in 2012 such as fleet expansion, fare increases, substantive service hour changes or changes to the service area.

The applicant for state operating assistance must offer an opportunity for a public hearing. The applicant shall publish notice of intent to hold the public hearing in newspapers of general circulation in the locality, including newspapers oriented to the minority community. This notice shall be advertised at least twice, with the first advertisement occurring not less than 30 days before the date of the hearing and the second notice not less than seven days before the hearing.

A sample hearing notice is contained in Attachment O-1.

In addition, a copy of the hearing notice must be sent to all other providers of "public transportation" in the service area. The term "public transportation" means any transportation by bus, rail, or other conveyance which provides either general or special service to the general public on a regular and continuing basis. "Public transportation" does not include the following: (1) school bus, sightseeing, or charter service; (2) exclusive ride taxi service; and (3) service to individuals or groups which excludes use by the general public.

This exhibit must contain:

- 1) A transcript of the hearing, or an explanation as to why no hearing occurred.
- 2) A certified copy of the published notice (sample of required hearing notice is shown in Attachment O-1).
- 3) A list of public transportation providers and community organizations — including those serving low income and minority individuals — to whom hearing notices were sent.
- 4) Certification of Public Hearing (sample certification is shown in Attachment O-2).
- 5) Process used to address the comments received at the hearing.

ATTACHMENT O-1

NOTICE OF PUBLIC HEARING

CY 2012 Operating Assistance for (name of applicant transit system)

Notice is hereby given that a public hearing will be held by the (applicant) at (address of hearing location) at (time and date) for the purpose of considering a project for which Federal operating assistance under Section 5311 of the Federal Transit Act, is being sought, generally described as follows:

- A. The (applicant) is applying for Federal aid for the (name of applicant transit system) for the period January 1, 2012 to December 31, 2012. The service area of the (name of applicant transit system) is generally described as (include all political entities served by applicant transit system). The total anticipated deficit for 2012 is \$_____, of which the state and local share is estimated at \$_____ and the maximum Federal share, for which this hearing is held, will be \$_____.
- B. No persons, families, or businesses will be displaced by this project.
- C. There is expected to be no significant environmental impact upon the urban/service area by this project.
- D. This project is in conformance with comprehensive land use and transportation planning in the area.

At the hearing (name of applicant) will afford an opportunity for interested persons or agencies to be heard with respect to the social, economic, and environmental aspects of the project. Interested persons may submit orally or in writing evidence and recommendations with respect to said project. Additionally, written comments will be considered if sent to (address of applicant) by (deadline date).

A copy of the application for a Federal grant for the proposed project is currently available for public inspection at (location).

(Applicant's Authorized Representative)

ATTACHMENT O-2

CERTIFICATION OF PUBLIC HEARING

(Applicant) HEREBY CERTIFIES THAT, in the development of this application for mass transportation operating assistance grant under Section 5311 of SAFETEA-LU, it:

1. Has afforded adequate opportunity for public hearings pursuant to adequate prior notice, and has held such hearings, in accordance with the rules and regulations pertinent to the Section 5311 program.
2. Has considered the economic and social effects of this proposed project and its impact on the environment.
3. Has found that this proposed project is consistent with official plans for the comprehensive development of the urban area.

By _____
(Chief Elected or Administrative Official)

Date _____

EXHIBIT P - LABOR PROTECTION (5311 applicants only)

Exhibit P is required only for grantees applying for Federal operating assistance under the Section 5311 program. You can download the certifications and assurances on the Wisconsin Department of Transportation's Web site at:

<http://www.dot.wisconsin.gov/localgov/transit/ruralsmall.htm>.

EXHIBIT Q - FEDERAL ASSURANCES AND CERTIFICATIONS (5311 applicants only)

Exhibit Q is required only for grantees applying for Federal operating assistance under the Section 5311 program. You can download the certifications and assurances on the Wisconsin Department of Transportation's Web site at:

<http://www.dot.wisconsin.gov/localgov/transit/ruralsmall.htm>.

EXHIBIT Q-6 CONTRACTIBLE OPPORTUNITIES (5311 applicants only)

Applicants who apply for Federal assistance under the Section 5311 program are required to track and report expenses related to contracting opportunities and the participation of Disadvantaged Business Enterprises (DBEs). A contractible opportunity is defined as any opportunity in which the transit system contracts or could contract with a third party for goods or services. This definition encompasses current contracts as well as opportunities for potential contracts.

WisDOT has established a goal of 5.25% DBE participation across the transit business areas. Municipalities should identify contractible opportunities that exist within their transit services (e.g., transportation service providers, construction of facilities, maintenance, consultants, snow removal, parts and equipment, and cleaning services), and if those duties are contracted to a third party, those contracts and payments should be included in their DBE reports. To find which Wisconsin businesses are certified as DBEs, please consult the following website:

<http://www.dot.wisconsin.gov/business/engrserv/dbe-firms.htm>

Exhibit Q-6 includes a sheet where applicants must list their current contractors as well as any potential contractible opportunities in 2012.

DBE REPORTING (5311 applicants only)

In addition, Section 5311 recipients are expected to report their DBE expenses and contractible opportunities for the April 1, 2011- September 30, 2011 reporting period by October 15, 2011. **Please include this biannual DBE Report with your Operating Assistance Application, and we will organize the data and report it to the FTA.**

EXHIBIT R

INFORMATION THAT WisDOT NEEDS FROM YOU...

APPLICANT INFORMATION

PROVIDER INFORMATION

City Official, Mayor, Administrator, Manager

Name: _____
Address: _____

Phone Number: _____
Fax Number: _____
Email Address: _____

Transit Manager - Operator
(Program Correspondence Address)

Name: _____
Address: _____

Phone Number: _____
Fax Number: _____
Email Address: _____

City's Transit Contact Person
(Contact Person for WisDOT)

Name: _____
Address: _____

Phone Number: _____
Fax Number: _____
Email Address: _____

Provider Location
(Actual Service Location in Community)

Name: _____
Address: _____

Phone Number: _____
Fax Number: _____
Email Address: _____

City's Payment Address
(If different from City Official Address)

Name: _____
Address: _____

Phone Number: _____
Fax Number: _____
Email Address: _____

Contributing Municipality Address
Add Extra Pages If Needed

Name: _____
Address: _____

Phone Number: _____
Fax Number: _____
Email Address: _____

Drug and Alcohol Screening
(If different from City Official Address)

Name: _____
Address: _____

Phone Number: _____
Fax Number: _____
Email Address: _____

EXHIBIT S – CHARTER SERVICE (☆5311 APPLICANTS)
Charter Service Review and Checklist for 5311 Subrecipients

Name of Transit System: _____

The State of Wisconsin is responsible for ensuring that any its subrecipient that receive federal funding from the Federal Transit Administration (FTA) and also provides charter service operates the service in accordance with the federal charter regulations found at 40 CFR 604.

The federal regulations define charter service as follows:

1. Transportation provided at the request of a third party for the exclusive use of a bus or van for a negotiated price. The following features may be characteristics of charter service:
 - a. A third party pays a negotiated price for the group.
 - b. Any fares charged to individual members of the group are collected by a third party.
 - c. The service is not part of the regularly scheduled service, or is offered for a limited period of time.
 - d. A third party determines the origin and destination of the trip as well as scheduling.

OR

2. Transportation provided to the public for events or functions that occur on an irregular basis or for a limited duration, and:
 - a. A premium fare is charged that is greater than the usual or customary fixed route fare;
or
 - b. The service is paid for in whole or in part by a third party.

Does the transit system operate charter service? _____ Yes _____No.

If so, is the charter service operated with federally-funded or state/locally-funded vehicles or both?

Federal charter regulations do not apply to equipment that is fully funded with state and local funds and is stored in a locally funded facility and is maintained with only local funds. A complete segregation is necessary to avoid the application of these requirements to charter services operated with locally owned vehicles

Exemptions

If the transit system does operate charter service with federally funded vehicles, does the charter service fall under one of the following exempted services? Circle which, if any, exemption(s) applies.

1. Transportation of Employees, Contractors and Government Officials: Subrecipients are allowed to transport their employees, other transit systems' employees, transit management officials, transit contractors and bidders, government officials and their contractors, and official guests to or from transit facilities or projects within its geographic service area or proposed geographic service area for the purpose of conducting oversight functions such as inspection, evaluation, or review.

2. Private Charter Operators: The prohibitions do not apply to private charter operators that receive, directly or indirectly, Federal financial assistance under Section 3038 of TEA 21, as amended, or to non-FTA funded activities of private charter operators that receive, directly or indirectly, FTA financial assistance under the Section 5307, 5309, 5310, 5311, 5316, or 5317 programs.

3. Emergency Preparedness Planning and Operation: Subrecipients are allowed to transport their employees, other transit system employees, transit management officials, transit contractors and bidders, government officials and their contractors and official guests, for emergency preparedness planning and operations.

4. Section 5310, 5311, 5316 and 5317 Recipients:

The prohibitions do not apply to subrecipients that use Federal financial assistance from FTA for program purposes, that is, transportation that serves the needs of either human service agencies or targeted populations (elderly, individuals with disabilities), under Section 5310, 5311, 5316, or 5317. Program purpose does not include exclusive service for other groups formed for purposes unrelated to the special needs of the identified targeted populations.

5. Emergency Response: Subrecipients are allowed to provide service for up to 45 days for actions directly responding to an emergency declared by the President, governor, or mayor or in an emergency requiring immediate action prior to a formal declaration.

6. Recipients in Non-Urbanized Areas: Subrecipients in non-urbanized areas may transport employees, other transit systems' employees, transit management officials, and transit contractors and bidders to or from transit training outside its geographic service area. The exemptions require no notification to registered charter providers, record-keeping, quarterly reporting, or other requirements.

Examples of irregular or limited duration services that are exempt under the regulations are:

- Service provided by a nursing home using a Section 5310 funded van to take residents on a Christmas light tour.

- Service that is irregular or on a limited basis for an exclusive group of individuals and provides the service free of charge when a third party requests service. When the transit agency initiates service it is allowed so long as the subrecipient does not charge a premium fare for the service and there is no third party paying for the service in whole or in part.
- Shuttle service for a one-time event if the service is open to the public; the itinerary is determined by the subrecipient; the subrecipient charges its customary fixed route fare; and there is no third party involvement.
- When a university pays the subrecipient a fixed charge to allow all faculty, staff, and students to ride the transit system for free. So long as the subrecipient provides the service on a regular basis, along a fixed route, and the service is open to the public.
- When the subrecipient sees a need and wants to provide service for a limited duration at the customary fixed route fare.

EXCEPTIONS

The charter regulation **excepts** the following community-based charter services. Each exception has administrative, record-keeping and reporting requirements. Please contact the Bureau of Transit, Local Roads, Railroads and Harbors at the Wisconsin Department of Transportation for more information administrative, record-keeping and reporting requirements. The subrecipient must retain records of each charter for three years. Charter service hours include time spent transporting passengers, time spent waiting for passengers, and “deadhead” hours (time spent getting from the garage to the origin of the trip and then the time spent from trip’s ending destination back to the garage).

1. Government Officials: A subrecipient is allowed to provide charter service (up to 80 service hours annually) to government officials (Federal, state and local) for official government business, which can include non-transit related purposes, if the subrecipient:

- Provides the service in its geographic service area
- Does not generate revenue from the charter service, except as required by law
- Records the following information after providing such service:
 - The government organization’s name, address, phone number and e-mail address
 - The date and time of service
 - The number of government officials and other passengers
 - The fee collected, if any
 - The vehicle number for the vehicle used to provide the service

2. Qualified Human Service Organization (QHSO):

A subrecipient is allowed to provide charter service to a QHSO for the purpose of serving persons:

- With mobility limitations related to advanced age
- With disabilities
- With low income.

If the QHSO receives funding, directly or indirectly, from the programs listed in Appendix A of the regulation, the QHSO is not required to register on the FTA's charter registration website. Otherwise, the QHSO is required to register. The subrecipient may provide service only if the QHSO is registered at least 60 days before the date of the first request for charter service.

The subrecipient is required to record the following information after providing such service:

- a. The QHSO's name, address, phone number and e-mail address
- b. The date and time of service
- c. The number of passengers
- d. The origin, destination, and trip length (miles and hours)
- e. The fee collected, if any
- f. The vehicle number for the vehicle used to provide the service

3. Leasing of Equipment and Driver: A subrecipient is allowed to lease its FTA-funded equipment and drivers to registered charter providers for charter service only if the following conditions exist:

- a. The private charter operator is registered on the FTA charter registration website.
- b. The registered charter provider owns and operates buses or vans in a charter service business.
- c. The registered charter provider received a request for charter service that exceeds its available capacity either of the number of vehicles operated or the number of accessible vehicles operated by the registered charter provider.
- d. The registered charter provider has exhausted all of the available vehicles of all registered charter providers in the subrecipient's geographic service area.

The subrecipient is required to record the following information after leasing equipment and drivers:

- a. The registered charter provider's name, address, telephone number, and e-mail address.
- b. The number of vehicles leased, type of vehicles leased, and vehicle identification numbers.
- c. The documentation provided by the registered charter provider in support of the four conditions discussed above

4. No Response by Registered Charter Provider:

A subrecipient is allowed to provide charter service, on its own initiative or at the request of a third party, if no registered charter provider responds to the notice issued:

- a. Within 72 hours for charter service requested to be provided in less than 30 days, or
- b. Within 14 calendar days for charter service requested to be provided in 30 days or more.

The subrecipient is not allowed to provide charter service under this exception if a registered charter provider indicates an interest in providing the charter service described in the notice and

the registered charter provider has informed the subrecipient of its interest in providing the service. This is true even if the registered charter provider does not ultimately reach an agreement with the customer.

If the subrecipient is interested in providing charter service under this exception, the subrecipient shall provide e-mail notice to registered charter providers in the subrecipient's geographic service area by the close of business on the day the subrecipient received the request unless the request was received after 2:00 pm, in which case the notice shall be sent by the close of business the next business day. The e-mail notice sent to the list of registered charter providers shall include:

- a. Customer name, address, phone number, and e-mail address (if available)
- b. Requested date of service
- c. Approximate number of passengers
- d. Type of equipment requested, bus(es) or van(s)
- e. Trip itinerary and approximate duration
- f. The intended fare to be charged for the service.

The subrecipient shall retain an electronic copy of the e-mail notice and the list of registered charter providers that were sent e-mail notice of the requested charter service for a period of at least three years from the date the e-mail notice was sent. If the subrecipient receives an "undeliverable" notice in response to its e-mail notice, the subrecipient shall send the notice via facsimile. The subrecipient shall maintain the record of the undeliverable e-mail notice and the facsimile sent confirmation for three years.

The subrecipient is required to record the following information after providing the service:

- a. The group's name, address, phone number and e-mail address
- b. The date and time of service
- c. The number of passengers
- d. The origin, destination, and trip length (miles and hours)
- e. The fee collected, if any
- f. The vehicle number for the vehicle used to provide the service

If a registered charter provider indicates interest in providing charter service to a particular customer and fails to negotiate in good faith with the customer, and the subrecipient was willing to provide the service, then the subrecipient can file a complaint against the registered charter provider.

5. Agreement with All Registered Charter Providers:

The subrecipient is allowed to provide charter service directly to a customer consistent with an agreement entered into with all registered charter providers in the subrecipient's service area. The subrecipient is allowed to provide charter service up to 90 days without an agreement with the newly registered charter provider in the geographic service area subsequent to the initial agreement. Any parties to an agreement may cancel the agreement after providing a 90-day notice to the subrecipient. The subrecipient is required to record the following information for each charter:

- a. The group's name, address, phone number and e-mail address
- b. The date and time of service
- c. The number of passengers
- d. The origin, destination, and trip length (miles and hours)
- e. The fee collected, if any
- f. The vehicle number for the vehicle used to provide the service.

6. **Petition to the Administrator:** The subrecipient may petition the Administrator for an exception to the charter service regulations to provide charter service directly to a customer for:

a. **Events of regional or national significance.** The petition shall describe how registered charter providers were consulted and will be utilized and include a certification that the recipient has exhausted all the registered charter providers in its service area. The petition must be submitted at least 90 days before the first day of the event.

b. **Hardship.** The exception is only available if the registered charter providers have deadhead time that exceeds total trip time from initial pick-up to final drop-off, including wait time. The petition shall describe how the registered charter provider's minimum duration would create hardships on the groups requesting the charter service.

c. **Unique and time-sensitive events in the public's interest.** The petition shall describe why the event is unique and time sensitive and would be in the public's interest. The subrecipient is required to record the following information after providing the service:

- a. The group's name, address, phone number and e-mail address
- b. The date and time of service
- c. The number of passengers
- d. The origin, destination, and trip length (miles and hours)
- e. The fee collected, if any
- f. The vehicle number for the vehicle used to provide the service.

EXHIBIT U - ADA REVIEW AND CHECKLIST (☆5311 APPLICANTS)

The ADA regulations identify specific service provisions applicable to public entities and private entities providing transportation service. Note that all Section 5311 subrecipients, including private entities that operate transit systems under contract, must comply with the requirements for public entities as they operate the service on behalf of the state, which is a public entity. Check those that are present in your transit system.

Maintenance of Accessible Features. All providers of transportation service must maintain in operative condition the features required to make facilities and vehicles accessible to individuals with disabilities. These features include lifts, ramps, sacrament devices, elevators, signage, and systems to facilitate communication. All accessibility features must be repaired promptly.

Accessible features include lifts, ramps, sacrament devices, elevators, signage, and systems to facilitate communication are maintained and repaired promptly?

Procedures to Ensure Lift Availability. Public entities operating non-rail vehicles must establish a system of regular maintenance checks for lifts. If a lift is inoperative, the vehicle must be removed from service before the next day unless an exception applies. Alternative service to persons with disabilities is required if a vehicle with an inoperable lift is used on a fixed route and the headway to the next accessible vehicle exceeds 30 minutes. The vehicle must be removed from service before the beginning of the next service day if the lift is not repaired. The lift should be repaired before the vehicle is returned to service. In the event that there is no spare vehicle available and the subrecipient would be required to reduce service to repair the lift, the subrecipient can keep the vehicle with the inoperable lift in service for no more than five days (if the subrecipient serves an area of 50,000 persons or fewer in population) or three days (if the subrecipient serves an area of more than 50,000 persons in population).

Subrecipient follow such procedures.

Lift and Securement Use. Public and private entities providing transportation service must have a sacrament system for wheelchairs. Subrecipients may require that wheelchair users permit their wheelchairs to be secured, but may not deny service on the grounds that a wheelchair cannot be secured. Subrecipients may not require a wheelchair user to transfer to another seat. Staff must provide assistance upon request or as necessary with lifts, ramps, and sacrament systems. Subrecipients must permit individuals with disabilities who do not use wheelchairs to use the vehicle's lift or ramp. Under the equivalent facilitation requirements of the ADA, subrecipients cannot require persons in wheelchairs to use a lap belt unless all passengers are required to use one.

Vehicles have sacrament system for wheelchairs.

Users are not denied service on grounds wheelchair cannot be secured.

Staff provides assistance upon request or as necessary with lifts, ramps, and sacrament systems.

Individuals with disabilities who do not use wheelchairs may use the vehicle's lift or ramp.

Users in wheelchairs are not required to use a lap belt unless all passengers are required to use one.

Announcements on Vehicles. On fixed route systems (bus and rail), subrecipients must announce stops at transfer points, major intersections and destination points, at adequate intervals along a route, and an individual stop upon request.

Stops are announced at transfer points, major intersections and destination points, at adequate intervals along a route, and an individual stop upon request.

NA

Vehicle Identification Mechanisms. If bus or rail vehicles for more than one route serve the same stop, the subrecipient must provide a mechanism for a person with a visual impairment or other disability to identify the proper vehicle to enter or be identified as a person seeking a ride on a particular route.

Subrecipient provide such a mechanism.

NA

Service Animals. Subrecipients must permit service animals to accompany individuals with disabilities in vehicles and facilities. The U.S. Department of Transportation's ADA regulations define service animal as any animal individually trained to work or perform tasks for an individual with a disability, including but not limited to guiding individuals with impaired vision, alerting individuals with impaired hearing to intruders or sounds, providing minimal protection or rescue work, pulling a wheelchair, or fetching dropped items. It is discriminatory to require a person with a disability to certify or register a service animal.

Service animals are permitted to accompany individuals in vehicles and facilities.

Subrecipient does not require a service animal be registered or certified.

Subrecipient's definition of a service animal includes any animal individually trained to work or perform tasks for an individual with a disability as noted above.

Use of Accessibility Features. Vehicle operators and other personnel must make use of required accessibility-related equipment and features.

Vehicle operators and other personnel make use of required accessibility-related equipment and features.

Public Information/ Communications. Subrecipients must make service information available in accessible format upon request.

Subrecipients make service information available in accessible format upon request.

Lift Deployment at Any Designated Stop. Subrecipients must not refuse to permit a passenger who uses a lift to disembark from a vehicle at any designated stop, unless the lift cannot be deployed, the lift will be damaged if it is deployed, or temporary conditions preclude the safe use of the stop by all passengers.

Subrecipients does not refuse to permit a passenger who uses a lift to disembark from a vehicle at any designated stop, unless the lift cannot be deployed, the lift will be damaged if it is deployed, or temporary conditions preclude the safe use of the stop by all passengers.

Service to Persons Using Respirators or Portable Oxygen. Subrecipients may not deny service to individuals using respirators or portable oxygen.

Subrecipient does not deny service to individuals using respirators or portable oxygen.

Adequate Time for Vehicle Boarding/ Disembarking. Subrecipients must ensure adequate time for individuals with disabilities to board or disembark a vehicle.

Subrecipients ensure adequate time for individuals with disabilities to board or disembark a vehicle.

Training. Subrecipients must provide training to operators of fixed route and demand responsive service including training for the safe operation of the vehicles and accessibility equipment and the proper treatment of persons with disabilities.

Operators of fixed route and demand responsive service are trained for the safe operation of the vehicles and accessibility equipment and the proper treatment of persons with disabilities.

Note the State of Wisconsin sponsors such training through the Wisconsin Rural Transportation Assistance Program (RTAP). For more information go to the web site <http://www.wisconsinrtap.com/Training.html>. Rural subrecipient and their providers are eligible to receive partial reimbursement the cost of this training using federal RTAP funding.

ADA Review and Requirements for 5311 providers of fixed route service

Each public entity operating a fixed route system must provide paratransit or other special service to individuals with disabilities that is comparable to the level of service provided to individuals without disabilities who use the fixed route system. All state subrecipients operating public fixed route service, including private non-profit entities, must comply with this requirement as they operate the service on behalf of the state, which is a public entity.

Note: Route deviation and point deviation systems are defined as demand responsive systems, and are not subject to the complementary paratransit requirement. One key factor to consider in determining if a transit system is fixed route or demand responsive is if an individual must request the service in some way, typically by making a phone call in advance. With fixed route service, no action is needed to access the service. If a person is at the bus stop at the time the bus is scheduled to appear, then the person can use the service. With demand responsive service, the individual typically must make a phone call in order to ride the bus. A system that permits user-initiated deviations from routes or schedules generally fits the definition of demand responsive service.

Each subrecipient operating a fixed route service and required to provide complementary paratransit service is required to develop and submit to the state for review and approval, a

complementary paratransit plan, providing for full compliance, before starting fixed-route service. Once the plan is approved, WisDOT is only required to obtain updates when circumstances change.

Attach a copy of the most recent complementary ADA paratransit plan and reference for your fixed route transit system. .

The State of Wisconsin will review the plan for compliance with ADA requirements including the following items:

ELIGIBILITY

Process strictly limits eligibility to those who are unable to use fixed route service.

Eligibility decisions are made within 21 days of receipt of a complete application or presumptive eligibility granted.

Persons denied eligibility or given conditional eligibility are given a written statement of the reason and notice of their right to appeal.

Appeals process offers opportunity to be heard, separation of function, decision within 30 days, and written notification of decision with reason for it.

SERVICE STANDARDS

Provision of service to an ADA eligible individual, personal care attendant (PCA), and one companion, (additional companions on a space available basis) and visitors.

Origin-to-destination service

Service within 3/4-mile corridors of fixed routes and the core area.

Next day service.

Trips scheduled within one hour of the requested trip.

Fares no more than twice the fixed route fare; no fare charged PCAs.

No priorities based on trip purpose.

Service available the same hours and days as fixed route service.

Subscription service capped at 50 percent unless there is non-subscription capacity.

CAPACITY CONSTRAINTS

No pattern or practice of reservation or service capacity constraints

Proper tracking of trip denials.

EXHIBIT V- SCHOOL BUS OPERATIONS (★5311 APPLICANTS)

School Bus Protections Compliance Questionnaire Checklist

The Federal Transit Administration defines “tripper service” as “regularly scheduled mass transportation service which is open to the public, and which is designed or modified to accommodate the needs of school students and personnel using various fare collections or subsidy systems.

Does the transit agency offer tripper service? _____Yes _____No

If “Yes” please complete the following:

The agency’s “tripper service”:

_____ Is open to the general public.

_____ Does not display school bus signs.

_____ Serves regular transit stops (fixed route only).

_____ Is delineated on route maps (fixed route only) and schedules.

EXHIBIT W – ASSET INVENTORY AND MAINTENANCE PLANS (☆5311 APPLICANTS)

Applicants are required to provide WisDOT with an updated inventory of federally funded assets and other transit fleet vehicles as part of each application. To provide updated inventory data, visit WisDOT’s FTP site, <ftp://ubtlrlocgov:69PR3d7g@ftp.dot.state.wi.us>, open the “5311 Asset Inventories” folder, and select the appropriately named transit system inventory file. Check the enclosed data and make corrections as needed. Then open and complete the file [Non-Fed funded vehicles.xlsx](#). Instructions for filling out the forms are available at the FTP site.

Note: inventory files will be posted no later than September 15, 2011.

Applicants also are required to include with each application a copy of current vehicle, equipment, and facility maintenance plan(s), if these plans have been revised in the past year and have not been subsequently submitted to WisDOT.

Please e-mail updated inventories and maintenance plans as separate files accompanying your state aid application.

EXHIBIT X – TITLE VI (☆5311 APPLICANTS)

FTA Civil Rights Title VI regulations require that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participating in, or denied the benefits of, or be subject to discrimination under any program, or activity receiving Federal financial assistance. Federally supported transit services and related benefits shall be distributed in an equitable manner.

Title VI requirements extend to the following areas:

- Title VI Complaint Procedures - Subrecipients shall provide a copy of the procedures established for filing a Title VI complaint. (See Attachment X.1 for additional information)

Does your transit system have complaint procedures it follows in addressing a Title VI complaint?

- Yes (Please attach a copy of your complaint procedures)
 - No (Please contact WisDOT for assistance in this area)
- Record of Title VI investigations, complaints or lawsuits - Subrecipients shall provide a list of any Title VI investigations, complaints, or lawsuits filed with the agency since the time of the last application submittal. (See Attachment X.2 for additional information)

Provide information in Attachment Q-2 in Certifications and Assurances.

- Notifying Beneficiaries of Their Rights Under Title VI - Subrecipients shall provide a notice that it complies with Title VI and procedures the public may follow to file a discrimination complaint. (See Attachment X.3 for additional information)

Does your transit system provide notice of Title VI compliance requirements and complaint procedures to the public?

- Yes (Please attach a sample of the notification and indicate how it is disseminated)
 - No (Please contact WisDOT for assistance in this area)
- Inclusive Public Participation - Subrecipients shall provide a summary of public outreach and involvement activities undertaken since the last application submission and a description of steps taken to ensure that minority persons had meaningful access to these activities. (See Attachment X.4 for additional information)

Does your transit system make efforts to ensure minority persons had meaningful access to participate in proposed transportation decisions?

- Yes (Please attach a summary of public outreach and involvement activities)
 - No (Please contact WisDOT for assistance in this area)
- Access to Services by Persons with Limited English Proficiency (LEP) - Subrecipients shall provide either a copy of the agency's plan for providing access to meaningful activities and programs for persons with LEP which was based on the WisDOT LEP guidance or a copy of the agency's alternative framework for providing access to activities and programs. (See Attachment X.5 for additional information)

Does your transit system have a LEP access plan?

- Yes (Please attach a copy of your access procedures)
- No (Please contact WisDOT for assistance in this area)

ATTACHMENT X.1 – COMPLAINT PROCEDURES

In order to comply with 49 CFR Section 21.9(b), recipients and subrecipients shall develop procedures for investigating and tracking Title VI complaints filed against them and make their procedures for filing a complaint available to members of the public upon request. In order to reduce the administrative burden associated with this requirement, subrecipients may adopt the Title VI complaint investigation and tracking procedures developed by the recipient.

ATTACHMENT X.2 – TITLE VI RECORD

In order to comply with 49 CFR Section 21.9(b), recipients and subrecipients shall prepare and maintain a list of any active investigations conducted by entities other than FTA, lawsuits, or complaints naming the recipient and/or subrecipient that allege discrimination on the basis of race, color, or national origin. This list shall include the date of the investigation, lawsuit, or complaint was filed; a summary of the allegation(s); the status of the investigation, lawsuit, or complaint; and actions taken by the recipient or subrecipient in response to the investigation, lawsuit, or complaint.

ATTACHMENT X.3 – NOTIFYING BENEFICIARIES OF THEIR TITLE VI RIGHTS

Subrecipients shall provide information to the public regarding their Title VI obligations and apprise members of the public of the protections against discrimination afforded to them by Title VI. Recipients and subrecipients that provide transit service shall disseminate this information to the public through measures that can include but shall not be limited to a posting on the agency's Web site.

a. Contents. The notice shall include:

- (1) A statement that the agency operates programs without regard to race, color, and national origin.
- (2) A description of the procedures that members of the public should follow in order to request additional information on the recipient's or subrecipient's nondiscrimination obligations.
- (3) A description of the procedures that members of the public should follow in order to file a discrimination complaint against the recipient or subrecipient.

b. Effective Practices for Fulfilling the Notification Requirement. In complying with the above requirements, recipients and subrecipients should keep the following guidance in mind:

- (1) Dissemination. Agencies may inform the public of their rights under Title VI through such measures as posters, comment cards, or flyers placed at stations and in transit vehicles. The type, timing, and frequency of these measures are at the recipient's or subrecipient's discretion.

(2) General notification. Agencies may include a statement of nondiscrimination on the basis of race, color, and national origin as part of a broader statement of its commitment to nondiscriminatory service. This broader statement can also include a commitment to nondiscrimination on the basis of characteristics not covered by Title VI, such as age, gender, and disability.

(3) Document translation. Notices detailing a recipient's or subrecipient's Title VI obligations and complaint procedures should be translated into languages other than English, as needed and consistent with the DOT LEP Guidance.

(4) Subrecipients. In order to reduce the administrative burden associated with this requirement, subrecipients may adopt the Title VI Notice developed by the recipient however, subrecipients should notify their beneficiaries that they may file discrimination complaints directly with the subrecipient.

ATTACHMENT X.4 – PUBLIC PARTICIPATION

Subrecipients should seek out and consider the viewpoints of minority, low-income, and LEP populations in the course of conducting public outreach and involvement activities. An agency's public participation strategy shall offer early and continuous opportunities for the public to be involved in the identification of social, economic, and environmental impacts of proposed transportation decisions.

a. Effective Practices for Fulfilling the Inclusive Public Participation Requirement. Subrecipients have wide latitude to determine how, when, and how often specific public involvement measures should take place, and what specific measures are most appropriate. Recipients should make these determinations based on the composition of the population affected by the recipient's action, the type of public involvement process planned by the recipient, and the resources available to the agency. Efforts to involve minority and low-income people in public involvement activities can include both comprehensive measures, such as placing public notices at all stations and in all vehicles, and measures targeted to overcome linguistic, institutional, cultural, economic, historical, or other barriers that may prevent minority and low-income people and populations from effectively participating in a recipient's decision-making process. Effective practices include:

(1) Coordinating with individuals, institutions, or organizations and implementing community-based public involvement strategies to reach out to members in the affected minority and/or low-income communities.

(2) Providing opportunities for public participation through means other than written communication, such as personal interviews or use of audio or video recording devices to capture oral comments.

(3) Using locations, facilities, and meeting times that are convenient and

accessible to low-income and minority communities.

(4) Using different meeting sizes or formats, or varying the type and number of news media used to announce public participation opportunities, so that communications are tailored to the particular community or population.

(5) Implementing DOT's policy guidance concerning recipients' responsibilities to LEP persons to overcome barriers to public participation.

ATTACHMENT X.5 – ACCESS TO SERVICES BY PERSONS WITH LEP

Title VI and its implementing regulations require that FTA recipients take responsible steps to ensure meaningful access to the benefits, services, information, and other important portions of their programs and activities for individuals who are Limited English Proficient (LEP).

a. Developing a Language Implementation Plan. Recipients and subrecipients can ensure that LEP persons have meaningful access to their programs and activities by developing and carrying out a language implementation plan pursuant to the recommendations in Section VII of the DOT LEP Guidance. Certain FTA recipients or subrecipients, such as those serving very few LEP persons or those with very limited resources may choose not to develop a written LEP plan. However, the absence of a written LEP plan does not obviate the underlying obligation to ensure meaningful access by LEP persons to a recipient's program or activities. Recipients or subrecipients electing not to prepare a written language implementation plan should consider other ways to reasonably provide meaningful access. The elements of an effective implementation plan on language assistance for LEP persons can be found at section VII of the Department's Policy Guidance, located at 70 FR 74087 (2005).

**EXHIBIT Y – FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT
(★5311 APPLICANTS)**

The 2006 Federal Funding Accountability and Transparency Act (FFATA) requires information on federal awards (including federal financial assistance and expenditures) to be made available to the public. Applicants are not requested to attach a completed FFATA Report document at this time. However, any transit system that receives Section 5311 funding will be expected to complete a FFATA at the time the federal grant is awarded to WisDOT. (See Attachment Y.1 for the report document)

ATTACHMENT Y.1 – FFATA REPORT

FFATA Report

Last Updated: 3/2011

Wisconsin Department of Transportation
Bureau of Transit, Local Roads, Railroads & Harbors

BACKGROUND: As required by the Federal Accountability and Transparency Act of 2006 (FFATA) of 2006, beginning in March of 2011, state agencies, including the Wisconsin Department of Transportation (WisDOT), must begin reporting to the federal government specific information associated with the awards we make to our subrecipients for awards (i.e., grants) of over \$25,000. Much of this information we already have. However, we still must collect information regarding your Dun and Bradstreet number (a.k.a. "DUNS number") as well as executive compensation amounts for the five most highly compensated executives of your organization should you meet certain threshold reporting requirements as listed below. **Note: The vast majority of WisDOT grant subrecipients will not meet the threshold reporting requirements and will not be required to report executive compensation.** However, you are still required to complete the executive compensation questions in section 2 below.

Name of Organization: _____

Program(s) from which your organization receives funding (check all that apply):

_____ 5310 _____ 5311 _____ WETAP _____ New Freedom _____ STRAP

SECTION 1

Organization's 9 digit DUNS number (see more information on back):									
--	--	--	--	--	--	--	--	--	--

SECTION 2

Executive Compensation Questions (see definitions on back)	Circle Yes or No	
Our organization received 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards).	Yes	No
Our organization received \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards).	Yes	No
The public does NOT have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm).	Yes	No

If you circled yes to ALL three executive compensation questions above, complete the table below:

Name of 5 Most Highly Compensated Executives	Compensation for Preceding Completed Fiscal Year
1)	
2)	
3)	
4)	
5)	

FFATA Report

Last Updated: 3/2011

Wisconsin Department of Transportation
Bureau of Transit, Local Roads, Railroads & Harbors

SECTION 3

Signature: _____ Printed Name: _____

Title: _____ Date: _____

DUNS NUMBER

A DUNS number is a unique, site specific, nine-digit identification number provided by Dun & Bradstreet (D&B). Since 1994 the Federal government has required that any organization, including non-profits, and state and local governments, must obtain a DUNS number if they are a recipient of Federal funds. A DUNS number can be obtained by visiting the following website: <http://www.dnb.com>

DEFINITIONS

Executive - means officers, managing partners, or any other employees in management positions.

Total compensation - means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

1. Salary and bonus.
2. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
3. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
4. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
5. Above-market earnings on deferred compensation which is not tax-qualified.
6. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

APPENDICES

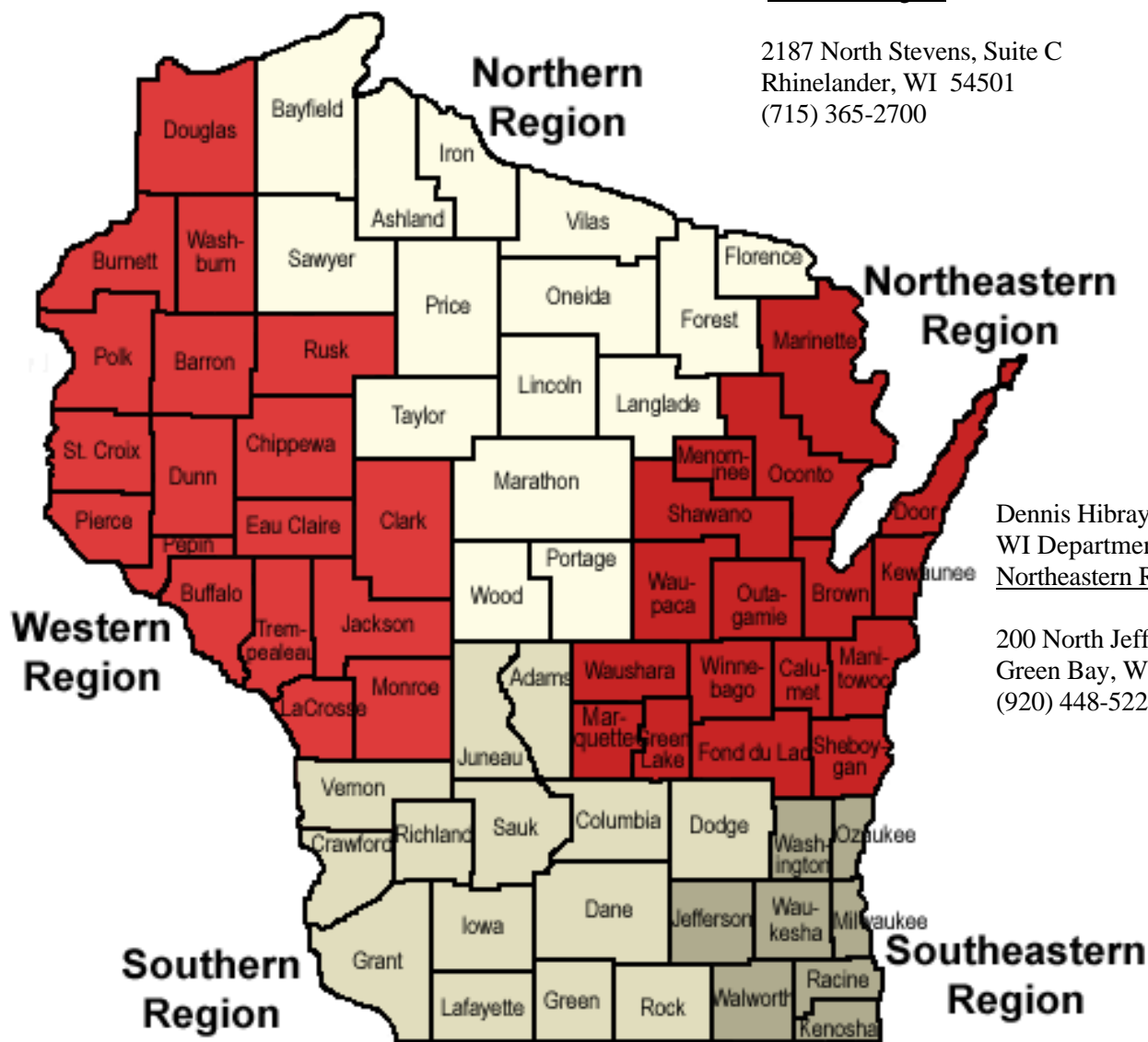
APPENDIX A – Wisconsin Department of Health Services

Elizabeth Giese, Regional Director
 WI Department of Health Services
Western Region

610 Gibson St.
 Eau Claire, WI 54701
 (715) 836-5362

Vacant, Regional Director
 WI Department of Health Services
Northern Region

2187 North Stevens, Suite C
 Rhinelander, WI 54501
 (715) 365-2700



Dennis Hibray, Regional Director
 WI Department of Health Services
Northeastern Region

200 North Jefferson, Suite 411
 Green Bay, WI 54301-5191
 (920) 448-5223

Mary Young, Regional Director
 WI Department of Health Services
Southern Region

1 West Wilson Street, Room 118
 PO Box 7850 Madison, WI 53704
 (608) 261-3500

Robert L. Harris, Regional Director
 WI Department of Health Services
Southeastern Region

819 N. 6th Street, Room 609-A
 62 Milwaukee, WI 53203-1697
 (414) 227-4860

APPENDIX B - AREA AGENCIES ON AGING

Dane County Area Agency on Aging

Barbara Thoni
Executive Director
2322 S. Park Street # A
Madison, WI 53713

Milwaukee County Area Agency on Aging

Stephanie Sue Stein
Director
310 W. Wisconsin Ave. #5W
Milwaukee, WI 53203

Greater Wisconsin Agency on Aging Resources – all other counties

Bob Kellerman
Executive Director
1414 MacArthur Road, Suite A
Madison, WI 53714

Appendix C – Regional Planning Commissions

Bay-Lake Regional Planning Commission

(Brown, Door, Florence, Kewaunee, Manitowoc, Marinette, Oconto, Sheboygan counties)
Richard Heath, Interim Director
441 South Jackson Street
Green Bay, WI 54301

East Central Wisconsin Regional Planning Commission

(Calumet, Fond du Lac, Green Lake, Marquette, Menominee, Outagamie, Shawano, Waupaca, Waushara, Winnebago counties)
Eric Fowle, Director
400 Ahnaip Street, Suite 100
Menasha, WI 54952-3100

Mississippi River Regional Planning Commission

(Buffalo, Crawford, Jackson, La Crosse, Monroe, Pepin, Pierce, Trempealeau, Vernon counties)
Gregory Flogstad, Director
1707 Main Street, Suite 240
La Crosse, WI 54601

North Central Wisconsin Regional Planning Commission

(Adams, Forest, Juneau, Langlade, Lincoln, Marathon, Oneida, Portage, Vilas, Wood counties)
Dennis Lawrence, Director
210 McClellan Street, Suite 210
Wausau, WI 54403

Northwest Regional Planning Commission

(Ashland, Bayfield, Burnett, Douglas, Iron, Price, Rusk, Sawyer, Washburn, Taylor counties)
Myron Schuster, Director
1400 South River Street
Spooner, WI 54801

Southeastern Wisconsin Regional Planning Commission

(Kenosha, Milwaukee, Ozaukee, Racine, Walworth, Washington, Waukesha counties)
Ken Yunker, Director
W239 N1812 Rockwood Drive
P.O. Box 1607
Waukesha, WI 53188

Southwestern Wisconsin Regional Planning Commission

(Grant, Green, Iowa, Lafayette, Richland counties)
Larry Ward, Director
One University Plaza, Room 719
Platteville, WI 53818

West Central Wisconsin Regional Planning Commission

(Barron, Chippewa, Clark, Dunn, Eau Claire, Polk, St. Croix counties)
Jay Tappen, Director
800 Wisconsin Street, Mailbox #9
Eau Claire, WI 54703-3606

No Commission with the authority to address transportation is designated for Columbia, Dane, Dodge, Jefferson, Rock, Sauk counties. No letter should be sent.

Appendix D Section 85.205 Funding Distribution

Tier A-1 (Milwaukee)	-	\$1,449,200
Tier A-2 (Madison)	-	\$380,800
Tier B + C	-	\$670,000

System	% of expenses for this group	% of revenue miles for this group	85.205 funding based on expenses	85.205 funding based on revenue miles	85.205 funding TOTAL
Appleton	10.74%	14.44%	\$35,979	\$48,376	\$84,355
Beloit	2.51%	2.45%	\$8,408	\$8,209	\$16,617
Eau Claire	6.85%	6.59%	\$22,948	\$22,078	\$45,026
Fond du Lac	2.10%	2.94%	\$7,034	\$9,851	\$16,885
Green Bay	10.57%	7.98%	\$35,410	\$26,735	\$62,145
Janesville	3.76%	3.26%	\$12,596	\$10,923	\$23,519
Kenosha	9.29%	8.52%	\$31,122	\$28,544	\$59,666
La Crosse	7.59%	9.15%	\$25,427	\$30,655	\$56,082
Monona	0.23%	0.40%	\$769	\$1,342	\$2,111
Oshkosh	5.82%	7.86%	\$19,497	\$26,333	\$45,830
Racine	9.87%	9.22%	\$33,065	\$30,889	\$63,954
Sheboygan	5.71%	5.74%	\$19,128	\$19,231	\$38,359
Superior	1.69%	1.94%	\$5,662	\$6,501	\$12,163
Waukesha	12.52%	10.24%	\$41,942	\$34,306	\$76,248
Wausau	5.54%	3.89%	\$18,559	\$13,034	\$31,593
Manitowoc	3.07%	3.43%	\$10,285	\$11,492	\$21,777
Stevens Point	2.14%	1.94%	\$7,169	\$6,501	\$13,670
TOTALS	100.0%	100.0%	\$335,000	\$335,000	\$670,000

APPENDIX E
FORMS REQUIRED BY WisDOT

The table below identifies the forms WisDOT requires for each type of transit system:

Type of System	Required Forms
Urbanized Bus	<ul style="list-style-type: none"> • Urban Bus Operations Report (Quarterly) • System Effectiveness & Performance Goals Quarterly Report
Non-Urbanized Bus	<ul style="list-style-type: none"> • Urban Bus Operations Report (Quarterly) • Section 5311 Quarterly Requisition • Section 5311 DBE Semi Annual Report (April and October) • System Effectiveness & Performance Goals Quarterly Report

Please submit as required the appropriate forms for the type of transit system for which operating assistance is being requested, as found in Appendix E.

URBAN BUS OPERATIONS REPORT

DT1489 9/2005

Wisconsin Department of Transportation

Year: _____

1. MUNICIPALITY/TRANSIT SYSTEM:

2. Period Covered - Check one

1 st Quarter <input type="checkbox"/> Jan. 1–Mar. 31	2 nd Quarter <input type="checkbox"/> Apr. 1-June 30	3 rd Quarter <input type="checkbox"/> July 1-Sept. 30	4 th Quarter <input type="checkbox"/> Oct. 1-Dec. 31
--	--	---	--

3. OPERATING CHARACTERISTICS

A. PASSENGER TRIPS	FIXED ROUTE	DEMAND RESPONSIVE (PARATRANSIT)			TOTALS FOR THE REPORTING PERIOD
		ADA SERVICE	NON-ADA SERVICE	OTHER PURCHASED SERVICE	
Revenue Trips					
“Free Fare” Trips					
Transfer Trips					
TOTAL					
B. PASSENGER REVENUE	\$	\$	\$	\$	\$
C. VEHICLE MILES					
Revenue Miles					
Total Miles					
D. VEHICLE HOURS					
Revenue Hours					
Driver Pay Hours					
E. GALLONS OF FUEL					

4. COMMENTS

5. CERTIFICATION: I certify that the information presented on this form is true and correct.

X (Transit Manager)	_____ (Date)	X (Prepared By)	_____ (Date)
------------------------	-----------------	--------------------	-----------------

URBAN BUS OPERATIONS REPORT

REPORTING INSTRUCTIONS AND DEFINITIONS

The Wisconsin Department of Transportation requires each urban transit system receiving state operating assistance under s.85.20 Wis. Stats. to file a report of urban transit operations. This report is due on the 30th day following the end of the reporting quarter, or the 30th day following the end of each calendar year.

This form is for reporting transit operations data associated with a system's regularly scheduled urban transit operation. The system shall include routes that are generally known as express, shuttles, trippers, extras, route guarantees, specials, and special contract routes or services open to the general public. Special subsystems providing service exclusively for the elderly and disabled population shall be included if the subsystem's operating expenses are included in the mass transit system's program under s.85.20 Wis. Stats.. Data pertaining to all other transit operations, i.e., charter, are not to be included on this report.

1. **TRANSIT SYSTEM:** Identify the sponsoring municipality or grantee, and the transit system by its official name.
2. **PERIOD COVERED:** Check the box representing the year's quarter to which the report pertains, or check the year-end box for the annual report.
3. **OPERATING CHARACTERISTICS:** Provide the requested information under fixed route or demand responsive service as applicable to your systems' operating characteristics. Under 3A, 3B, 3C, 3D, and 3E include the grand totals for the reporting period for the combined figures under fixed route and/or demand responsive services as applicable to your system.
 - A. **PASSENGER TRIPS:**

Revenue Trips include trips taken on an urban mass transit system by any passenger who pays a fare to use the urban mass transit system, or by any passenger for whom a fare has been paid by another under contract or other arrangement with the urban mass transit system. Transit riders boarding with a daily, weekly, or monthly pass shall be counted as revenue passengers each time they board and use their pass. Special subsystems providing service exclusively for elderly and disabled persons shall be included to the extent that the subsystem's operating expenses are included in the mass transit's program under s.85.20 Wis. Stats. If the subsystem's operating expenses are not fully supported by the participating urban mass transit system, then the revenue passengers' trip figures from the subsystem shall be in proportion to the transit system's share of the subsystem's operating expenses.

Free Fare Trips include trips taken on an urban mass transit system by any passenger who does not pay a fare or for whom a fare has not been paid by another or who does not use a transfer.

Transfer Trips include trips taken on an urban mass transit system by any passenger who uses a transfer or other equivalent

TOTAL equals the sum of Revenue Trips, Free Fare Trips, and Transfer Trips.
 - B. **PASSENGER REVENUE:** Report revenue collected for each revenue passenger trip. Be sure to report revenue collected from **all sources**.
 - C. **VEHICLE MILES:** Vehicle miles are to be reported in two categories: "Revenue Miles" and "Total Miles." Revenue miles are those miles which are operated while in **revenue service**. Revenue miles do not include deadhead miles. Total miles include all mileage, i.e., revenue miles, deadhead miles, training miles, etc.
 - D. **VEHICLE HOURS:** Vehicle hours are to be reported in two categories: "Revenue Hours" and "Driver Pay Hours." Revenue hours include only the hours of **scheduled transit service**. Do not include time in deadhead service. Total driver pay hours include scheduled service hours, preparatory time, check-in or check-out time, deadhead time, penalty time, guarantee time, training time and all other duty time assigned to drivers for fueling, cleaning, maintenance, etc.
 - E. **GALLONS OF FUEL:** Report the total gallons consumed in revenue service vehicles only during the reporting period including both gas and diesel fuel. Do not report gallons consumed in nonpassenger carrying service vehicles.
4. **COMMENTS:** Use this space to report any unusual occurrences which took place during the reporting quarter, i.e., strikes, free fare days, tariff changes, route changes, etc.
5. **CERTIFICATION:** Sign and date the report. SEND TO:

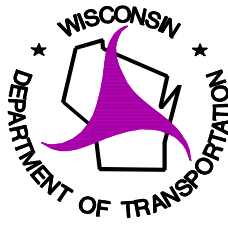
DTIM BTLRH, RM. 951
WISCONSIN DEPARTMENT OF TRANSPORTATION
PO BOX 7913
MADISON, WI 53707-7913

**INSTRUCTIONS TO GRANTEE FOR PREPARATION
AND FILING OF SECTION 5311 OPERATING ASSISTANCE
REQUISITION AND CERTIFICATION**

- Item 1. The GRANTEE'S NAME must be the same as that which appears on the Section 5311 Operating Assistance contract for the grant year.
- Item 2. The ADDRESS must be the address of the municipal official who is authorized to sign the Section 5311 contracts.
- Item 3. The PROJECT YEAR is the calendar year in which the expenses were incurred.
- Item 4. The DATE OF CLAIM should be the date on which the requisition is signed.
- Item 5. TYPE OF REQUISITION. Place a "✓" or an "X" in the appropriate box. All requisitions are progress payments until the closeout audit is complete.
- Item 6. PERIOD COVERED. Place a "✓" or an "X" in the appropriate box. The year-end closing covers expenses which were incurred one year but not paid until after the beginning of the following year. In accordance with the contract provisions, the recipient agrees to pay the total operating deficit of the project system as its bills become due. It is expected that all bills for one year will be paid by the end of the first quarter of the following year. A year-end requisition may be submitted whenever the last expense of the project year is paid.
- Item 7. PROJECT MILES. Show the number of miles operated on the project service during the quarter for which assistance is being sought.
- Item 8. PROJECT PASSENGERS. Show the number of passengers carried on the project service during the quarter for which assistance is being sought.
- Item 9. CASH DISBURSED ON PROJECT YEAR'S EXPENSES. This item should show only the cash paid during the requisition period on expenses relating to the appropriate project year.
- Item 10. PROJECT REVENUE. Should reflect actual revenue received during the claim period. CONTRA EXPENSES are revenue items which directly offset transit expenses (fuel tax rebates, freight revenue, etc.). The year-end closing requisition would normally show only revenue adjustments and contra-expenses not a summary or tabulation of total year activities.
- Item 11. NET PROJECT EXPENSES. Computed by subtracting Item 10 from Item 9.
- Item 12. AMOUNT ELIGIBLE FOR REIMBURSEMENT. This is the amount being claimed for reimbursement and is arrived at by multiplying Item 11 by the percent stated on the first page of the federal operating assistance contract for the project year.
- Item 13. CERTIFICATION. Must be made by a municipal official authorized to execute the grant award and request payment.
- Item 14. **DO NOT MAKE ANY ENTRIES IN THIS SECTION.**

Upon appropriate completion of this form, mail the form with **ORIGINAL SIGNATURE** to:
WISCONSIN DEPARTMENT OF TRANSPORTATION
PUBLIC TRANSIT CHIEF, RM. 951
PO BOX 7913

MADISON, WI 53707-7913



System Effectiveness and Performance Goals

1. MUNICIPALITY / TRANSIT SYSTEM:

2. REPORTING PERIOD: Calendar Year _____ (Check one below)

1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
<input type="checkbox"/> (Jan 1-Mar 31)	<input type="checkbox"/> (Apr 1-Jun 30)	<input type="checkbox"/> (Jul 1-Sep 30)	<input type="checkbox"/> (Oct 1-Dec 31)

3. PERFORMANCE MEASURES

	Projected	Actual by Quarter				Year To Date Actual
		1 st Qtr.	2 nd Qtr.	3 rd Qtr.	4 th Qtr.	
Expense / Revenue Hour						
Expense / Passenger						
Revenue/Expense Ratio (Operating Ratio)						
Passengers/ Revenue Hour						
Passengers / Capita						
Revenue Hours / Capita						

4. CERTIFICATION: *I certify that the information presented on this form to the Wisconsin Department of Transportation is true and correct.*

X _____
(Preparer)

X _____
(Authorized Municipal Official)

(Date)

SYSTEM EFFECTIVENESS AND PERFORMANCE GOALS REPORT REPORTING INSTRUCTIONS AND DEFINITIONS

The Wisconsin Department of Transportation requires each urban transit system receiving state operating assistance under s.85.20 to file a quarterly report of urban transit system effectiveness and performance. This form is for reporting transit operations data associated with a system's regularly scheduled urban transit operation. This report is due within 60 days following the end of the reporting quarter, and the end-year report is due on February 28 of the following year.

1. **MUNICIPALITY / TRANSIT SYSTEM:** identify the sponsoring municipality or grantee, and the transit system by its official name.
2. **REPORTING PERIOD:** Check the box representing the year's quarter to which the report pertains, or check the year end box for the annual report.
3. **PERFORMANCE MEASURES:** Establish annual service and performance goals and assess the effectiveness of the applicant's transit system in relation to those goals. Enter the initial projected statistic for each measure in the 'Projected' column. This statistic should remain the same for each report in a calendar year. Report on each measure by quarter, and track actual year-to-date performance in the last column.
 - 3A. **EXPENSE/REVENUE HOUR:** The ratio of operating expenses to revenue hours.
 - 3B. **EXPENSE/PASSENGER:** The ratio of operating expenses to passengers, as expressed in unlinked trips.
 - 3C. **REVENUE/EXPENSE RATIO (OPERATING RATIO):** The ratio of revenues to operating expenses.
 - 3D. **PASSENGERS/REVENUE HOUR:** The ratio of passengers, as expressed in unlinked trips, to revenue hours.
 - 3E. **PASSENGERS/CAPITA:** The ratio of passengers, as expressed in unlinked trips, to service area population.
 - 3F. **REVENUE HOURS/CAPITA:** The ratio of revenue hours to service area population.
4. **CERTIFICATION:** Must be made by a municipal official authorized to execute the grant award and request payments under this program. Sign and date the report.

SEND TO:

**WISCONSIN DEPARTMENT OF TRANSPORTATION
BUREAU OF TRANSIT, LOCAL ROADS, RAILROADS AND HARBORS, ROOM 951
4802 SHEBOYGAN AVE
P O BOX 7913
MADISON, WI 53707-7913**

APPENDIX F

ACCOUNT CLASSIFICATIONS

Wisconsin Department of Transportation

Bureau of Transit, Local Roads, Railroads and Harbors

Expense Classifications

501.01 Operator's Salaries

The labor of employees of the transit system who are classified as revenue vehicle drivers.

501.02 Other Salaries

The labor of non-drivers which includes dispatchers, in-house accountants, custodial help and mechanics. This category does not include the negotiated management fee.

502.00 Fringe Benefits

Payments or accruals to others (insurance companies, state and Federal government) on behalf of an employee. This also includes benefits paid to an employee arising from other than the performance of work (holiday, vacation, other).

503.01 Management Fee

Amount reported should be equal to the amount specified in the contract.

503.02 Advertising Agency Fees

This account includes outside advertising agency fees for labor and materials. *All other advertising costs, including media, should be charged to 509.08 Miscellaneous Expenses: Advertising/Promotion Media.*

503.03 Professional/Technical

This account includes items such as legal and accounting costs purchased from an outside vendor.

503.03 Computer

Includes items such as payroll processing services from an outside vendor.

503.05 Contract Maintenance

Includes items such as maintenance agreements for office equipment (photocopy machines and computers), radio equipment, and regular vehicle repairs.

503.08 City Administrative Fee

Includes costs incurred by the recipient for grant administration, administrative staff time, advertising costs of public hearings, procurement notices, etc. **Any municipal employees who spend more than 208 hours (10% of an FTE) on transit duties should not be include in this designation, and should be listed in Exhibit E, "Labor".**

503.99 Other Services

Includes temporary help cost and custodial services provided by an outside vendor.

504.01 Fuel and Lubricants

Includes costs of gasoline, diesel fuel, propane, lubricating oil, transmission fluid, grease etc., purchased during the contract period for use in vehicles. This line should only have entries with municipalities that run their own transit systems, as fuel costs paid by contractors should be included under “Purchased Transportation” (508.00). The cost reported should be net of all fuel taxes paid. State taxes are refundable and should be removed from fuel costs. *Federal fuel taxes are to be reported separately under account 507.05 Fuel and Lubricant Tax.*

504.02 Tires and Tubes

Includes cost of replacement tires and tubes installed on vehicles. Large quantity purchases of tires which are not being installed on vehicles at time of purchase, should be inventories and charged against the grant as used. Also includes lease payments for tires and tubes rented from a vendor.

504.99 Other Materials and Supplies

Includes cost of all other materials and supplies not included in 504.01 and 504.02 such as vehicle maintenance parts, office supplies, forms, cleaning supplies, etc.

505.02 Telephone

Includes cost of telephone and facsimile services.

505.03 Other Utilities

Includes cost of electric, gas, water and sewer. If a shared facility is used, include only the pro-rated percentage of utilities as negotiated with the Bureau of Transit and specified in your grant application.

506.00 Casualty and Liability

Report liability insurance premiums separately from physical damage insurance premiums.

507.03 Property Tax

Includes taxes on facilities only up to the percentage of facilities funded under the grant.

507.04 License and Registration

Includes costs on revenue vehicles only.

507.05 Federal Fuel Tax

Federal taxes paid on purchases of fuel made during the calendar year. Sales and excise taxes on materials and services purchased other than fuel and lubricants are not included in this category, but are to be accounted for as part of the base price of the material or service.

508.00 Purchased Transportation

Payments to other transit systems to support their operations of passenger transit services. If your service was competitively bid, report the bid amount on this line. **All third-party contracts for transportation service should be listed in this section, and should include all expenses the contractor incurs related to providing the service, including fuel, management fee, salaries of contractor employees, and leasing of space.**

509.00 Miscellaneous Expenses

Includes cost items such as dues, subscriptions, travel, meetings and all other items which cannot be attributable to any of the other major expense categories. A description of the cost item must be shown for all miscellaneous items. *Advertising media fees and expenses should be shown under 509.08.*

511.01 Interest Expense

Include only eligible short-term operating interest expense. Interest paid on capital purchases is not eligible and should not be included.

512.00 Leases and Rentals

Include costs of leasing facilities or vehicles. Lease payments to a related party which are made under less than an arms-length agreement, are limited to the actual costs of owning the property. The actual expenses of owning the property include depreciation expense, taxes, and maintenance expense.

Less Package Delivery

Include expenses associated with freight services, charter operations or other businesses whose expenses are included in the expenses above. If these expenses are not segregated from the transit operation, an amount equal to the revenue generated would be reported on this line. List any amount your system stands to receive from section 85.205 (see Appendix D) in this section under "other" expenses, as the amount of 85.205 funds will be subtracted from your total expenses for purposes of determining the amount of State and Federal Operating Assistance. *Expenses incurred from other U.S. DOT programs (i.e. JARC, STRAP, etc.) can also be reported on this line, or as "Other Revenue".*

Revenue Classifications

400.00 Passenger Fares

Includes passenger fares for all fare categories. The reported fares should include all fares earned during the contract period January 1 through December 31. Uncollected fares at year-end should be accrued and reported on this statement. **Contract revenues (flat fees for services) should be listed as "local share" in Exhibit I, and not as passenger fares.**

404.01 Freight Tariffs

Includes all revenues from package or freight delivery.

406.00 Miscellaneous Revenues

Includes station and vehicles concessions, advertising revenue, sale of maintenance services, rental revenues, sales of fixed assets, and investment income. A description of the revenue item must be shown for all miscellaneous revenues.

450.00 Other Revenue

Includes financial assistance received from other governmental programs (i.e. CMAQ, WETAP, etc.) for operating transit services.

Other Account Classifications as Identified on the Grant Application

Revenue Classifications from Grant Application

400.00 Passenger Fares
401.01 Full Adult Fares
401.02 Senior Citizen Fares
401.03 Student Fares
401.04 Child Fares
401.05 Handicapped Rider Fares
401.99 Other Primary Ride Fares
404.01 Freight Tariffs (Package Delivery)
405.01 Charter Service Revenue
406.00 Auxiliary Transportation Revenues
406.01 Station Concessions
406.02 Vehicle Concessions
406.03 Advertising Services
406.04 Automotive Vehicle Ferriage
406.99 Other
407.00 Non Transportation Revenues
407.01 Sale of Maintenance Services
407.02 Rental of Revenue Vehicles
407.03 Rental of Bldg. And Other Property
407.04 Investment Income
407.99 Other Non Transportation Revenue
405.00 Other Revenue

Expense Classifications from Grant Application

501.00 Salaries and Wages
501.01 Operators Salaries
501.02 Other Salaries
502.00 Fringe Benefits
502.01 FICA
502.02 Pension
502.03 Medical
502.04 Dental
502.05 Life Insurance
502.06 Short-term Disability
502.07 Unemployment
502.08 Workman's Compensation
502.09 Sick Leave
502.10 Holiday Pay
502.11 Vacation Pay
502.12 Other Paid Absences
502.13 Uniform Allowances
502.14 Other Benefits

503.00 Services
503.01 Management Fees
503.02 Advertising Fees
503.03 Professional Technical Fees
503.03 Computer
503.04 Temporary Help
503.05 Contract Maintenance
503.06 Custodial Services
503.08 City Administrative Fee
503.99 Other Services
504.00 Materials and Supplies
504.1 Gasoline, Diesel Fuel, Oil

Expense Classifications cont'd

504.02 Tires and Tubes
504.99 Vehicle Parts, Postage, Supplies
504.99 Office Furniture and Expenses
505.00 Utilities
505.02 Telephone
505.02 Electric, Gas, Other Utilities
506.00 Casualty and Liability
506.01 Physical Damage Premiums
506.02 Physical Damage Recovery
506.03 Public Liability Premium
506.04 Uninsured PL/PD Payouts
506.05 Uninsured PL/PD Provisions
506.00 Casualty & Liability Cont'd
506.06 Insured PL/PD Payouts
506.07 Pl/PD Recoveries
506.08 Other Corporate Insurance
506.09 Other Corporate Loss
506.10 Other Corporate Loss Recovery
507.00 Taxes
507.03 Property Tax
507.04 License and Registration
507.05 Fuel and Lubricant Tax
507.99 Other Tax
508.00 Purchased Transportation
509.01 Dues and Subscriptions
509.02 Travel and meetings
509.08 Advertising and Promotion
509.99 Other miscellaneous

Appendix G – 2012 Calendar

2012

January

S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

February

S	M	T	W	T	F	S
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29			

March

S	M	T	W	T	F	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

April

S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30					

May

S	M	T	W	T	F	S
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

June

S	M	T	W	T	F	S
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30

July

S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

August

S	M	T	W	T	F	S
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

September

S	M	T	W	T	F	S
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30						

October

S	M	T	W	T	F	S
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

November

S	M	T	W	T	F	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	

December

S	M	T	W	T	F	S
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					