



BOARD OF DIRECTORS OF THE EASTERN SIERRA TRANSIT AUTHORITY

Regular Meeting
Friday March 18, 2016
Town of Mammoth Lakes Council Chambers
Minaret Village Shopping Center, Suite Z
Mammoth Lakes, California
11:30 a.m.

Note: In compliance with the Americans with Disabilities Act, if an individual requires special assistance to participate in this meeting, please contact Eastern Sierra Transit at (760) 872-1901 or 800-922-1930. Notification 48 hours prior to the meeting will enable the Authority to make reasonable arrangements to ensure accessibility to this meeting. (28 CFR 13.102-35.104 ADA Title II)

- | | |
|---|---------------------------|
| 1. CALL TO ORDER | <u>DISPOSITION</u> |
| 2. PLEDGE OF ALLEGIANCE | |
| 3. ROLL CALL | |
| 4. PUBLIC COMMENT | INFORMATION |
| 5. APPROVAL OF MINUTES | ACTION |
| Approval of minutes of the regular meeting of January 15, 2016 | |
| 6. SHORT RANGE TRANSIT PLAN | ACTION |
| Staff recommendation: Board approval is requested to receive the presentation of the Short Range Transit Plan 2015 prepared by LSC Transportation Consultants, which will provide a “road map” for improvements to the public transit program over the upcoming five years, and to provide direction to staff regarding approval of the Plan. | |
| 7. BI-ANNUAL SERVICE ANALYSIS | ACTION |
| Staff recommendation: The Board is requested to approve the proposed Eastern Sierra Transit services to be operated from April through September 2016. | |

8. PRELIMINARY 2016/17 BUDGET

ACTION

Staff recommendation: The Board is requested to receive the FY 2016/17 budget estimate of revenues and expenditures and to provide any desired direction to staff in preparation for the final FY 16/17 budget, which is scheduled to be approved in June 2016.

9. 2016 FEDERAL CERTIFICATIONS AND ASSURANCES APPROVAL

ACTION

Staff recommendation: The Board is requested to authorize the Executive Director to sign the Federal Fiscal Year 2016 Certifications and Assurances.

10. LIVE AND ARCHIVED STREAMING OF BOARD MEETINGS

ACTION

Staff recommendation: The Board is requested to provide direction to staff regarding implementing live and archived streaming of ESTA Board meetings using the Granicus system currently in place for streaming of meetings for the City of Bishop and Town of Mammoth Lakes.

11. REAL-TIME BUS ARRIVAL PREDICTION SYSTEM UPDATE

INFORMATION

Staff recommendation: Information will be presented regarding the transition of the real-time bus arrival prediction system in the Mammoth Lakes area to Swiftly.

12. FINANCIAL REPORT

RECEIVE AND FILE

FY 2015/16 report for the period ending March 15, 2016

13. OPERATIONS REPORT

RECEIVE AND FILE

February 2016

14. REPORTS

INFORMATION

- a. Board Members
- b. Executive Director

15. FUTURE AGENDA ITEMS

16. CLOSED SESSION

DISCUSSION/POSSIBLE ACTION

Conference with Labor Negotiators. (Pursuant to Government Code Section 54957.6) – Authority designated representatives; John Helm, John Vallejo, Jim Tatum. Bargaining Group; ESTA-EEA.

17. REPORT ON CLOSED SESSION AS REQUIRED BY LAW

18. ADJOURNMENT

ACTION

(The next regular meeting is scheduled for April 15, 2016 at 10:00a.m. in the City of Bishop)

EASTERN SIERRA TRANSIT AUTHORITY

Minutes of Friday January 15, 2016 Regular Meeting

The Board of Directors of the Eastern Sierra Transit Authority met at 10:00a.m. on Friday January 15, 2016 at the Town of Mammoth Lakes Council Chambers Mammoth Lakes, California. The following members were present: Jo Bacon, Karen Schwartz, Jeff Griffiths, Mark Tillemans, and Tim Alpers. Directors Michael Raimondo and Joe Pecsí were absent. Director Schwartz led the pledge of allegiance.

Public Comment	The Chairperson opened the public comment period at 10:08a.m. There was no one from the public wishing to address the Board. Public comment was closed.
Employee of the Quarter	Mr. Helm announced that Jill Batchelder was selected as the Employee of the Quarter for the fourth quarter 2015.
Approval of Minutes	Moved by Director Griffiths and seconded by Director Schwartz to approve the minutes of the regular meeting of December 18, 2015. Motion carried 3-0, with Directors Alpers and Tillemans abstaining and with Directors Raimondo and Pecsí absent.
Low Carbon Transportation Operation Program (LCTOP) Grant	Moved by Director Griffiths and seconded by Director Alpers to approve Resolution 2016-01 allocating \$58,040 of FY 2015-16 LCTOP funds for the expansion of Mammoth Express service, a fare reduction for the Mammoth Express 10-Ride pass, and expansion of the Lone Pine Express and, also, authorizing the Executive Director to complete and execute all required documents. Motion carried 5-0, with Directors Raimondo and Pecsí absent.
Drug and Alcohol Policy Update	Moved by Director Griffiths and seconded by Director Alpers to approve Resolution 2016-02 adopting and approving the revised Eastern Sierra Transit Authority Drug and Alcohol Testing Policy to be effective January 16, 2016. Motion carried 5-0, with Directors Raimondo and Pecsí absent.
Donation of Vehicle	Moved by Director Alpers and seconded by Director Schwartz to approve the donation of a 2008 wheelchair accessible minivan to Northern Inyo Hospital. Motion carried 5-0, with Directors Raimondo and Pecsí absent.

<p>Bus Arrival Prediction System Concerns</p>	<p>Mr. Helm presented information detailing concerns with the NextBus system, the bus arrival prediction system that is currently being used by ESTA. The concerns include on-board equipment that is frequently inoperable, and a lack of responsiveness on the part of NextBus staff to time-schedule updates. Mr. Helm reported that a new system, Transitime, is being tested in Mammoth and so far the results have been promising. The original NextBus system was purchased with grant funds and has served its useful life. The ongoing costs to continue with the NextBus are quite high and consistent problems still exist.</p> <p>The Board indicated support for staff to continue to move forward with testing and possible transition to Transitime.</p>
<p>Audited Financial Statements Fiscal Year 2014/15</p>	<p>Mr. Helm presented the audited financial statements for fiscal year 2014/15.</p>
<p>Financial Report</p>	<p>Mr. Helm presented the FY2015/16 Financial Report for the period ending January 12, 2016.</p>
<p>Operations Report</p>	<p>Mr. Helm presented the Operations Report for the month of December 2015.</p>
<p>Board Member Reports</p>	<p>Director Alpers reported that Mono County is currently in the process of formally advertising for an ESTA Board member to represent Mono County.</p> <p>Director Alpers reported that he sometimes follows the bus as he drives, and has been very pleased. The drivers use turn signals, make complete stops at stop signs and drive carefully when road conditions require.</p> <p>Director Griffiths reported that last month while serving as Chairperson of the ESTA Board of Directors he signed the Agreement between ESTA and Inyo County for the provision of Legal Services, Director Griffiths also signed the agreement on behalf of Inyo County, as Chairperson for the Inyo County Board of Supervisors, hence Director Griffiths signed both sides of the Agreement for Legal Services between Eastern Sierra Transit Authority and Inyo County. Inyo County Counsel indicated that this is acceptable.</p>

Executive Director Report	<p>Mr. Helm reported that he provided a letter of support to the Bishop Paiute Tribe for a Transportation Planning Grant on the Bishop Reservation.</p> <p>Everything is set to launch for the new service to Cerro Coso College in Bishop the week of January 18th.</p> <p>It is expected that the Short Range Transit Plan will be presented at the next ESTA Board meeting.</p>
Adjournment	<p>The Chairperson adjourned the meeting at 11:10a.m.</p> <p>The next regular meeting of the Eastern Sierra Transit Authority Board of Directors is scheduled for February 19, 2016 in the City of Bishop.</p>

Recorded & Prepared by:

Susan Distel
Board Clerk
Eastern Sierra Transit Authority

STAFF REPORT

Subject: Short Range Transit Plan

Initiated by: John Helm, Executive Director

BACKGROUND:

In 2015, the Mono County Local Transportation Commission was awarded a Rural Planning Assistance grant on behalf of its sub-applicant, the Eastern Sierra Transit Authority (ESTA), for the preparation of a Short Range Transit Plan (SRTP). As the region's transit operator, ESTA requires an update of the SRTP in order to continue to receive federal transit funding. The previous Short Range Transit Plan, completed in 2009, has been a valuable resource in guiding ESTA's development and was due for an update. The updated short-range transit plan will be supportive of the regional Transportation Improvement Program (TIP), establish a five-year strategic plan for ESTA, serve as justification for federal and state funding, and demonstrate ESTA's stewardship of public funds. In addition the updated SRTP will provide essential information, analysis and recommendations regarding operations, contracts, capital planning, and marketing.

ANALYSIS

The Eastern Sierra Transit Authority, aware of the importance of transportation issues, retained LSC Transportation Consultants, Inc. to prepare a five-year Transit Plan for the region. This SRTP study was conducted to assess transit and related transportation issues in the two county service area and to provide a "road map" for improvements to the public transit program over the upcoming five years. The intent of the study was to evaluate the specific needs for transit services, as well as to develop plans for improvements and service revisions. This has been accomplished through the review of existing transit conditions and evaluation of operations, as well as through public outreach via onboard surveys and community-based meetings. A wide range of alternatives were then evaluated. Additionally, an important element of this study was to identify stable funding sources for operations and capital improvements of transit services. As a whole, this study provides a comprehensive strategy of short-range service, capital, and institutional improvements, with a supporting financial and implementation plan.

The Plan is also used to develop transit capital programming documents which are the basis for State and Federal funding decisions. The Plan provides the Federal Transit Administration (FTA), the California Department of Transportation (Caltrans), and other grant funding agencies with the detailed planning justification for awarding operating and capital grants to ESTA. This Plan was developed through an analysis of existing needs and available services, and provides an evaluation of projected needs and funding availability for the next five years.

This SRTP document first presents and reviews the setting for transportation services, including demographic factors and the recent operating history of the public transit service in the area. A wide range of service, capital, institutional, management and financial alternatives are then discussed. Finally, the resulting plan is presented, including year-by-year implementation and financial strategies. Select highlights of the study include:

- Review of outreach conducted in relation to the study
- Detailed review of ESTA's operating statistics
- Listing of ESTA operating performance, including a peer review
- Analysis of attainment of goals outlined in the previous SRTP
- Discussion of Service, Capital, and Management & Financial Alternatives
- Implementation Plan for proposed alternatives

The draft SRTP has been presented to both the Mono and Inyo County Local Transportation Commissions for their review, and has been reviewed by ESTA staff. Gordon Shaw of LSC Transportation Consultants will present the SRTP to the ESTA Board for its consideration and will be available to answer questions about the plan process.

RECOMMENDATION

The Board is requested to provide direction to staff and/or the consultant regarding completion and approval of the Eastern Sierra Transit Authority Short Range Transit Plan (2015).

STAFF REPORT

Subject: Six-Month Review of ESTA's Transit Services

Initiated by: John Helm, Executive Director

BACKGROUND:

ESTA's Service Change Policy includes a component for bi-annual service planning sessions to allow the Board an opportunity to review and approve the services proposed to be operated for the coming six months.

ANALYSIS/DISCUSSION:

The following pages detail the specific routes that are planned to be operated by Eastern Sierra Transit for what is considered the summer season, from April through September of 2016. The pages detail descriptions of the routes as well as the operating statistics (hours and miles) for the routes including a break-down as to how the services are applied to the Authority's jurisdictions. The information also includes a synopsis of the revenues provided by each of the member entities, federal grant funds, and contract revenues used to fund the services.

The proposed service for the coming six months includes a new summer seasonal route in the June Lake area funded with excess LTF collected by the Mono County Local Transportation Commission. Other possible service expansions that are not in the proposed schedule of services include:

- 5 day per week service to Reno and Lancaster to be funded with a new Section 5311(f) grant
- Addition of a mid-day trip from Lone Pine to Bishop made possible through LCTOP funding

EASTERN SIERRA TRANSIT

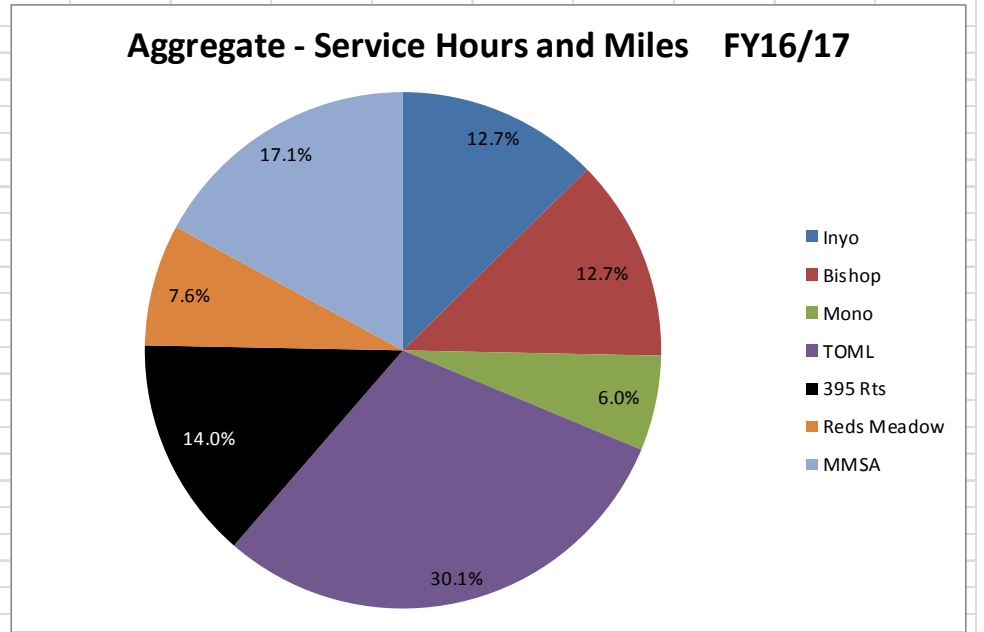
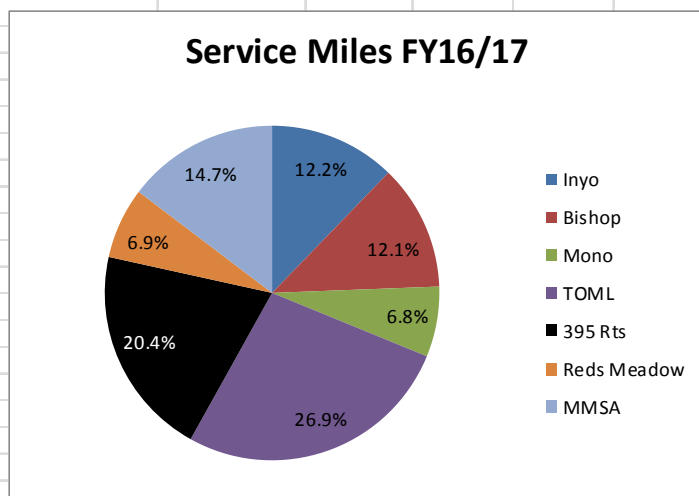
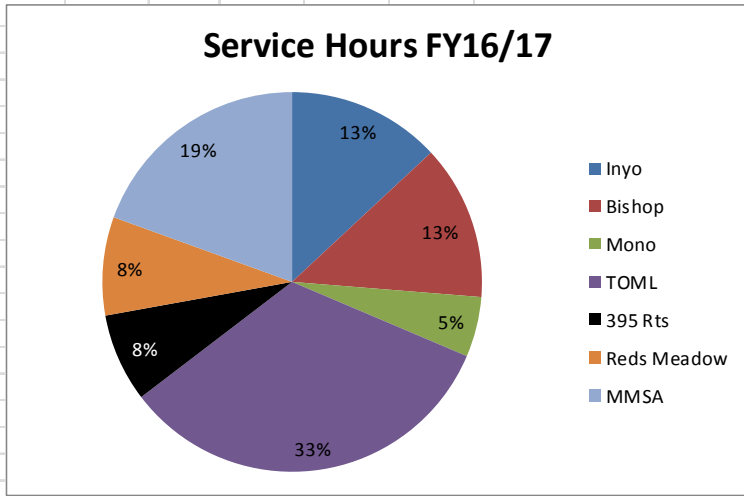
Planned Transit Services: April 2016 through September 2016

Route	Days of the Week							Hours of Service	Year round or Seasonal	Description
	S	M	T	W	T	F	S			
Walker Dial-a-Ride		X	X	X	X			8:00a - 4:00p	Year round	
Bridgeport - Gardnerville				X					Year round	1 roundtrip on Wednesday
June Mountain Shuttle	X	X	X	X	X	X	X		December 15 - April 10	2 roundtrips per day departing Mammoth at 7:20am and return at 8:00am; and departing Mammoth at 4:15pm with return from June at 5:00pm
June Lake Summer Shuttle	X	X	X	X	X	X	X	9:00a - 5:00p	June 25 - Labor Day	Hourly shuttle service operating from 9:00am until 5:00pm with a service break from 1:00pm until 2:00pm for driver meal break. Fixed route from Mammoth to June at 8:30am and return from June to Mammoth at 5:00pm
Mammoth Dial-a-Ride	X	X	X	X	X			8:00a - 5:00p	Year round	Weekdays only
Purple Line	X	X	X	X	X	X	X	7:00a - 6:00p	Year round	
Gray Line	X	X	X	X	X	X	X	7:00a - 6:00p	Year round	
Mammoth Winter Trolley	X	X	X	X	X	X	X	5:45p - 2:00a	Nov. 20 through April 17	2 buses in service providing 20 minute headways.
Mammoth Spring Shoulder Trolley	X	X	X	X	X	X	X	5:45p - 10:00p	April 18 through May 30	1 bus in service providing approximate 30 minute headways., possible service until 2:00am on Friday and Saturdays
Mammoth Summer Trolley	X	X	X	X	X	X	X	9:00a - 2:00a	Mid-June - Labor Day	2 buses in service providing 20 minute headways until 10:pm, 30-min headway until 2:00am.
Mammoth Summer Shoulder Trolley	X	X	X	X	X	X	X	9:00a - 10:00p	Day after Memorial Day until mid-June, and day after Labor Day til MMSA Red Line starts	1 bus in service providing 30 minute headways, possibl service until 2:00am on Friday and Saturdays
Mammoth Lakes Basin Trolley	X	X	X	X	X	X	X	8:00a - 6:00p	Mid-June - Labor Day	2 buses in service providing 30 minute headways. 3rd bus operated on peak Saturdays
Mammoth Lakes Basin Trolley (early and late season)	X	X	X	X	X	X	X	8:00a - 6:00p	Memorial Day To Mid-June and day after Labor day to late-September	1 bus in service providing 60 minute headways on weekdays, 2 buses in service providing 30 minute headways on weekends and holidays.
Red Line	X	X	X	X	X	X	X	7:00a - 5:30p	Nov. 21 through Memorial Day	20 minute frequency using a minimum of 3 buses in service
Blue Line	X	X	X	X	X	X	X	7:20a - 5:20p	Dec. 12 - April 17	15 minute frequency using a minimum of 1 bus in service. Start date is dependent on Mammoth Mountain's winter operations
Green Line	X	X	X	X	X	X	X	7:30a - 5:30p	Dec. 12 - April 17	15 minute frequency using a minimum of 1 bus in service. Start date is dependent on Mammoth Mountain's winter operations
Yellow Line	X	X	X	X	X	X	X	7:30a - 5:30p	Dec. 12 - April 17	15 minute frequency using a minimum of 1 bus in service. Start date is dependent on Mammoth Mountain's winter operations
Mammoth Express		X	X	X	X	X			Year round	4 trips/weekday in each direction (departs Bishop 6:50a, 7:30a, 1:00p, and 6:10p; departs Mammoth 7:50a, 2:05p, 5:20p, and 7:00p) [times in red operated in conjunction with 395 Reno route M, T, Th, and Friday]
Reno Route		X	X		X	X			Year round	1 roundtrip per day, M, T, Th, F from Lone Pine to Reno.
Lancaster Route		X		X		X			Year round	1 roundtrip per day, M, W, F from Mammoth Lakes to Lancaster.
Benton to Bishop			X			X		8:30a from Benton 2:30p return	Year round	1 roundtrip/day, 2 days/week (Tue and Fri)
Bishop Dial-a-Ride	X	X	X	X	X	X	X	7:00a - 6:00p M-F; 8:30a - 6:00p Sat; 8:00a - 1:00p Sun	Year round	
Night Rider						X	X	6:00p - 2:00a	Year round	Friday and Saturday nights, as well as New Year's Eve
Lone Pine to Bishop		X	X	X	X	X			Year round	3 trips/weekday in each direction (departs Bishop 7:00a, 1:15p, and 6:30p; departs Lone Pine 6:15a, 8:30a, and 5:00p. 5:00p Lone Pine to Bishop run operated by the 395 Lancaster route on M, W, and Friday.
Lone Pine Dial-a-Ride		X	X	X	X	X		7:00a - 4:00p	Year round	1 bus in service M-F (7 service hours per day)
Tecopa					X			7:00 - 1:00p	Year round	1 roundtrip per day on 2 Thursdays per month from Tecopa to Pahrump

EASTERN SIERRA TRANSIT - SERVICE ANALYSIS by Route and Jurisdiction

March, 2016

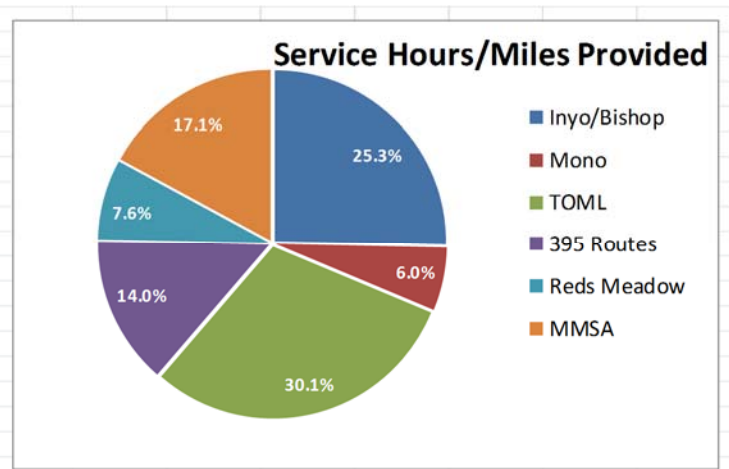
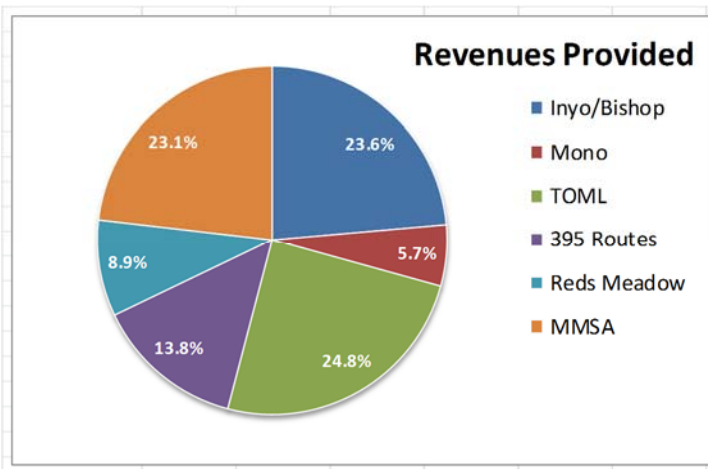
Jurisdiction Assignment						Service Hours										Service Miles						
Inyo	Bishop	Mono	TOML	395 Rts	MMSA	ROUTE	Annual Vehicle Service Hours	Annual Vehicle Miles	Inyo	Bishop	Mono	TOML	395 Rts	Reds Meadow	MMSA	Inyo	Bishop	Mono	TOML	395 Rts	Reds Meadow	MMSA
		100%				Walker Dial-a-Ride	1,509	12,800	0	0	1,509	0	0			0	0	12,800	0	0		
		100%				Bridgeport - Carson City	316	9,950	0	0	316	0	0			0	0	9,950	0	0		
		100%				June Lake Summer Shuttle	572	13,900	0	0	572	0	0			0	0	13,900	0	0		
			100%			Mammoth Dial-a-Ride	2,207	10,300	0	0	0	2,207	0			0	0	0	10,300	0		
			100%			Mammoth Comm Circulators	8,026	122,380	0	0	0	8,026	0			0	0	0	122,380	0		
			100%			Mammoth Trolleys	8,297	116,090	0	0	0	8,297	0			0	0	0	116,090	0		
		100%				Benton to Bishop	178	15,158	0	0	178	0	0			0	0	15,158	0	0		
25%	25%	25%	25%			Mammoth Express	1,310	58,970	328	328	328	328	0			14,743	14,743	14,743	14,743	0		
40%	60%					Bishop Dial-a-Ride	10,226	120,000	4,090	6,136	0	0	0			48,000	72,000	0	0	0		
40%	60%					Night Rider	810	12,400	324	486	0	0	0			4,960	7,440	0	0	0	0	
60%	40%					Lone Pine to Bishop	1,366	62,000	820	546	0	0	0			37,200	24,800	0	0	0	0	
100%						Lone Pine Dial-a-Ride	1,750	13,050	1,750	0	0	0	0			13,050	0	0	0	0	0	
100%						Tecopa	120	2,000	100	0	0	0	0			2,000	0	0	0	0	0	
				100%		395 Route - Reno	2,486	117,500	0	0	0	0	2,486			0	0	0	0	117,500		
				100%		395 Route - Lancaster	1,792	82,078	0	0	0	0	1,792			0	0	0	0	82,078		
				100%		MMSA Routes	11,043	143,600	0	0	0	0	0		11,043	0	0	0	0	0		143,600
				100%		Reds Meadow	4,750	67,500	0	0	0	0	0	4,750		0	0	0	0	0	67,500	
							56,758	979,676	7,412	7,496	2,903	18,858	4,278	4,750	11,043	119,953	118,983	66,551	263,513	199,578	67,500	143,600
									13%	13%	5%	33%	8%	8%	19%	12.2%	12.1%	6.8%	26.9%	20.4%	6.9%	14.7%



EASTERN SIERRA TRANSIT

Operating Revenue Analysis - FY 15/16

	ESTA Total	395 Rts	BALANCE	TOML	INYO/BISHOP	MONO	REDS/OTHER
Fares	706,248	170,235	536,013	11,335	111,184	13,494	400,000
Federal 5311(f)	247,051	247,051					
Inyo Match	87,727	87,727					
Mono Match	87,727	87,727					
Kern Regional Revenue	24,000	24,000					
LTF (excl CREST match)	993,128		993,128	193,118	660,855	139,155	
STA	272,876		272,876	85,063	126,216	61,597	
5311 Apportionment	174,928		174,928	44,000	99,066	31,862	
5316 JARC	75,000		75,000	8,750	57,500	8,750	
TOML Contract Revenue	767,314		767,314	767,314			
MMSA Contract	1,035,000						1,035,000
Misc/Other	0						
TOTAL	4,470,999	616,740	2,819,259	1,109,580	1,054,821	254,858	1,435,000
		13.8%		24.8%	23.6%	5.7%	32.1%



FINANCIAL CONSIDERATIONS

The transit services detailed on the preceding pages, with the exception of the new June Lake Summer Shuttle Route, are included in the FY 2015/16 ESTA budget. All of the routes depicted to operate from July 1, 2016 forward will be included in the FY 2016/17 budget

RECOMMENDATION

The Board is requested to approve the Eastern Sierra Transit services planned to be operated through September 2016.

STAFF REPORT

Subject: Preliminary FY2016/17 Budget

Initiated by: John Helm, Executive Director

BACKGROUND:

ESTA’s Joint Powers Agreement (JPA) states that on or before April 1 of each year, the Authority shall cause to be prepared and submitted to the Board of Directors a proposed budget for the upcoming fiscal year.

ANALYSIS/DISCUSSION:

A preliminary budget for FY2016/17 is being presented to the Board at this time in order to provide preliminary information, and is intended to provide a general financial overview of the upcoming year and to solicit any direction the Board would like to provide prior to finalization of the 16/17 budget.

The preliminary FY2016/17 budget anticipates service levels that are generally consistent with 2015/16. Overall, state transit funding is projected to decline modestly (1.7%) from FY15/16, and federal operating revenue is projected to decrease by 16%, largely as a result of the discontinuation of the Tribal Transit funding, and as a result of reductions in the 5311 Apportionment related to one-time money in this fund in 15/16. The projected year-to-year changes in state and federal revenue is detailed in the table below.

State & Federal Grant Revenue	15-16 budget	16-17 estimate	Var.	Comment
LTF	1,272,836	1,252,282	-20,554	15/16 included approx. \$20k in 1-time money from Mono County
STA	272,876	226,217	-46,659	SCO estimate; Feb 2016
5311 apportionment	220,055	174,928	-45,127	15-16 included some 1-time revenue, 16/17 is down 5% from 15/16 base amount
5311(f)	250,000	250,000	0	Assume flat revenue and expense
5316 (LPX)	65,264	65,000	-264	assume contract is renewed 1/1/17
5316 (MMX)	59,975	60,000	25	assume contract is renewed 1/1/17
LCTOP	17,600	58,037	40,437	Increased LCTOP allocation, will fund 3 new projects
Tribal Transit Revenue	58,500	0	-58,500	Tribe's grant ended 12/31/15
	2,217,106	2,086,464	-130,642	
			-6.1%	

The balance of the revenue picture for FY2016/17 is detailed below. Overall, the preliminary estimate of total operating revenue for the coming year is projected to decline by 3.1% (\$147,696).

	15-16 budget	16-17 estimate	Var.
Other Agencies			
Town of Mammoth Lakes	767,000	770,000	3,000
Mammoth Mountain Ski Area	1,085,430	1,035,000	-50,430
Kern Regional Transit	24,000	24,000	0
	1,876,430	1,829,000	-47,430
			-1.5%
Fares			
Reds Meadow	375,624	400,000	24,376
395 Rts	170,000	175,000	5,000
All Other	197,000	198,000	1,000
	742,624	773,000	30,376
			0.9%
State/Federal revenue	2,217,106	2,086,464	60,752
			4.1%
TOTAL OPERATING REVENUE	4,836,160	4,688,464	-147,696
			-3.1%

The revenues detailed in the tables above assume a level of service generally consistent with the service level planned for in the 2015/16 budget, with the addition of the June Lake Summer Shuttle, and an additional Lone Pine Express run. Using that service level, preliminary estimates of expenditures anticipate that revenues will be sufficient to fund the service. This preliminary analysis anticipates continuation of lower fuel prices than have been historically budgeted and modest increases in maintenance costs. A summary of preliminary expenses for FY2016/17 by major expense category is detailed in the table below.

Operating Expense Categories	14-15 Actual	15-16 budget	16-17 Estimate
Salaries & Benefits	2,245,844	2,479,200	2,590,000
Insurance	307,685	302,890	320,000
Maintenance	358,514	585,160	550,000
Fuel	427,268	707,140	650,000
Facilities	228,027	229,570	250,000
Services	193,819	280,830	195,000
Other	65,781	123,578	135,000
	3,826,938	4,708,368	4,690,000

FINANCIAL CONSIDERATIONS

A budget for the 2016/17 fiscal year is required in order to operate ESTA's services. The preliminary budget presented at this time is an estimate of the revenues and expenditures now known or anticipated. Further financial information will be developed in the next few months prior to the anticipated final budget to be presented for the Board's consideration in June of 2016

RECOMMENDATION

This preliminary budget is presented for the Board's information, in compliance with the ESTA Joint Powers Agreement, and to receive any desired input from the Board as the FY 16/17 budget is finalized.

STAFF REPORT

Subject: Federal Fiscal Year 2016 Certifications and Assurances

Initiated by: John Helm, Executive Director

BACKGROUND:

The Eastern Sierra Transit Authority, which is considered a sub-recipient by the California Department of Transportation (Caltrans) for federal funding, has submitted required certifications and assurances to Caltrans on an annual basis in conjunction with receipt of Federal funding for its transportation programs.

ANALYSIS/DISCUSSION:

In order to receive Federal Transit Administration (FTA) assistance, recipients and sub-recipients must provide certain certifications and assurances required by Federal law or regulation. Submittal of these certifications and assurances is required on an annual basis.

The FTA certifications and assurances for 2016 have been consolidated into 23 groups. At a minimum, a Subrecipient must provide the assurances in Group 01 and, if the Subrecipient requests more than \$100,000, the Subrecipient must also provide the Lobbying certification in Group 02. Depending on the nature of the Subrecipient and its Project, the Subrecipient may need to provide some of the certifications and assurances in Groups 03 through 23. However, instead of selecting individual groups of certifications and assurances, the Subrecipient may make a single selection that will encompass all groups of certifications and assurances applicable to all FTA programs. The Preface states that applicants are responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its project, itself, any subrecipient, or any other third party participant in its project. The type of project and subrecipient will determine which certifications and assurances apply. The Certifications and Assurances clearly state that any provision of an Assurance that does not apply will not be enforced.

For this reason, and in consultation with legal counsel, staff has determined to select the option agreeing to comply with all applicable provisions of Groups 01 – 23.

The FY 2016 Federal Certifications and Assurances have been forwarded to John Vallejo, Assistant County Counsel Inyo County, for his review. Affirmation of the Certifications and Assurances by ESTA's legal counsel is required as part of the submittal.

FINANCIAL CONSIDERATIONS

Approval and submittal of the FY2016 Certifications and Assurances is required in order to receive federal operating and capital assistance. ESTA's FY2015/16 budget includes \$595,000 in federal funding. Staff estimates potentially \$700,000 in federal financial assistance in ESTA's FY2016/17 budget.

RECOMMENDATION

The Board is requested to authorize the Executive Director to sign the Federal Fiscal Year 2016 Certifications and Assurances binding ESTA's compliance with these certifications and assurances for Federal Transit Administration assistance programs.

FTA FISCAL YEAR 2016 CERTIFICATIONS AND ASSURANCES

PREFACE

Except as the Federal Transit Administration (FTA or We) determines otherwise in writing, before FTA may award federal assistance for public transportation in the form of a federal grant, cooperative agreement, loan, line of credit, or loan guarantee, certain pre-award Certifications and Assurances are required. The Applicant must authorize a representative (Authorized Representative) to select and sign its Certifications and Assurances and bind the Applicant's compliance. You, as your Applicant's Authorized Representative, must select and sign all Certifications and Assurances that your Applicant must provide to support each application it submits to FTA for federal assistance during federal fiscal year (FY) 2016.

We request that you read each Certification and Assurance and select those that will apply to any application for which your Applicant might seek federal assistance from FTA during FY 2016. As provided by federal laws, regulations, and requirements, only if you select adequate Certifications and Assurances on your Applicant's behalf may FTA award federal assistance.

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

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

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

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

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

It is important that your Applicant and you also understand that these Certifications and Assurances are pre-award requirements, generally imposed by federal law or regulation, and do not include all federal requirements that may apply to it or its Award. We expect you to submit your Applicant's FY 2016 Certifications and Assurances and its applications for federal assistance in FTA's electronic award and management system, currently the Transit Award Management System (TrAMS). You must be registered in TrAMS to submit to FTA your Applicant's FY 2016 Certifications and Assurances. TrAMS contains fields for selecting among the twenty-three (23) Categories of Certifications and Assurances and a designated field for selecting all twenty-three (23) Categories of Certifications and Assurances. If FTA agrees that you are unable to submit your Applicant's FY 2016 Certifications and Assurances electronically, you must submit the Signature Pages at the end of this document, as FTA directs, marked to show the Categories of Certifications and Assurances that you are submitting.

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

- *The Fixing America's Surface Transportation (FAST) Act, Public Law No. 114-94, December 4, 2015,*
- *The Moving Ahead for Progress in the 21st Century Act (MAP-21), Public Law No. 112-141, July 6, 2012, as amended by the Surface Transportation and Veterans Health Care Choice Improvement Act of 2015, Public Law No. 114-41, July 31, 2015 and other authorizing legislation to be enacted,*
- *FTA's authorizing legislation in effect in FY 2012 or a previous fiscal year, except as superseded by the FAST Act cross-cutting requirements that apply, and*
- *Appropriations Acts or Continuing Resolutions funding the U.S. Department of Transportation during Fiscal Year 2016.*

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CATEGORY 01. REQUIRED CERTIFICATIONS AND ASSURANCES FOR EACH APPLICANT.

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

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

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

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

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

01.B. Standard Assurances.

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

1. It will comply with all applicable federal laws, regulations, and requirements in implementing its Award.
2. It is under a continuing obligation to comply with the terms and conditions of its Grant Agreement or Cooperative Agreement with FTA for each Award, including the FTA Master Agreement and other documents incorporated by reference and made part of its Grant Agreement or Cooperative Agreement, or latest amendment thereto.
3. It recognizes that federal laws, regulations, and requirements may be amended from time to time and those amendments may affect the implementation of its Award.
4. It understands that Presidential executive orders and federal guidance, including federal policies and program guidance, may be issued concerning matters affecting it or its Award.

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5. It agrees that the most recent federal laws, regulations, requirements, and guidance will apply to its Award, except as FTA determines otherwise in writing.
6. Except as FTA determines otherwise in writing, it agrees that requirements for FTA programs may vary depending on the fiscal year for which the federal assistance for those programs was appropriated or made available.

01.C. Intergovernmental Review Assurance.

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

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

01.D. Nondiscrimination Assurance.

On behalf of your Applicant, you assure that:

1. It will comply with the following laws, regulations, and requirements so that no person in the United States will be denied the benefits of, or otherwise be subjected to discrimination in, any U.S. DOT or FTA assisted program or activity (particularly in the level and quality of transportation services and transportation-related benefits) on the basis of race, color, national origin, religion, sex, disability, or age including:
 - a. Federal transit laws, specifically 49 U.S.C. § 5332 (prohibiting discrimination on the basis of race, color, religion, national origin, sex (including gender identity), disability, age, employment, or business opportunity),
 - b. Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000d,
 - c. The Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794, *et seq.*,
 - d. The Americans with Disabilities Act of 1990, as amended, 42 U.S.C. § 12101 *et seq.*,
 - e. U.S. DOT regulations, "Nondiscrimination in Federally-Assisted Programs of the Department of Transportation-Effectuation of Title VI of the Civil Rights Act of 1964," 49 CFR part 21,
 - f. U.S. DOT regulations, specifically 49 CFR parts 27, 37, 38, and 39, and
 - g. Any other applicable federal statutes that may be signed into law, federal regulations that may be issued, or federal requirements that may be imposed.
2. It will comply with federal guidance implementing federal nondiscrimination laws, regulations, or requirements, except as FTA determines otherwise in writing.

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3. As required by 49 CFR § 21.7:
 - a. It will comply with 49 U.S.C. § 5332, 42 U.S.C. § 2000d, and 49 CFR part 21 in the manner that:
 - (1) It implements its Award,
 - (2) It undertakes property acquisitions, and
 - (3) It operates all parts of its facilities, as well as its facilities operated in connection with its Award.
 - b. This assurance applies to its Award and to all parts of its facilities, as well as its facilities used to implement its Award.
 - c. It will promptly take the necessary actions to carry out this assurance, including the following:
 - (1) Notifying the public that discrimination complaints about transportation-related services or benefits may be filed with U.S. DOT or FTA, and
 - (2) Submitting information about its compliance with these provisions to U.S. DOT or FTA upon their request.
 - d. If it transfers U.S. DOT or FTA assisted real property, structures, or improvements to another party, any deeds and instruments recording that transfer will contain a covenant running with the land assuring nondiscrimination:
 - (1) While the property is used for the purpose that the federal assistance is extended, or
 - (2) While the property is used for another purpose involving the provision of similar services or benefits.
 - e. The United States has a right to seek judicial enforcement of any matter arising under:
 - (1) Title VI of the Civil Rights Act, 42 U.S.C. § 2000d,
 - (2) U.S. DOT regulations, 49 CFR part 21, or
 - (3) This assurance.
 - f. It will make any changes in its Title VI implementing procedures, as U.S. DOT or FTA may request, to comply with:
 - (1) Title VI of the Civil Rights Act, 42 U.S.C. § 2000d,
 - (2) U.S. DOT regulations, 49 CFR part 21, and
 - (3) Federal transit law, 49 U.S.C. § 5332.
 - g. It will comply with applicable federal guidance issued to implement federal nondiscrimination requirements, except as FTA determines otherwise in writing.
 - h. It will extend the requirements of 49 U.S.C. § 5332, 42 U.S.C. § 2000d, and 49 CFR part 21 to each Third Party Participant, including any:
 - (1) Subrecipient,
 - (2) Transferee,
 - (3) Third Party Contractor or Subcontractor at any tier,
 - (4) Successor in Interest,
 - (5) Lessee, or

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- (6) Other Participant in its Award, except FTA and the Applicant (and later, the Recipient).
- i. It will include adequate provisions to extend the requirements of 49 U.S.C. § 5332, 42 U.S.C. § 2000d, and 49 CFR part 21 to each third party agreement, including each:
 - (1) Subagreement at any tier,
 - (2) Property transfer agreement,
 - (3) Third party contract or subcontract at any tier,
 - (4) Lease, or
 - (5) Participation agreement.
- j. The assurances you have made on your Applicant's behalf remain in effect as long as FTA determines appropriate, including, for example, as long as:
 - (1) Federal assistance is provided for its Award,
 - (2) Its property acquired or improved with federal assistance is used for a purpose for which the federal assistance is extended, or for a purpose involving similar services or benefits,
 - (3) It retains ownership or possession of its property acquired or improved with federal assistance provided for its Award, or
 - (4) FTA may otherwise determine in writing.
- 4. As required by U.S. DOT regulations, "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," 49 CFR part 27, specifically 49 CFR § 27.9, and consistent with 49 U.S.C. § 5332, you assure that:
 - a. It will comply with the following prohibitions against discrimination on the basis of disability listed below in subsection 4.b of this Category 01.D Assurance, of which compliance is a condition of approval or extension of any FTA assistance awarded to:
 - (1) Construct any facility,
 - (2) Obtain any rolling stock or other equipment,
 - (3) Undertake studies,
 - (4) Conduct research, or
 - (5) Participate in any benefit or obtain any benefit from any FTA administered program.
 - b. In any program or activity receiving or benefiting from federal assistance that U.S. DOT administers, no qualified individual with a disability will, because of his or her disability, be:
 - (1) Excluded from participation,
 - (2) Denied benefits, or
 - (3) Otherwise subjected to discrimination.

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01.E. Suspension and Debarment Certification.

On behalf of your Applicant, you certify that:

1. It will comply and facilitate compliance with U.S. DOT regulations, “Nonprocurement Suspension and Debarment,” 2 CFR part 1200, which adopts and supplements the U.S. Office of Management and Budget (U.S. OMB) “Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” 2 CFR part 180.
2. To the best of its knowledge and belief, that its Principals and Subrecipients at the first tier:
 - a. Are eligible to participate in covered transactions of any federal department or agency and are not presently:
 - (1) Debarred,
 - (2) Suspended,
 - (3) Proposed for debarment,
 - (4) Declared ineligible,
 - (5) Voluntarily excluded, or
 - (6) Disqualified.
 - b. Within a three-year period preceding its latest application or proposal, its management has not been convicted of or had a civil judgment rendered against any of them for:
 - (1) Commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction, or contract under a public transaction,
 - (2) Violation of any federal or state antitrust statute, or
 - (3) Commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making any false statement, or receiving stolen property.
 - c. It is not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses listed in the preceding subsection 2.b of this Certification.
 - d. It has not had one or more public transactions (federal, state, or local) terminated for cause or default within a three-year period preceding this Certification.
 - e. If, at a later time, it receives any information that contradicts the preceding statements of subsections 2.a – 2.d of this Category 01.E Certification, it will promptly provide that information to FTA.
 - f. It will treat each lower tier contract or subcontract under its Award as a covered lower tier contract for purposes of 2 CFR part 1200 and 2 CFR part 180 if it:
 - (1) Equals or exceeds \$25,000,
 - (2) Is for audit services, or
 - (3) Requires the consent of a federal official.

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- g. It will require that each covered lower tier contractor and subcontractor:
 - (1) Comply and facilitate compliance with the federal requirements of 2 CFR parts 180 and 1200, and
 - (2) Assure that each lower tier participant in its Award is not presently declared by any federal department or agency to be:
 - (a) Debarred from participation in any federally assisted Award,
 - (b) Suspended from participation in any federally assisted Award,
 - (c) Proposed for debarment from participation in any federally assisted Award,
 - (d) Declared ineligible to participate in any federally assisted Award,
 - (e) Voluntarily excluded from participation in any federally assisted Award, or
 - (f) Disqualified from participation in any federally assisted Award.
- 5. It will provide a written explanation if it or any of its principals, including any of its first tier Subrecipients or its Third Party Participants at a lower tier, is unable to certify compliance with the preceding statements in this Category 01.E Certification.

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

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

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

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- (2) An appearance of a personal or organizational conflict of interest or personal gain.
2. *Specifics of the Award.* On behalf of your Applicant, you assure that:
 - a. It will begin and complete work within the period of performance that applies following receipt of an FTA Award.
 - b. For FTA assisted construction Awards:
 - (1) It will comply with FTA provisions concerning the drafting, review, and approval of construction plans and specifications,
 - (2) It will provide and maintain competent and adequate engineering supervision at the construction site to assure that the completed work conforms to the approved plans and specifications,
 - (3) It will include a covenant to assure nondiscrimination during the useful life of the real property financed under its Award in its title to that real property,
 - (4) To the extent FTA requires, it will record the federal interest in the title to FTA assisted real property or interests in real property, and
 - (5) It will not alter the site of the FTA assisted construction or facilities without permission or instructions from FTA by:
 - (a) Disposing of the underlying real property or other interest in the site and facilities,
 - (b) Modifying the use of the underlying real property or other interest in the site and facilities, or
 - (c) Changing the terms of the underlying real property title or other interest in the site and facilities.
 - c. It will furnish progress reports and other information as FTA or the state may require.
3. *Statutory and Regulatory requirements.* On behalf of your Applicant, you assure that:
 - a. It will comply with all federal laws, regulations, and requirements relating to nondiscrimination that apply, including, but not limited to:
 - (1) The prohibitions against discrimination on the basis of race, color, or national origin, as provided in Title VI of the Civil Rights Act, 42 U.S.C. § 2000d.
 - (2) The prohibitions against discrimination on the basis of sex, as provided in:
 - (a) Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. §§ 1681 – 1683, and 1685 – 1687, and
 - (b) U.S. DOT regulations, “Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance,” 49 CFR part 25.
 - (3) The prohibitions against discrimination on the basis of age in federally assisted programs, as provided in the Age Discrimination Act of 1975, as amended, 42 U.S.C. §§ 6101 – 6107.
 - (4) The prohibitions against discrimination on the basis of disability in federally assisted programs, as provided in section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794.

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- (5) The prohibitions against discrimination on the basis of disability, as provided in the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. § 12101 *et seq.*
 - (6) The prohibitions against discrimination in the sale, rental, or financing of housing, as provided in Title VIII of the Civil Rights Act, 42 U.S.C. § 3601 *et seq.*
 - (7) The prohibitions against discrimination on the basis of drug abuse, as provided in the Drug Abuse Office and Treatment Act of 1972, as amended, 21 U.S.C. § 1101 *et seq.*
 - (8) The prohibitions against discrimination on the basis of alcohol abuse, as provided in the Comprehensive Alcohol Abuse and Alcoholism Prevention Act of 1970, as amended, 42 U.S.C. § 4541 *et seq.*
 - (9) The confidentiality requirements for records of alcohol and drug abuse patients, as provided in the Public Health Service Act, as amended, 42 U.S.C. § 290dd – 290dd-2.
 - (10) The nondiscrimination provisions of any other statute(s) that may apply to its Award.
- b. As provided by the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (Uniform Relocation Act), 42 U.S.C. § 4601 *et seq.*, and 49 U.S.C. § 5323(b), regardless of whether federal assistance has been provided for any real property acquired or improved for purposes of its Award:
- (1) It will provide for fair and equitable treatment of any displaced persons or any persons whose property is acquired or improved as a result of federally assisted programs.
 - (2) It has the necessary legal authority under state and local laws, regulations, and requirements to comply with:
 - (a) The Uniform Relocation Act. 42 U.S.C. § 4601 *et seq.*, as specified by 42 U.S.C. §§ 4630 and 4655, and
 - (b) U.S. DOT regulations, “Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally Assisted Programs,” 49 CFR part 24, specifically 49 CFR § 24.4.
 - (3) It has complied with or will comply with the Uniform Relocation Act and implementing U.S. DOT regulations because:
 - (a) It will adequately inform each affected person of the benefits, policies, and procedures provided for in 49 CFR part 24.
 - (b) As provided by 42 U.S.C. §§ 4622, 4623, and 4624, and 49 CFR part 24, if its Award results in displacement, it will provide fair and reasonable relocation payments and assistance to:
 - 1 Displaced families or individuals, and
 - 2 Displaced corporations, associations, or partnerships.

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- (c) As provided by 42 U.S.C. § 4625 and 49 CFR part 24, it will provide relocation assistance programs offering the services described in the U.S. DOT regulations to such:
 - 1 Displaced families and individuals, and
 - 2 Displaced corporations, associations, or partnerships.
 - (d) As provided by 42 U.S.C. § 4625(c)(3), within a reasonable time before displacement, it will make available comparable replacement dwellings to families and individuals.
 - (e) It will:
 - 1 Carry out the relocation process to provide displaced persons with uniform and consistent services, and
 - 2 Make available replacement housing in the same range of choices with respect to such housing to all displaced persons regardless of race, color, religion, or national origin.
 - (f) It will be guided by the real property acquisition policies of 42 U.S.C. §§ 4651 and 4652.
 - (g) It will pay or reimburse property owners for their necessary expenses as specified in 42 U.S.C. §§ 4653 and 4654, understanding that FTA will provide federal assistance for its eligible costs of providing payments for those expenses, as required by 42 U.S.C. § 4631.
 - (h) It will execute the necessary implementing amendments to FTA assisted third party contracts and subagreements.
 - (i) It will execute, furnish, and be bound by such additional documents as FTA may determine necessary to effectuate or implement these assurances.
 - (j) It will incorporate these assurances by reference into and make them a part of any third party contract or subagreement, or any amendments thereto, related to its Award that involves relocation or land acquisition.
 - (k) It will provide in any affected document that these relocation and land acquisition provisions must supersede any conflicting provisions.
- c. It will comply with the Lead-Based Paint Poisoning Prevention Act, specifically 42 U.S.C. § 4831(b), which prohibits the use of lead-based paint in the construction or rehabilitation of residence structures.
 - d. It will, to the extent applicable, comply with the protections for human subjects involved in research, development, and related activities supported by federal assistance of:
 - (1) The National Research Act, as amended, 42 U.S.C. § 289 *et seq.*, and
 - (2) U.S. DOT regulations, “Protection of Human Subjects,” 49 CFR part 11.
 - e. It will, to the extent applicable, comply with the labor standards and protections for federally assisted Awards of:
 - (1) The Davis-Bacon Act, as amended, 40 U.S.C. §§ 3141 – 3144, 3146, and 3147,

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- (2) Sections 1 and 2 of the Copeland “Anti-Kickback” Act, as amended, 18 U.S.C. § 874, and 40 U.S.C. § 3145, respectively, and
 - (3) The Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. § 3701 *et seq.*
- f. It will comply with any applicable environmental standards prescribed to implement federal laws and executive orders, including, but not limited to:
- (1) Complying with the institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended, 42 U.S.C. §§ 4321 – 4335 and following Executive Order No. 11514, as amended, 42 U.S.C. § 4321 note.
 - (2) Following the notification of violating facilities provisions of Executive Order No. 11738, 42 U.S.C. § 7606 note.
 - (3) Following the protection of wetlands provisions of Executive Order No. 11990, 42 U.S.C. § 4321 note.
 - (4) Following the evaluation of flood hazards in the floodplains provisions of Executive Order No. 11988, May 24, 1977, 42 U.S.C. § 4321 note, and Executive Order No. 13690 “Establishing a Federal Flood Risk Management Standard and a Process for Further Soliciting and Considering Stakeholder Input, January 30, 2015.
 - (5) Complying with the assurance of consistency with the approved state management program developed pursuant to the Coastal Zone Management Act of 1972, as amended, 16 U.S.C. §§ 1451 – 1465.
 - (6) Complying with the Conformity of Federal Actions to State (Clean Air) Implementation Plans requirements under section 176(c) of the Clean Air Act of 1970, as amended, 42 U.S.C. §§ 7401 – 7671q.
 - (7) Complying with protections for underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, 42 U.S.C. § 300f – 300j-6.
 - (8) Complying with the protections for endangered species under the Endangered Species Act of 1973, as amended, 16 U.S.C. §§ 1531 – 1544.
 - (9) Complying with the environmental protections for federal transportation programs, including, but not limited to, protections for parks, recreation areas, or wildlife or waterfowl refuges of national, state, or local significance or any land from a historic site of national, state, or local significance to be used in a transportation Award, as required by 49 U.S.C. § 303 (also known as “Section 4f”).
 - (10) Complying with the protections for national wild and scenic rivers systems, as required under the Wild and Scenic Rivers Act of 1968, as amended, 16 U.S.C. §§ 1271 – 1287.
 - (11) Complying with and facilitating compliance with:
 - (a) Section 106 of the National Historic Preservation Act of 1966, as amended, 54 U.S.C. § 300108,

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- (b) The Archaeological and Historic Preservation Act of 1974, as amended, 54 U.S.C. § 312501 *et seq.*, and
 - (c) Executive Order No. 11593 (identification and protection of historic properties), 54 U.S.C. § 300101.
- g. To the extent applicable, it will comply with the following federal requirements for the care, handling, and treatment of warm-blooded animals held or used for research, teaching, or other activities supported with federal assistance:
 - (1) The Animal Welfare Act, as amended, 7 U.S.C. § 2131 *et seq.*, and
 - (2) U.S. Department of Agriculture regulations, “Animal Welfare,” 9 CFR subchapter A, parts 1, 2, 3, and 4.
- h. To the extent applicable, it will obtain a certificate of compliance with the seismic design and construction requirements of U.S. DOT regulations, “Seismic Safety,” 49 CFR part 41, specifically 49 CFR § 41.117(d), before accepting delivery of any FTA assisted buildings.
- i. It will comply with and assure that each of its Subrecipients located in special flood hazard areas will comply with section 102(a) of the Flood Disaster Protection Act of 1973, as amended, 42 U.S.C. § 4012a(a), by:
 - (1) Participating in the federal flood insurance program, and
 - (2) Purchasing flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
- j. It will comply with:
 - (1) The Hatch Act, 5 U.S.C. §§ 1501 – 1508, 7324 – 7326, which limits the political activities of state and local agencies and their officers and employees whose primary employment activities are financed in whole or part with federal assistance, including a federal loan, grant agreement, or cooperative agreement, and
 - (2) 49 U.S.C. § 5323(1)(2) and 23 U.S.C. § 142(g), which provide an exception from Hatch Act restrictions for a nonsupervisory employee of a public transportation system (or of any other agency or entity performing related functions) receiving federal assistance appropriated or made available under 49 U.S.C. chapter 53 and 23 U.S.C. § 142(a)(2) to whom the Hatch Act does not otherwise apply.
- k. It will perform the financial and compliance audits as required by the:
 - (1) Single Audit Act Amendments of 1996, 31 U.S.C. § 7501 *et seq.*,
 - (2) U.S. DOT regulations, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR part 1201, which incorporates by reference U.S. OMB regulatory guidance, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR part 200, and
 - (3) Most recent applicable U.S. OMB Compliance Supplement, 2 CFR part 200, appendix XI (previously known as the U.S. OMB Circular A-133 Compliance Supplement).

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- l. It will comply with all other federal laws, regulations, and requirements that apply.
- m. It will follow federal guidance governing it and its Award, except as FTA has expressly approved otherwise in writing.

CATEGORY 02. LOBBYING.

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

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

On behalf of your Applicant, you certify that:

1. As required by 31 U.S.C. § 1352 and U.S. DOT regulations, "New Restrictions on Lobbying," specifically 49 CFR 20.110:
 - a. The lobbying restrictions of this Certification apply to its requests:
 - (1) For \$100,000 or more in federal assistance for a grant or cooperative agreement, and
 - (2) For \$150,000 or more in federal assistance for a loan, line of credit, loan guarantee, or loan insurance, and
 - b. Your Certification on its behalf applies to the lobbying activities of:
 - (1) It,
 - (2) Its Principals, and
 - (3) Its Subrecipients at the first tier.
2. To the best of your knowledge and belief:
 - a. No federal appropriated funds have been or will be paid by your Applicant or on its behalf to any person to influence or attempt to influence:
 - (1) An officer or employee of any federal agency regarding the award of a:
 - (a) Federal grant or cooperative agreement, or
 - (b) Federal loan, line of credit, loan guarantee, or loan insurance, or
 - (2) A Member of Congress, an employee of a member of Congress, or an officer or employee of Congress regarding the award of a:
 - (a) Federal grant or cooperative agreement, or
 - (b) Federal loan, line of credit, loan guarantee, or loan insurance.
 - b. It will submit a complete OMB Standard Form LLL (Rev. 7-97), "Disclosure of Lobbying Activities," consistent with the instructions on that form, if any funds

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other than federal appropriated funds have been or will be paid to any person to influence or attempt to influence:

- (1) An officer or employee of any federal agency regarding the award of a:
 - (a) Federal grant or cooperative agreement, or
 - (b) Federal loan, line of credit, loan guarantee, or loan insurance, or
- (2) A Member of Congress, an employee of a member of Congress, or an officer or employee of Congress regarding the award of a:
 - (a) Federal grant or cooperative agreement, or
 - (b) Federal loan, line of credit, loan guarantee, or loan insurance.
- c. It will include the language of this Certification in its Award documents under a federal grant, cooperative agreement, loan, line of credit, or loan insurance including, but not limited to:
 - (1) Each third party contract,
 - (2) Each third party subcontract,
 - (3) Each subagreement, and
 - (4) Each third party agreement.
3. It understands that:
 - a. This Certification is a material representation of fact that the Federal Government relies on, and
 - b. It must submit this Certification before the Federal Government may award federal assistance for a transaction covered by 31 U.S.C. § 1352, including a:
 - (1) Federal grant or cooperative agreement, or
 - (2) Federal loan, line of credit, loan guarantee, or loan insurance.
4. It understands that any person who does not file a required Certification will incur a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

CATEGORY 03. PROCUREMENT AND PROCUREMENT SYSTEMS.

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

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

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

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CATEGORY 04. PRIVATE SECTOR PROTECTIONS.

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

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

04.A. Private Property Protections.

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

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

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

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04.B. Charter Service Agreement.

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

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

1. FTA’s “Charter Service” regulations apply as follows:
 - a. FTA’s Charter Service regulations restrict transportation by charter service using facilities and equipment acquired or improved under its Award from FTA financed with federal assistance derived from:
 - (1) Federal transit laws, 49 U.S.C. chapter 53,
 - (2) 23 U.S.C. §§ 133 or 142, or
 - (3) Any other Act that provides federal public transportation assistance, unless otherwise excepted.
 - b. FTA’s charter service restrictions extend to:
 - (1) Your Applicant, when it becomes a Recipient of federal assistance appropriated or made available for:
 - (a) Federal transit laws, 49 U.S.C. chapter 53,
 - (b) 23 U.S.C. §§ 133 or 142, or
 - (c) Any other Act that provides federal public transportation assistance, unless otherwise excepted.
 - (2) Any Third Party Participant that receives federal assistance derived from:
 - (a) Federal transit laws, 49 U.S.C. chapter 53,
 - (b) 23 U.S.C. §§ 133 or 142, or
 - (c) Any other Act that provides federal public transportation assistance, unless otherwise excepted.
 - c. A Third Party Participant includes any:
 - (1) Subrecipient at any tier,
 - (2) Lessee,
 - (3) Third Party Contractor or Subcontractor at any tier, and
 - (4) Other Third Party Participant in its Award.
 - d. You and your Applicant agree that neither it nor any governmental authority or publicly owned operator that receives federal public transportation assistance appropriated or made available for its Award will engage in charter service operations, except as permitted under:
 - (1) Federal transit laws, specifically 49 U.S.C. § 5323(d) and (g),
 - (2) FTA regulations, “Charter Service,” 49 CFR part 604, to the extent consistent with 49 U.S.C. § 5323(d) and (g),
 - (3) Any other federal Charter Service regulations, or

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

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04.C. School Bus Agreement.

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

To comply with 49 U.S.C. § 5323(f) and (g) and FTA regulations, “School Bus Operations,” 49 CFR part 605, to the extent consistent with 49 U.S.C. § 5323(f) and (g), on behalf of your Applicant, you are entering into the following School Bus Agreement:

1. FTA’s “School Bus Operations” regulations restrict school bus operations using facilities and equipment acquired or improved with federal assistance derived from:
 - a. Federal transit laws, 49 U.S.C. chapter 53,
 - b. 23 U.S.C. §§ 133 or 142, or
 - c. Any other Act that provides federal public transportation assistance, unless otherwise excepted.
2. FTA’s school bus operations restrictions extend to:
 - a. Your Applicant, when it becomes a Recipient of federal assistance appropriated or made available for:
 - (1) Federal transit laws, 49 U.S.C. chapter 53,
 - (2) 23 U.S.C. §§ 133 or 142, or
 - (3) Any other Act that provides federal public transportation assistance, unless otherwise excepted.
 - b. Any Third Party Participant that receives federal assistance derived from:
 - (1) Federal transit laws, 49 U.S.C. chapter 53,
 - (2) 23 U.S.C. §§ 133 or 142, or
 - (3) Any other Act that provides federal public transportation assistance, unless otherwise excepted.
3. A Third Party Participant includes any:
 - a. Subrecipient at any tier,
 - b. Lessee,
 - c. Third Party Contractor or Subcontractor at any tier, and
 - d. Other Third Party Participant in its Award.
4. You and your Applicant agree and will obtain the agreement of any Third Party Participant involved in your Applicant’s Award that it will not engage in school bus operations in competition with private operators of school buses, except as permitted under:
 - a. Federal transit laws, specifically 49 U.S.C. § 5323(f) and (g),
 - b. FTA regulations, “School Bus Operations,” 49 CFR part 605, to the extent consistent with 49 U.S.C. § 5323(f) and (g),
 - c. Any other federal School Bus regulations, or
 - d. Federal guidance, except as FTA determines otherwise in writing.

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5. You and your Applicant agree that the latest School Bus Agreement selected on its behalf in FTA's latest annual Certifications and Assurances is incorporated by reference in and made part of the Underlying Agreement accompanying its Award of federal assistance.
6. You and your Applicant agree that after it is a Recipient, if it or any Third Party Participant has violated this School Bus Agreement, FTA may:
 - a. Bar your Applicant or Third Party Participant from receiving further federal assistance for public transportation, or
 - b. Require the Applicant or Third Party Participant to take such remedial measures as FTA considers appropriate.

CATEGORY 05. ROLLING STOCK REVIEWS AND BUS TESTING.

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

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

05.A. Rolling Stock Reviews.

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

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

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

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05.B. Bus Testing.

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

On behalf of your Applicant, you certify that:

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

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CATEGORY 06. DEMAND RESPONSIVE SERVICE.

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

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

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

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

CATEGORY 07. INTELLIGENT TRANSPORTATION SYSTEMS.

Before FTA may provide federal assistance for an Award in support of an Intelligent Transportation System (ITS), you must select the Intelligent Transportation Systems Assurances in Category 07 in addition to other Certifications and Assurances you must select on your Applicant's behalf, except as FTA determines otherwise in writing.

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

On behalf of your Applicant, you and your Applicant:

1. Understand that, as used in this Assurance, the term Intelligent Transportation System is defined to include technologies or systems of technologies that provide or

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

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

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

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

08.A. Interest and Financing Costs.

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

On behalf of your Applicant, you certify that:

1. It will not seek reimbursement for interest or any other financing costs unless:
 - a. It is eligible to receive federal assistance for those costs, and
 - b. Its records demonstrate that it has shown reasonable diligence in seeking the most favorable financing terms, as FTA may require.
2. It will comply with the same favorable financing cost provisions for Awards financed under:
 - a. The Urbanized Area Formula Grants Program,
 - b. A Full Funding Grant Agreement,

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- c. An Early Systems Work Agreement,
- d. The Fixed Guideway Capital Investment Program financed by previous FTA enabling legislation,
- e. Any program that must comply with the requirements of 49 U.S.C. § 5307, or
- f. Any other program as FTA may specify.

08.B. Acquisition of Capital Assets by Lease.

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

On behalf of your Applicant, you certify and assure that, as required by FTA regulations, “Capital Leases,” 49 CFR part 639, to the extent consistent with the FAST Act, if your Applicant acquires any capital asset (other than rolling stock or related equipment) through a lease financed with federal assistance appropriated or made available under 49 U.S.C. chapter 53, it will not enter into a capital lease for which FTA can provide only incremental federal assistance unless it has adequate financial resources to meet its future lease obligations if federal assistance is not available.

CATEGORY 09. TRANSIT ASSET MANAGEMENT PLAN AND PUBLIC TRANSPORTATION AGENCY SAFETY PLAN.

Before FTA may provide federal assistance appropriated or made available under 49 U.S.C. chapter 53 to support an Award, you must select the Certifications in Category 09 in addition to other Certifications and Assurances you must select on your Applicant’s behalf, except as FTA determines otherwise in writing.

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

09.A. Transit Asset Management Plan.

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

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

1. Follow federal guidance that, when issued, will implement the transit asset management system provisions of 49 U.S.C. § 5326, except as FTA determines otherwise in writing, and

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2. Comply with the final federal regulations that, when issued, will implement the transit asset management provisions of 49 U.S.C. § 5326.

09.B. Public Transportation Agency Safety Plan.

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

On behalf of your Applicant, you certify that it will:

1. Follow the Federal guidance, when issued, that will implement the safety plan provisions of 49 U.S.C. § 5329(d), except as FTA determines otherwise in writing, and
2. Comply with the final Federal regulations, when issued, that implement the safety plan requirements of 49 U.S.C. § 5329(d).

CATEGORY 10. ALCOHOL AND CONTROLLED SUBSTANCES TESTING.

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

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

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

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

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Party Contractors to which these testing requirements apply reside in a state that permits marijuana use for medical or recreational purposes, your Applicant, its Subrecipients, and its Third Party Contractors to which these testing requirements apply have complied or will comply with the federal controlled substance testing requirements of 49 CFR part 655.

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

Before FTA may provide federal assistance for an Award financed under the New Starts, Small Starts, or Core Capacity Improvement Program authorized under 49 U.S.C. § 5309, you must select the Certifications in Category 11 in addition to other Certifications and Assurances you must select on your Applicant's behalf, except as FTA may determine otherwise in writing.

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

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

1. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award,
2. It has or will have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award,
3. It will maintain its equipment and facilities acquired or improved under its Award in accordance with its transit asset management plan,
4. It will comply with:
 - a. The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
 - b. The statewide and nonmetropolitan transportation planning requirements of 49 U.S.C. § 5304, and
5. It will comply with FTA guidance, "Final Interim Policy Guidance, Capital Investment Grant Program," August 2015, 80 *Fed. Reg.* 46514, August 5, 2015,

CATEGORY 12. STATE OF GOOD REPAIR PROGRAM.

Before FTA may provide federal assistance for an Award financed under the State of Good Repair Program authorized under 49 U.S.C. § 5337, you must select the Certifications in Category 12 in addition to other Certifications and Assurances you must select on your Applicant's behalf, except as FTA determines otherwise in writing.

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

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On behalf of your Applicant, you certify that:

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

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

Before FTA may provide federal assistance for an Award under the Buses and Bus Facilities Program authorized under 49 U.S.C. § 5339, as amended by the FAST Act, which among other things authorizes grants for Low or No Emission buses, you must select the Certifications in Category 13 in addition to other Certifications and Assurances you must select on your Applicant's behalf, except as FTA determines otherwise in writing.

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

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

1. If your Applicant is in an urbanized area, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
 - a. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
 - b. It has or will have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.
 - c. It will maintain its equipment and facilities acquired or improved under its Award, in accordance with the recipient's transit asset management plan,

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- d. When using or involving a facility or equipment acquired or improved with federal assistance under 49 U.S.C. § 5339 during non-peak hours for transportation, recipients in an urbanized area will ensure that the following individuals will be charged a fare not exceeding fifty (50) percent of the peak hour fare:
 - (1) Any senior,
 - (2) Any individual who, because of illness, injury, age, congenital malfunction, or any other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), is unable to use a public transportation service or a public transportation facility effectively without special facilities, planning, or design,
 - (3) Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. § 401 *et seq.*), and
 - (4) Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. § 1395 *et seq.*).
 - e. When carrying out a procurement under 49 U.S.C. § 5339, it will comply with:
 - (1) The applicable general provisions of 49 U.S.C. § 5323, and
 - (2) The applicable third party contract provisions of 49 U.S.C. § 5325.
 - f. It has complied with or will comply with 49 U.S.C. § 5307(b).
 - g. As required by 49 U.S.C. § 5307(d):
 - (1) It has or will have the amount of funds required for the non-federal share,
 - (2) It will provide the non-federal share from sources approved by FTA, and
 - (3) It will provide the non-federal share when needed.
 - h. It will comply with:
 - (1) The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
 - (2) The statewide and nonmetropolitan transportation planning requirements of 49 U.S.C. § 5304.
 - i. It has a locally developed process to solicit and consider public comment before:
 - (1) Raising a fare, or
 - (2) Implementing a major reduction of public transportation service.
 - j. It will comply with the final federal regulations that, when issued, will implement the safety plan requirements of 49 U.S.C. § 5329(d).
2. If your Applicant is in a rural area, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
- a. It has or will have and require each Subrecipient to have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
 - b. It has or will have and require each Subrecipient to have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.

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- c. It will maintain and require each Subrecipient to maintain its equipment and facilities acquired or improved under its Award, in accordance with the recipient's transit asset management plan.
- d. Its state program has provided for a fair distribution of federal assistance appropriated or made available under 49 U.S.C. § 5311(b) within the state to eligible entities, including Indian reservations.
- e. Its program provides or will provide the maximum feasible coordination of federal assistance for public transportation service with transportation service financed by other federal sources.
- f. Its Awards and Subawards in its Formula Grants for Rural Areas Program are included in:
 - (1) The statewide transportation improvement program, and
 - (2) To the extent applicable, a metropolitan transportation improvement program.
- g. With respect to the non-federal share:
 - (1) It has or will have and, as necessary, will require each Subrecipient to have the amount of funds required for the non-federal share, as required by 49 U.S.C. § 5311(g) ,
 - (2) It will provide and, as necessary, will require each Subrecipient to provide the non-federal share from sources approved by FTA, and
 - (3) It will provide and, as necessary, will require each Subrecipient to provide the non-federal share when needed.
- h. It may transfer a facility or equipment acquired or improved under its Award to any other Recipient eligible to receive assistance under 49 U.S.C. chapter 53, if:
 - a. The Recipient possessing the facility or equipment consents to the transfer, and
 - b. The facility or equipment will continue to be used as required under 49 U.S.C. § 5311.

13.B. Low or No Emission Vehicle Deployment.

If your Applicant seeks federal assistance from FTA for an Award financed under the Low or No Emission Vehicle Development Program authorized under former 49 U.S.C. § 5312(d)(5), the Certifications and Assurances in Category 13.B apply to your Applicant, except as FTA determines otherwise in writing.

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

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

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7. With respect to the non-federal share:
 - a. It has or will have the amount of funds required for the non-federal share,
 - b. It will provide the non-federal share from sources approved by FTA, and
 - c. It will provide the non-federal share when needed.
8. It will comply with:
 - a. The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
 - b. The statewide and nonmetropolitan planning requirements of 49 U.S.C. § 5304.
9. It has a locally developed process to solicit and consider public comment before:
 - a. Raising a fare, or
 - b. Implementing a major reduction of public transportation service.
10. It will comply with the final federal regulations that, when issued, will implement the safety plan requirements of 49 U.S.C. § 5329(d).

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

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

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

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

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

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

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

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

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- c. It will provide the non-federal share when needed.
8. As required by 49 U.S.C. § 5307(c)(1)(H), it will comply with:
 - a. The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
 - b. The statewide and nonmetropolitan transportation planning requirements of 49 U.S.C. § 5304.
9. As required by 49 U.S.C. § 5307(c)(1)(I), it has a locally developed process to solicit and consider public comment before:
 - a. Raising a fare, or
 - b. Implementing a major reduction of public transportation.
10. Each fiscal year:
 - a. It will assure that at least one (1) percent of the amount of federal assistance under 49 U.S.C. § 5307 apportioned to its urbanized area must be expended for Public Transportation Security activities as described in 49 U.S.C. § 5307(c)(1)(J)(i) including:
 - (1) Increased lighting in or adjacent to a public transportation system (including bus stops, subway stations, parking lots, and garages),
 - (2) Increased camera surveillance of an area in or adjacent to that system,
 - (3) Emergency telephone line or lines to contact law enforcement or security personnel in an area in or adjacent to that system, and
 - (4) Any other activity intended to increase the security and safety of an existing or planned public transportation system, or
 - b. The Designated Recipients in its urbanized area certify that such expenditures for Public Transportation Security activities are not necessary.
11. If it serves an urbanized area with a population of at least 200,000 individuals, as determined by the Bureau of the Census:
 - a. It will provide a report by the end of the fourth quarter of the preceding federal fiscal year that lists projects carried out in the preceding fiscal year under this section for associated transit improvements as defined in 49 U.S.C. § 5302, and
 - b. The report of its Associated Transit Improvements or related activities is or will be incorporated by reference and made part of its Certifications and Assurances.
12. It will comply with the final federal regulations that, when issued, will implement the safety requirements of 49 U.S.C. § 5329(d).

14.B. Passenger Ferry Grant Program.

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

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

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

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CATEGORY 15. SENIORS AND INDIVIDUALS WITH DISABILITIES PROGRAMS.

Before FTA may provide federal assistance for an Award financed under the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program authorized under 49 U.S.C. § 5310, as amended by the FAST Act, you must select the Certifications in Category 15 in addition to other Certifications and Assurances you must select on your Applicant's behalf, except as FTA determines otherwise in writing.

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

1. The following Certifications for the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program are required by 49 U.S.C. § 5310. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
 - a. Each Subrecipient is:
 - (1) A private nonprofit organization, or
 - (2) A state or local governmental authority that:
 - (a) Is approved by a state to coordinate services for seniors and individuals with disabilities, or
 - (b) Certifies that there are no private nonprofit organizations readily available in the area to provide the services authorized for support under the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program.
 - b. It will comply with the following selection and planning requirements:
 - (1) The Projects it has selected or will select for an Award or Subaward of federal assistance appropriated or made available under 49 U.S.C. § 5310 are included in a public transit-human services transportation plan that has been:
 - (a) Locally developed, and
 - (b) Coordinated.
 - (2) The public transit-human services transportation plan was developed and approved through a process that included participation by:
 - (a) Seniors,
 - (b) Individuals with disabilities,
 - (c) Representatives of public, private, and nonprofit transportation providers,
 - (d) Representatives of public, private, and nonprofit human services providers, and
 - (e) Other members of the public.
 - (3) Within its Award, the Projects selected to receive federal assistance will assist in providing transportation services for seniors and individuals with

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- disabilities are included in its Program of Projects, that is or will be submitted to FTA annually.
- (4) To the maximum extent feasible, the services financed by 49 U.S.C. § 5310 will be coordinated with transportation services financed by other federal departments and agencies, including any transportation activities carried out by a recipient of federal assistance from the Department of Health and Human Services.
- c. As required by 49 U.S.C. § 5310(e)(2)(B), it certifies that if it allocates to any Subrecipient federal assistance received under 49 U.S.C. § 5310, it will have allocated that federal assistance on a fair and equitable basis.
- d. It will not transfer a facility or equipment acquired or improved with federal assistance appropriated or made available for a grant under 49 U.S.C. § 5310 to any other recipient eligible to receive assistance under 49 U.S.C. chapter 53, unless:
- (1) The recipient possessing the facility or equipment consents to the transfer, and
- (2) The facility or equipment will continue to be used as required under 49 U.S.C. § 5310.
- e. As required by 49 U.S.C. § 5310(b)(2), it will use at least fifty-five (55) percent of the federal assistance it receives for Capital Projects to meet the special needs of seniors and individuals with disabilities.
- f. The requirements of 49 U.S.C. § 5307, as determined by FTA, will apply to the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program authorized by 49 U.S.C. § 5310.
2. FTA has determined that certain requirements of 49 U.S.C. § 5307 are appropriate for the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program, some of which require Certifications. Therefore, as specified under 49 U.S.C. § 5307(c)(1), it certifies that:
- a. It has or will have and will require each Subrecipient to have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
- b. It has or will have and will require each Subrecipient to have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award or Subaward.
- c. It will maintain and will require each Subrecipient to maintain its equipment and facilities acquired or improved under its Award or Subaward, in accordance with the recipient's transit asset management plan.
- d. When carrying out a procurement under the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program, it will require each Subrecipient to comply with:
- (1) The applicable general provisions of 49 U.S.C. § 5323, and
- (2) The applicable third party contract provisions of 49 U.S.C. § 5325.

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- e. With respect to the non-federal share:
 - (1) It has or will have and, as necessary, will require each Subrecipient to have the amount of funds required for the non-federal share, as required by 49 U.S.C. § 5310,
 - (2) It will provide and, as necessary, will require each Subrecipient to provide the non-federal share from sources approved by FTA, and
 - (3) It will provide and, as necessary, will require each Subrecipient to provide the non-federal share when needed.
- f. It has complied or will comply and will require each Subrecipient to comply with:
 - (1) The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
 - (2) The statewide and nonmetropolitan transportation planning requirements of 49 U.S.C. § 5304.
- g. To the extent applicable, it will comply and require its Subrecipients to comply with the final federal regulations that, when issued, will implement the safety plan requirements of 49 U.S.C. § 5329(d).

CATEGORY 16. RURAL AREAS AND APPALACHIAN DEVELOPMENT PROGRAMS.

Before FTA may provide federal assistance for an Award financed under the Formula Grants for Rural Areas Program authorized under 49 U.S.C. § 5311(b), as amended by FAST Act, and the Appalachian Development Public Transportation Assistance Program authorized under 49 U.S.C. § 5311(c)(2), as amended by FAST, you must select the Certifications in Category 16 in addition to other Certifications and Assurances you must select on your Applicant's behalf, except as FTA determines otherwise in writing.

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

16.A. Formula Grants for Rural Areas Program.

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

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

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1. It has or will have and require each Subrecipient to have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
2. It has or will have and require each Subrecipient to have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.
3. It will maintain and require each Subrecipient to maintain its equipment and facilities acquired or improved under its Award, in accordance with the recipient's transit asset management plan.
4. Its state program has provided for a fair distribution of federal assistance appropriated or made available under 49 U.S.C. § 5311(b) within the state to eligible entities, including Indian reservations.
5. Its program provides or will provide the maximum feasible coordination of federal assistance for public transportation service authorized by 49 U.S.C. § 5311(b) with transportation service financed by other federal sources.
6. Its Awards and Subawards in its Formula Grants for Rural Areas Program are included in:
 - a. The statewide transportation improvement program, and
 - b. To the extent applicable, a metropolitan transportation improvement program.
7. With respect to the non-federal share:
 - a. It has or will have and, as necessary, will require each Subrecipient to have the amount of funds required for the non-federal share, as required by former 49 U.S.C. § 5311(g),
 - b. It will provide and, as necessary, will require each Subrecipient to provide the non-federal share from sources approved by FTA, and
 - c. It will provide and, as necessary, will require each Subrecipient to provide the non-federal share when needed.
8. It may transfer a facility or equipment acquired or improved under its Award to any other Recipient eligible to receive assistance under 49 U.S.C. chapter 53, if:
 - a. The Recipient possessing the facility or equipment consents to the transfer, and
 - b. The facility or equipment will continue to be used as required under 49 U.S.C. § 5311.
9. Each fiscal year:
 - a. It will spend at least fifteen (15) percent of its federal assistance authorized under 49 U.S.C. § 5311 and available that fiscal year for eligible activities to develop and support intercity bus transportation within the state including:
 - (1) Planning and marketing for intercity bus transportation,
 - (2) Capital grants for intercity bus facilities,
 - (3) Joint-use facilities,
 - (4) Operating grants through purchase-of-service agreements, user-side subsidies, and demonstration projects, and

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- (5) Coordinating rural connections between small public transportation operations and intercity bus carriers, or
- b. It will provide to FTA a Certification from the governor of the state that:
 - (1) It has consulted with the affected intercity bus service providers about the intercity bus needs of the state, and
 - (2) The state's intercity bus service needs are being met adequately.

16.B. Appalachian Development Public Transportation Assistance Program.

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

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

1. It provides notice and an opportunity for comment and appeal to affected public transportation providers,
2. It approves such use in writing, and
3. In approving the use, it determines that local transit needs are being addressed.

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

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

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

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

1. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.

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2. It has or will have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.
3. It will maintain its equipment and facilities acquired or improved under its Award, in accordance with the recipient's transit asset management plan.
4. Its Award will achieve maximum feasible coordination with transportation service financed by other federal sources.
5. With respect to its procurement system:
 - a. It will have a procurement system that complies with U.S. DOT regulations, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards," 2 CFR part 1201, which incorporates by reference U.S. OMB regulatory guidance, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards," 2 CFR part 200, for Awards made on or after December 26, 2014,
 - b. It will have a procurement system that complies with U.S. DOT regulations, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," 49 CFR part 18, specifically former 49 CFR § 18.36, for Awards made before December 26, 2014, or
 - c. It will inform FTA promptly that its procurement system does not comply with either of those U.S. DOT regulations.
6. It will comply with the Buy America requirements under 49 U.S.C. § 5323(j), as amended by FAST Act, and FTA regulations, "Buy America Requirements," 49 CFR part 661.
7. It will comply with the Certifications, Assurances, and Agreements in:
 - a. Category 03.B and 03.C (Charter Service Agreement and School Bus Agreement),
 - b. Category 05.B (Bus Testing),
 - c. Category 06 (Demand Responsive Service),
 - d. Category 07 (Intelligent Transportation Systems), and
 - e. Category 10 (Alcohol and Controlled Substances Testing).

CATEGORY 18. STATE SAFETY OVERSIGHT GRANT PROGRAM.

Before FTA may provide federal assistance for an Award financed under the State Safety Oversight Grant Program authorized under 49 U.S.C. § 5329(e)(6), you must select the Certifications in Category 18 in addition to other Certifications and Assurances you must select on your Applicant's behalf, except as FTA determines otherwise in writing.

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

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On behalf of your Applicant, you certify that:

1. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
2. It has or will have satisfactory continuing control over the use of equipment and facilities acquired or improved under its Award.
3. It will maintain its equipment and facilities acquired or improved under its Award.
4. When carrying out a procurement under its Award, it will comply with:
 - a. The applicable general provisions of 49 U.S.C. § 5323, and
 - b. The applicable third party contract provisions of 49 U.S.C. § 5325.
5. As required by 49 U.S.C. § 5329(e)(6)(C):
 - a. It has or will have the amount of funds required for the non-federal share,
 - b. It will provide the non-federal share only from sources approved by FTA, and will not be met by:
 - (1) Any federal assistance,
 - (2) Any funds received from a public transportation agency, or
 - (3) Any revenues earned by a public transportation agency, and
 - c. Will provide the non-federal share when needed.
6. It meets the applicable requirements of FTA regulations, “Rail Fixed Guideway Systems: State Safety Oversight,” 49 CFR part 659.
7. It has received or will receive an FTA certification upon a determination that its State Safety Oversight Program meets the requirements of 49 U.S.C. § 5329(e) and is adequate to promote the purposes of 49 U.S.C. § 5329.

CATEGORY 19. PUBLIC TRANSPORTATION EMERGENCY RELIEF PROGRAM.

Before FTA may provide federal assistance for an Award financed under the Public Transportation Emergency Relief Program authorized under 49 U.S.C. § 5324, you must select the Certifications in Category 19 in addition to other Certifications and Assurances you must select on your Applicant’s behalf, except as FTA determines otherwise in writing.

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

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

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

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CATEGORY 20. EXPEDITED PROJECT DELIVERY PILOT PROGRAM.

Before FTA may provide federal assistance for an Award financed under the Expedited Project Delivery Pilot Program authorized under section 3005(b) of the FAST Act, you must select the Certifications in Category 20 in addition to other Certifications and Assurances you must select on your Applicant's behalf, except as FTA determines otherwise in writing.

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

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

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

CATEGORY 21. INFRASTRUCTURE FINANCE PROGRAMS.

Before FTA may provide credit assistance for an Award financed under the Transportation Infrastructure Finance and Innovation Act (TIFIA) Program authorized under 23 U.S.C. §§ 601 – 609, or the State Infrastructure Banks (SIB) Program authorized under 23 U.S.C. § 610, you must select the Certifications in Category 23 in addition to other Certifications and Assurances you must select on your Applicant's behalf, except as FTA determines otherwise in writing.

Any provision of the Certifications and Assurances in Category 21 that does not apply will not be enforced.

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

If your Applicant seeks federal assistance from FTA for an Award financed under the TIFIA Program authorized under 23 U.S.C. §§ 601 – 609 the Certifications and Assurances in Category 23.A applies to your Applicant, except as FTA determines

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otherwise in writing. In administering this Program, the FAST Act cross-cutting requirements supersede inconsistent former requirements.

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

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

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- i. It has a locally developed process to solicit and consider public comment before:
 - (1) Raising a fare, or
 - (2) Implementing a major reduction of public transportation.
- j. It will comply with the final federal regulations that, when issued, will implement the safety plan requirements of 49 U.S.C. § 5329(d).
2. To comply with the interest and financing costs restrictions of 49 U.S.C. chapter 53, it agrees that it will not seek reimbursement for interest or any other financing costs incurred in connection with its Award that must be in compliance with those requirements unless:
 - a. It is eligible to receive federal assistance for those expenses, and
 - b. Its records demonstrate that it has used reasonable diligence in seeking the most favorable financing terms underlying those costs, to the extent FTA may require.
3. It will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d *et seq.*).
4. Pursuant to the National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. § 5321 *et seq.*, it will receive an environmental categorical exclusion, a finding of no significant impact, or a record of decision under NEPA for its Award before obligating federal assistance.
5. It agrees that it will adopt a transit asset management plan that complies with regulations implementing 49 U.S.C. § 5326(d), when required.

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

If your Applicant is a state and seeks federal assistance from FTA financed under the SIB Program authorized under 23 U.S.C. § 610, the Certifications and Assurances in Category 23.B applies to your state and its Award, except as FTA determines otherwise in writing. In administering this Program, the FAST Act cross-cutting requirements supersede inconsistent former requirements.

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

1. It will comply with the following applicable federal laws establishing the various SIB Programs since 1995:
 - a. 23 U.S.C. § 610, as amended by the FAST Act,
 - b. 23 U.S.C. § 610 or its predecessor before the FAST Act was signed into law,
 - c. Section 1511 of TEA-21, 23 U.S.C. § 181 note, or
 - d. Section 350 of the National Highway System Designation Act of 1995, as amended, 23 U.S.C. § 181.
2. It will comply with or follow the Cooperative Agreement establishing the state's SIB Program between:
 - a. It and FHWA, FRA, and FTA, or
 - b. It and FHWA and FTA.

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3. It will comply with or follow the Grant Agreement that provides federal assistance from FTA for the SIB and is between it and FTA, including the FTA Master Agreement, which is incorporated by reference into the Grant Agreement, except that any provision of the FTA Master Agreement incorporated by reference into that Grant Agreement will not apply if it conflicts with any provision of:
 - a. 23 U.S.C. § 610, as amended by the FAST Act,
 - b. 23 U.S.C. § 610 or its predecessor before the FAST Act was signed into law,
 - c. Section 1511 of TEA-21, 23 U.S.C. § 181 note, or section 350 of the National Highway System Designation Act of 1995, as amended, 23 U.S.C. § 181 note,
 - d. Federal guidance pertaining to the SIB Program,
 - e. The Cooperative Agreement establishing the state's SIB Program, or
 - f. The Grant Agreement with FTA.
4. As required by 49 U.S.C. § 5323(o), federal transit laws, specifically 49 U.S.C. § 5307, 49 U.S.C. § 5309, and 49 U.S.C. § 5337, as amended by the FAST Act, apply to any Award under 49 U.S.C. chapter 53 that receives SIB support or financing under 23 U.S.C. § 610 (or any support from 23 U.S.C. §§ 601 – 609).
5. As required by 49 U.S.C. § 5323(o) and 49 U.S.C. § 5307(c)(1):
 - a. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
 - b. It has or will have satisfactory continuing control over the use of equipment and facilities acquired or improved under its Award.
 - c. It will maintain its equipment and facilities acquired or improved under its Award, in accordance with the recipient's transit asset management plan.
 - d. When using or involving a facility or equipment acquired or improved with federal assistance under a SIB-financed Award during non-peak hours for transportation, it will ensure that the following individuals will be charged a fare not exceeding fifty (50) percent of the peak hour fare:
 - (1) Any senior,
 - (2) Any individual who, because of illness, injury, age, congenital malfunction, or any other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), is unable to use a public transportation service or a public transportation facility effectively without special facilities, planning, or design,
 - (3) Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. § 401 *et seq.*), and
 - (4) Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. § 1395 *et seq.*).
 - e. When carrying out a procurement under a SIB-financed Award, it will comply with:
 - (1) The applicable general provisions of 49 U.S.C. § 5323, and
 - (2) The applicable third party contract provisions of 49 U.S.C. § 5325.
 - f. It has complied with or will comply with 49 U.S.C. § 5307(b).

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- g. (1) It has or will have the amount of funds required for the non-federal share by the SIB Program, but not less than twenty-five (25) percent of each capitalization grant,
 - (2) It will provide the non-federal share from sources approved by FTA, and
 - (3) It will provide the non-federal share when needed.
 - h. It will comply with:
 - (1) The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
 - (2) The statewide and nonmetropolitan planning requirements of 49 U.S.C. § 5304.
 - i. It has a locally developed process to solicit and consider public comment before:
 - (1) Raising a fare, or
 - (2) Implementing a major reduction of public transportation.
 - j. It will comply with the final federal regulations that, when issued, will implement the safety plan requirements of 49 U.S.C. § 5329(d).
6. As required by 49 U.S.C. chapter 53, it certifies that it will not seek reimbursement for interest or any other financing costs incurred in connection with its Award unless:
- a. It is eligible to receive federal assistance for those expenses, and
 - b. Its records demonstrate that it has used reasonable diligence in seeking the most favorable financing terms underlying those costs, as FTA may require.
7. It agrees that it will adopt a transit asset management plan that complies with regulations implementing 49 U.S.C. § 5326(d).

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

Before FTA may provide federal assistance for an Award financed under the Paul S. Sarbanes Transit in Parks Program authorized under former 49 U.S.C. § 5320, in effect in FY 2012 or a previous fiscal year, except as superseded by FAST Act requirements that apply you must select the Certifications in Category 22 in addition to other Certifications and Assurances you must select on your Applicant's behalf, except as FTA determines otherwise in writing.

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

1. Except as superseded by the FAST Act cross-cutting requirements that apply, the following Certifications and Assurances for the Paul S. Sarbanes Transit in Parks Program (Parks Program) are required by former 49 U.S.C. § 5320, in effect in FY 2012 or a previous fiscal year. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

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- a. It will consult with the appropriate federal land management agency during the planning process, and
 - b. The requirements of former 49 U.S.C. § 5307, as determined by FTA, will apply to the Parks Program authorized by former 49 U.S.C. § 5320.
2. FTA has determined certain requirements of former 49 U.S.C. § 5307 to be appropriate for the Parks Program, of which some require Certifications. Therefore, as specified under former 49 U.S.C. § 5307(d)(1), except as superseded by the FAST Act cross-cutting requirements that apply, you certify that:
- a. It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
 - b. It has or will have satisfactory continuing control over the use of equipment and facilities acquired or improved under its Award.
 - c. It will maintain its equipment and facilities acquired or improved under its Award.
 - d. When carrying out a procurement under former 49 U.S.C. § 5320, it will comply and will require each Subrecipient to comply with the following provisions:
 - (1) Competitive procurement (as defined or approved by FTA) requirements of 49 U.S.C. § 5325(a),
 - (2) The prohibition against exclusionary or discriminatory specifications in its procurements under 49 U.S.C. § 5323(h),
 - (3) “Buy America” requirements under 49 U.S.C. § 5323(j), as amended by the FAST Act, and FTA regulations, “Buy America Requirements,” 49 CFR part 661,
 - (4) Applicable pre-award and post-delivery requirements of 49 U.S.C. § 5323(m),
 - (5) Applicable railcar option restrictions of 49 U.S.C. § 5325(e), and
 - (6) “Veterans Preference/Employment” requirements under 49 U.S.C. § 5325(k).
 - e. It will comply with other applicable requirements under 49 U.S.C. § 5323 and § 5325.
 - f. It has complied or will comply with the requirements of former 49 U.S.C. § 5307(c), and specifically:
 - (1) It has made or will make available to the public information on the amounts available for the Parks Program, former 49 U.S.C. § 5320, and the Projects it proposes to implement under its Award,
 - (2) It has developed or will develop, in consultation with interested parties including private transportation providers, Projects to be financed under its Award,
 - (3) It has published or will publish a list of proposed Projects in a way that affected citizens, private transportation providers, and local elected officials have the opportunity to examine the proposed Projects and submit comments on the proposed Projects and its performance,

FTA FISCAL YEAR 2016 CERTIFICATIONS AND ASSURANCES

- (4) It has provided or will provide an opportunity for a public hearing to obtain the views of citizens on the proposed Projects,
 - (5) It has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final list of Projects, and
 - (6) It has made or will make the final list of Projects for which an Award is sought available to the public.
- g. With respect to the non-federal share:
- (1) It has or will have and, as necessary, will require each Subrecipient to have the amount of funds required for the non-federal share, as required by 49 U.S.C. § 5320,
 - (2) It will provide the non-federal share from sources approved by FTA, and
 - (3) It will provide the non-federal share when needed.
- h. It has complied or will comply with and will require each Subrecipient to comply with:
- (1) The metropolitan transportation planning requirements of 49 U.S.C. § 5303, and
 - (2) The statewide and nonmetropolitan planning requirements of 49 U.S.C. § 5304.
- i. It has a locally developed process to solicit and consider public comment before:
- (1) Raising a fare, or
 - (2) Implementing a major reduction of public transportation.

CATEGORY 23. CONSTRUCTION HIRING PREFERENCES.

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

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

As provided by section 192 of division L, title I of the Consolidated Appropriations Act, 2016, Pub. L. 114-113, on behalf of your Applicant, you certify that if, in connection with any third party contract for construction hiring financed under title 49 U.S.C. or title 23 U.S.C., it uses a geographic, economic, or any other hiring preference not otherwise authorized by law or prohibited under 2 CFR § 200.319(b):

1. Except with respect to apprentices or trainees, a pool of readily available but unemployed individuals possessing the knowledge, skill, and ability to perform the

FTA FISCAL YEAR 2016 CERTIFICATIONS AND ASSURANCES

- work that the third party contract requires resides in the jurisdiction where the work will be performed;
2. It will include appropriate provisions in its bid document ensuring that its third party contractor(s) do not displace any of its existing employees in order to satisfy such hiring preference; and
 3. That any increase in the cost of labor, training, or delays resulting from the use of such hiring preference does not delay or displace any transportation project in the applicable Statewide Transportation Improvement Program or Transportation Improvement Program.

Selection and Signature Page(s) follow.

FTA FISCAL YEAR 2016 CERTIFICATIONS AND ASSURANCES

**FEDERAL FISCAL YEAR 2016 CERTIFICATIONS AND ASSURANCES FOR
FEDERAL TRANSIT ADMINISTRATION ASSISTANCE PROGRAMS**

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

Name of Applicant: _____

The Applicant agrees to comply with applicable provisions of Categories 01 – 23. _____

OR

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

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

FTA FISCAL YEAR 2016 CERTIFICATIONS AND ASSURANCES

FEDERAL FISCAL YEAR 2016 FTA CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE
(Required of all Applicants for federal assistance to be awarded by FTA and all FTA Grantees with an active Capital or Formula Award)

AFFIRMATION OF APPLICANT

Name of the Applicant: _____

Name and Relationship of the Authorized Representative: _____

BY SIGNING BELOW, on behalf of the Applicant, I declare that it has duly authorized me to make these Certifications and Assurances and bind its compliance. Thus, it agrees to comply with all federal laws, regulations, and requirements, follow applicable federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative makes to the Federal Transit Administration (FTA) in federal fiscal year 2016, irrespective of whether the individual that acted on his or her Applicant's behalf continues to represent it.

FTA intends that the Certifications and Assurances the Applicant selects on the other side of this document should apply to each Award for which it now seeks, or may later seek federal assistance to be awarded by FTA during federal fiscal year 2016.

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

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

Signature _____ Date: _____

Name _____
Authorized Representative of Applicant

AFFIRMATION OF APPLICANT'S ATTORNEY

For (Name of Applicant): _____

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

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

Signature _____ Date: _____

Name _____
Attorney for Applicant

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

STAFF REPORT

Subject: Live and Archived Streaming of Board Meetings

Initiated by: John Helm, Executive Director

BACKGROUND:

The City of Bishop and the Town of Mammoth Lakes use technology to live stream, and provide archived streaming of Council Meetings.

ANALYSIS/DISCUSSION:

Recently, the concept was raised with ESTA staff regarding utilizing existing technology infrastructure that is in place at the City of Bishop and Town of Mammoth Lakes Council Chambers, which are the same chambers used by the ESTA Board for the Authority's meetings, in order to provide streaming capabilities for the ESTA Board meetings. Inquiries have been made of the Bishop City Administrator and the Mammoth Lakes Town Manager regarding this concept. Both individuals indicated that that it appeared that the concept was feasible and that the City and the Town would be willing to cooperate with ESTA to make this possible. The details of streaming and capturing the ESTA Board meetings are yet to be worked out, however, the Town's IT staff indicated it should be doable. The specifics of any costs associated with the use of this technology are also yet to be finalized, however, both the City and the Town indicated that costs to ESTA should be nominal.

FINANCIAL CONSIDERATIONS

Costs for the use of the streaming technology have not been finalized, although, are anticipated to be nominal due to the fact that the infrastructure is already in place. Additional costs for this capability can be included in the 2016/17 fiscal year budget.

RECOMMENDATION

This Board is requested to provide direction to staff regarding the potential implementation of live and archived streaming of ESTA Board meetings using technology and infrastructure that is already in place in the City of Bishop and the Town of Mammoth Lakes.

STAFF REPORT

Subject: Real-Time Bus Arrival Prediction System Concerns

Initiated by: John Helm, Executive Director

BACKGROUND:

At the January ESTA Board meeting, information was presented detailing ongoing concerns with NextBus, the existing real-time bus arrival prediction system. At that time, staff was directed to continue to pursue testing and implementation of an alternative system in the Mammoth Lakes area.

ANALYSIS/DISCUSSION:

Subsequent to the January Board meeting, ESTA has placed an order with Swiftly to provide real-time bus arrival prediction information on the Red Line, Purple Line and Trolley routes in the Town of Mammoth Lakes. Steps are proceeding to make this happen and it is anticipated the system will be launched to the public within a few weeks. Specific steps that are being planned with Swiftly staff include

Preparation

- Determine launch date
- Test products
 - Swiftly Transitime
 - Swiftly mobile app
 - SMS system
 - Voice system
- Press release
 - Write press release copy
 - Create list of journalists for outreach
 - Create list of influencers and bloggers for outreach
- Approve graphics:
 - Bus stop signs
 - Interior bus signs
 - Press release
 - Blog post
 - Facebook
 - Twitter
 - LinkedIn
 - Instagram

Launch

- Buses and Bus Stops
 - Place signs / stickers at bus stops
 - Place promotional signs inside buses
- Press Release
 - Schedule initial outreach 7 days prior to announcement. Schedule 3 follow ups to those who do not respond.
 - Journalists
 - Local bloggers and influencers
 - Schedule 4 follow ups to each contact prior to release
- Social Media
 - Schedule 3 social media posts the first week of launch:
 - Facebook
 - Twitter
 - LinkedIn
 - Instagram

FINANCIAL CONSIDERATIONS

As indicated at the January meeting, it is anticipated that transition to the Swiftly system will result in up to \$60,000 in operating cost savings over the next five years. The costs for the Swiftly system will be incorporated in the 2016/17 fiscal year budget.

RECOMMENDATION

This item is provided to brief the Board regarding progress toward implantation of the pilot, test Swiftly system in the Mammoth Lakes area. No action is requested.

STAFF REPORT

Subject: Financial Report – FY 2015/16

Initiated by: John Helm, Executive Director

Financial reports for FY 2015/16 were prepared on March 16, 2016, which is 70.5% through the fiscal year. Total revenues are at 61% of the annual budget amount, and total expenses are at 58% of the year’s budget. Receipt of revenues is trending generally according to anticipated timing. Although both revenues and expenses typically lag the calendar, reductions in the major expense categories of fuel and maintenance continue to run significantly below budget, primarily due to low fuel prices and unrealized maintenance expenses. As we mentioned last month, holiday and overtime expense as a percentage of the annual budget are greater than the calendar period, however, a greater percentage of the busy peak seasons in Mammoth (July, August and the busy winter period (Christmas through Presidents’ Week), and holidays (8 of the 10 holidays) have been realized than is reflected in the calendar year percentage. Professional and Special Services expense may exceed budget slightly this year. The Google Transit invoice was \$2,000 greater than budget, however, this is a 100% reimbursement contract and revenues will be greater than budget as well.

The table below summarizes the expenses by major expense category.

	Percent of the fiscal year		70.5%
Category	Budget	Actual as of 03.16.16	% of Budget
Total Salaries	1,728,564	1,114,728	64%
Total Benefits	750,636	417,995	56%
Total Insurance	302,890	277,175	92%
Total Maintenance	585,160	269,859	46%
Facilities	229,570	143,101	62%
Total Services	240,830	180,554	75%
Fuel	707,140	211,098	30%
Other	163,578	71,009	43%
	4,708,368	2,685,518	57%

The roll-up, the budget unit summary, and the fund balance report for FY 2015/16 as prepared on March 16, 2016, are included on the following pages.

COUNTY OF INYO
Budget to Actuals with Encumbrances by Key/Obj

Ledger: GL

As of 3/16/2016

Object	Description	Budget	Actual	Encumbrance	Balance	%
Key: 153299 - EASTERN SIERRA TRANSIT						
OPERATING						
Revenue						
4061	LOCAL TRANSPORTATION TAX	1,232,955.00	747,586.56	0.00	485,368.44	60.63
4065	STATE TRANSIT ASST	322,876.00	31,202.00	0.00	291,674.00	9.66
4301	INTEREST FROM TREASURY	2,600.00	5,180.14	0.00	(2,580.14)	199.23
4499	STATE OTHER	111,620.00	51,994.76	0.00	59,625.24	46.58
4555	FEDERAL GRANTS	594,951.00	87,492.68	0.00	507,458.32	14.70
4599	OTHER AGENCIES	849,814.00	685,598.89	0.00	164,215.11	80.67
4819	SERVICES & FEES	1,827,906.00	1,175,155.74	0.00	652,750.26	64.28
4959	MISCELLANEOUS REVENUE	5,000.00	3,588.14	0.00	1,411.86	71.76
	Revenue Total:	<u>4,947,722.00</u>	<u>2,787,798.91</u>	<u>0.00</u>	<u>2,159,923.09</u>	<u>56.34</u>
Expenditure						
5001	SALARIED EMPLOYEES	1,163,600.00	716,198.70	0.00	447,401.30	61.55
5003	OVERTIME	32,230.00	29,992.20	0.00	2,237.80	93.05
5005	HOLIDAY OVERTIME	101,606.00	87,346.67	0.00	14,259.33	85.96
5012	PART TIME EMPLOYEES	431,128.00	281,189.94	0.00	149,938.06	65.22
5021	RETIREMENT & SOCIAL SECURITY	40,306.00	26,901.49	0.00	13,404.51	66.74
5022	PERS RETIREMENT	229,100.00	128,845.08	0.00	100,254.92	56.23
5031	MEDICAL INSURANCE	298,940.00	175,326.82	0.00	123,613.18	58.64
5043	OTHER BENEFITS	32,290.00	16,129.81	0.00	16,160.19	49.95
5045	COMPENSATED ABSENCE EXPENSE	143,500.00	68,843.30	0.00	74,656.70	47.97
5047	EMPLOYEE INCENTIVES	6,500.00	1,948.21	0.00	4,551.79	29.97
5111	CLOTHING	8,400.00	3,285.98	0.00	5,114.02	39.11
5152	WORKERS COMPENSATION	90,890.00	90,353.00	0.00	537.00	99.40
5154	UNEMPLOYMENT INSURANCE	45,000.00	19,845.00	0.00	25,155.00	44.10
5158	INSURANCE PREMIUM	167,000.00	166,977.00	0.00	23.00	99.98
5171	MAINTENANCE OF EQUIPMENT	544,860.00	256,278.75	21,600.00	266,981.25	51.00
5173	MAINTENANCE OF	22,300.00	11,311.03	0.00	10,988.97	50.72
5191	MAINTENANCE OF STRUCTURES	18,000.00	2,269.00	0.00	15,731.00	12.60
5211	MEMBERSHIPS	2,142.00	610.00	0.00	1,532.00	28.47
5232	OFFICE & OTHER EQUIP < \$5,000	11,100.00	4,764.58	0.00	6,335.42	42.92
5238	OFFICE SUPPLIES	9,186.00	4,882.19	0.00	4,303.81	53.14
5253	ACCOUNTING & AUDITING SERVICE	40,550.00	29,350.00	0.00	11,200.00	72.37
5254	AUDITING SERVICE	8,360.00	0.00	0.00	8,360.00	0.00
5260	HEALTH - EMPLOYEE PHYSICALS	6,400.00	3,703.38	0.00	2,696.62	57.86
5263	ADVERTISING	36,600.00	25,078.94	0.00	11,521.06	68.52
5265	PROFESSIONAL & SPECIAL SERVICE	148,920.00	122,421.39	14,951.70	11,546.91	92.24
5291	OFFICE, SPACE & SITE RENTAL	180,070.00	126,000.00	0.00	54,070.00	69.97
5311	GENERAL OPERATING EXPENSE	44,630.00	37,733.94	0.00	6,896.06	84.54
5331	TRAVEL EXPENSE	9,300.00	8,265.91	0.00	1,034.09	88.88
5332	MILEAGE REIMBURSEMENT	21,020.00	11,466.47	0.00	9,553.53	54.55
5351	UTILITIES	49,500.00	17,100.67	0.00	32,399.33	34.54
5352	FUEL & OIL	707,140.00	211,098.22	0.00	496,041.78	29.85
5901	CONTINGENCIES	57,800.00	0.00	0.00	57,800.00	0.00
	Expenditure Total:	<u>4,708,368.00</u>	<u>2,685,517.67</u>	<u>36,551.70</u>	<u>1,986,298.63</u>	<u>57.81</u>
NET OPERATING		<u>239,354.00</u>	<u>102,281.24</u>	<u>(36,551.70)</u>	<u>173,624.46</u>	
CAPITAL ACCOUNT						
Revenue						

COUNTY OF INYO
Budget to Actuals with Encumbrances by Key/Obj

Ledger: GL

As of 3/16/2016

Object	Description	Budget	Actual	Encumbrance	Balance	%
4066	PTMISEA	460,000.00	467,636.24	0.00	(7,636.24)	101.66
4495	STATE GRANTS - CAPITAL	222,000.00	4,811.16	0.00	217,188.84	2.16
4911	SALES OF FIXED ASSETS	0.00	9,900.00	0.00	(9,900.00)	0.00
Revenue Total:		682,000.00	482,347.40	0.00	199,652.60	70.72
Expenditure						
5640	STRUCTURES & IMPROVEMENTS	532,000.00	498,873.52	10,975.00	22,151.48	95.83
5655	VEHICLES	200,000.00	0.00	0.00	200,000.00	0.00
Expenditure Total:		732,000.00	498,873.52	10,975.00	222,151.48	69.65
NET CAPITAL ACCOUNT		(50,000.00)	(16,526.12)	(10,975.00)	(22,498.88)	
TRANSFERS						
Revenue						
Expenditure						
5798	CAPITAL REPLACEMENT	186,300.00	0.00	0.00	186,300.00	0.00
Expenditure Total:		186,300.00	0.00	0.00	186,300.00	0.00
NET TRANSFERS		0.00	0.00	0.00	0.00	
153299 Total:		3,054.00	85,755.12	(47,526.70)	(35,174.42)	

COUNTY OF INYO

Budget to Actuals with Encumbrances by Key/Income Grouping

Ledger: GL

As Of 3/16/2016

Object	Description	Budget	Actual	Encumbrance	Balance
Key: 153200 - EASTERN SIERRA TRANSIT FUND					
Revenue					
4600	CHARGES FOR CURRENT SERVICES	0.00	0.00	0.00	0.00
Revenue Total:		0.00	0.00	0.00	0.00
Expenditure					
5000	SALARIES & BENEFITS	0.00	0.00	0.00	0.00
5800	OTHER FINANCING USES	0.00	0.00	0.00	0.00
Expenditure Total:		0.00	0.00	0.00	0.00
Key Total:		0.00	0.00	0.00	0.00
Key: 153201 - ESTA ADMINISTRATION					
Revenue					
4060	TAXES - SALES	0.00	60,051.83	0.00	(60,051.83)
4350	REV USE OF MONEY & PROPERTY	0.00	3,189.64	0.00	(3,189.64)
4400	AID FROM OTHER GOVT AGENCIES	0.00	0.00	0.00	0.00
4600	CHARGES FOR CURRENT SERVICES	0.00	0.00	0.00	0.00
4900	OTHER REVENUE	0.00	0.00	0.00	0.00
Revenue Total:		0.00	63,241.47	0.00	(63,241.47)
Expenditure					
5000	SALARIES & BENEFITS	0.00	(11.35)	0.00	11.35
5100	SERVICES & SUPPLIES	0.00	21.78	0.00	(21.78)
5200	INTERNAL CHARGES	0.00	0.00	0.00	0.00
5560	DEBT SERVICE INTEREST	0.00	0.00	0.00	0.00
5600	FIXED ASSETS	0.00	0.00	0.00	0.00
5700	DEPRECIATION	0.00	0.00	0.00	0.00
Expenditure Total:		0.00	10.43	0.00	(10.43)
Key Total:		0.00	63,231.04	0.00	(63,231.04)
Key: 153202 - INYO TRANSIT SERVICE					
Revenue					
4060	TAXES - SALES	311,866.00	136,655.46	0.00	175,210.54
4350	REV USE OF MONEY & PROPERTY	650.00	0.00	0.00	650.00
4400	AID FROM OTHER GOVT AGENCIES	81,440.00	24,837.75	0.00	56,602.25
4600	CHARGES FOR CURRENT SERVICES	51,401.00	37,295.53	0.00	14,105.47
4900	OTHER REVENUE	1,500.00	669.72	0.00	830.28
Revenue Total:		446,857.00	199,458.46	0.00	247,398.54
Expenditure					
5000	SALARIES & BENEFITS	310,260.00	184,948.48	0.00	125,311.52
5100	SERVICES & SUPPLIES	122,800.00	59,738.10	0.00	63,061.90
5200	INTERNAL CHARGES	10,300.00	10,842.00	0.00	(542.00)
5560	DEBT SERVICE INTEREST	0.00	0.00	0.00	0.00
5600	FIXED ASSETS	0.00	0.00	0.00	0.00
5800	OTHER FINANCING USES	12,440.00	0.00	0.00	12,440.00
5900	RESERVES	5,000.00	0.00	0.00	5,000.00
Expenditure Total:		460,800.00	255,528.58	0.00	205,271.42
Key Total:		(13,943.00)	(56,070.12)	0.00	42,127.12
Key: 153203 - MONO TRANSIT SERVICE					
Revenue					
4060	TAXES - SALES	249,613.00	125,656.97	0.00	123,956.03
4350	REV USE OF MONEY & PROPERTY	650.00	0.00	0.00	650.00
4400	AID FROM OTHER GOVT AGENCIES	33,571.00	319.50	0.00	33,251.50
4600	CHARGES FOR CURRENT SERVICES	13,494.00	17,052.82	0.00	(3,558.82)
4900	OTHER REVENUE	0.00	10,016.35	0.00	(10,016.35)

COUNTY OF INYO

Budget to Actuals with Encumbrances by Key/Income Grouping

Ledger: GL

As Of 3/16/2016

Object	Description	Budget	Actual	Encumbrance	Balance
Revenue Total:		297,328.00	153,045.64	0.00	144,282.36
Expenditure					
5000	SALARIES & BENEFITS	157,360.00	65,034.51	0.00	92,325.49
5100	SERVICES & SUPPLIES	85,499.00	23,628.35	0.00	61,870.65
5200	INTERNAL CHARGES	6,420.00	5,963.00	0.00	457.00
5600	FIXED ASSETS	0.00	0.00	0.00	0.00
5800	OTHER FINANCING USES	5,200.00	0.00	0.00	5,200.00
5900	RESERVES	2,800.00	0.00	0.00	2,800.00
Expenditure Total:		257,279.00	94,625.86	0.00	162,653.14
Key Total:		40,049.00	58,419.78	0.00	(18,370.78)
Key: 153204 - BISHOP TRANSIT SERVICE					
Revenue					
4060	TAXES - SALES	311,866.00	136,655.52	0.00	175,210.48
4350	REV USE OF MONEY & PROPERTY	650.00	0.00	0.00	650.00
4400	AID FROM OTHER GOVT AGENCIES	81,440.00	36,537.75	0.00	44,902.25
4600	CHARGES FOR CURRENT SERVICES	59,783.00	46,392.06	0.00	13,390.94
4900	OTHER REVENUE	1,500.00	819.43	0.00	680.57
Revenue Total:		455,239.00	220,404.76	0.00	234,834.24
Expenditure					
5000	SALARIES & BENEFITS	337,610.00	183,494.52	0.00	154,115.48
5100	SERVICES & SUPPLIES	119,730.00	69,570.02	0.01	50,159.97
5200	INTERNAL CHARGES	11,200.00	10,842.00	0.00	358.00
5560	DEBT SERVICE INTEREST	0.00	0.00	0.00	0.00
5600	FIXED ASSETS	0.00	0.00	0.00	0.00
5800	OTHER FINANCING USES	12,440.00	0.00	0.00	12,440.00
5900	RESERVES	5,000.00	0.00	0.00	5,000.00
Expenditure Total:		485,980.00	263,906.54	0.01	222,073.45
Key Total:		(30,741.00)	(43,501.78)	(0.01)	12,760.79
Key: 153205 - MAMMOTH TRANSIT SERVICE					
Revenue					
4060	TAXES - SALES	348,795.00	169,068.78	0.00	179,726.22
4350	REV USE OF MONEY & PROPERTY	650.00	0.00	0.00	650.00
4400	AID FROM OTHER GOVT AGENCIES	1,035,674.00	609,903.89	0.00	425,770.11
4600	CHARGES FOR CURRENT SERVICES	11,335.00	11,990.22	0.00	(655.22)
4900	OTHER REVENUE	1,500.00	807.53	0.00	692.47
Revenue Total:		1,397,954.00	791,770.42	0.00	606,183.58
Expenditure					
5000	SALARIES & BENEFITS	607,000.00	447,355.52	0.00	159,644.48
5100	SERVICES & SUPPLIES	500,869.00	246,421.37	0.01	254,447.62
5200	INTERNAL CHARGES	22,680.00	22,589.00	0.00	91.00
5600	FIXED ASSETS	222,000.00	5,425.88	0.00	216,574.12
5800	OTHER FINANCING USES	31,220.00	0.00	0.00	31,220.00
5900	RESERVES	12,000.00	0.00	0.00	12,000.00
Expenditure Total:		1,395,769.00	721,791.77	0.01	673,977.22
Key Total:		2,185.00	69,978.65	(0.01)	(67,793.64)
Key: 153206 - 395 ROUTE					
Revenue					
4060	TAXES - SALES	175,454.00	94,900.00	0.00	80,554.00
4400	AID FROM OTHER GOVT AGENCIES	271,051.00	50,068.45	0.00	220,982.55
4600	CHARGES FOR CURRENT SERVICES	170,235.00	145,479.48	0.00	24,755.52
4900	OTHER REVENUE	0.00	621.16	0.00	(621.16)

COUNTY OF INYO

Budget to Actuals with Encumbrances by Key/Income Grouping

Ledger: GL

As Of 3/16/2016

Object	Description	Budget	Actual	Encumbrance	Balance
Revenue Total:		616,740.00	291,069.09	0.00	325,670.91
Expenditure					
5000	SALARIES & BENEFITS	322,690.00	184,817.28	0.00	137,872.72
5100	SERVICES & SUPPLIES	273,030.00	114,287.12	0.00	158,742.88
5200	INTERNAL CHARGES	11,020.00	11,294.00	0.00	(274.00)
5600	FIXED ASSETS	0.00	0.00	0.00	0.00
5700	DEPRECIATION	0.00	0.00	0.00	0.00
5900	RESERVES	10,000.00	0.00	0.00	10,000.00
Expenditure Total:		616,740.00	310,398.40	0.00	306,341.60
Key Total:		0.00	(19,329.31)	0.00	19,329.31
Key: 153207 - SPECIALS					
Revenue					
4400	AID FROM OTHER GOVT AGENCIES	0.00	0.00	0.00	0.00
4600	CHARGES FOR CURRENT SERVICES	8,000.00	1,644.65	0.00	6,355.35
Revenue Total:		8,000.00	1,644.65	0.00	6,355.35
Expenditure					
5000	SALARIES & BENEFITS	2,570.00	1,332.44	0.00	1,237.56
5100	SERVICES & SUPPLIES	3,500.00	244.00	0.00	3,256.00
5200	INTERNAL CHARGES	200.00	181.00	0.00	19.00
5900	RESERVES	0.00	0.00	0.00	0.00
Expenditure Total:		6,270.00	1,757.44	0.00	4,512.56
Key Total:		1,730.00	(112.79)	0.00	1,842.79
Key: 153208 - COMMUTER VANPOOL					
Revenue					
4600	CHARGES FOR CURRENT SERVICES	0.00	0.00	0.00	0.00
Revenue Total:		0.00	0.00	0.00	0.00
Expenditure					
5000	SALARIES & BENEFITS	0.00	0.00	0.00	0.00
5100	SERVICES & SUPPLIES	0.00	0.00	0.00	0.00
5200	INTERNAL CHARGES	0.00	0.00	0.00	0.00
Expenditure Total:		0.00	0.00	0.00	0.00
Key Total:		0.00	0.00	0.00	0.00
Key: 153209 - REDS MEADOW					
Revenue					
4400	AID FROM OTHER GOVT AGENCIES	0.00	0.00	0.00	0.00
4600	CHARGES FOR CURRENT SERVICES	375,624.00	433,504.82	0.00	(57,880.82)
4900	OTHER REVENUE	500.00	0.00	0.00	500.00
Revenue Total:		376,124.00	433,504.82	0.00	(57,380.82)
Expenditure					
5000	SALARIES & BENEFITS	162,530.00	161,113.91	0.00	1,416.09
5100	SERVICES & SUPPLIES	179,190.00	180,811.20	0.00	(1,621.20)
5200	INTERNAL CHARGES	6,230.00	7,228.00	0.00	(998.00)
5600	FIXED ASSETS	0.00	0.00	0.00	0.00
5700	DEPRECIATION	0.00	0.00	0.00	0.00
5800	OTHER FINANCING USES	25,000.00	0.00	0.00	25,000.00
5900	RESERVES	3,000.00	0.00	0.00	3,000.00
Expenditure Total:		375,950.00	349,153.11	0.00	26,796.89
Key Total:		174.00	84,351.71	0.00	(84,177.71)
Key: 153210 - MMSA-MAMMOTH MT SKI AREA					
Revenue					

COUNTY OF INYO

Budget to Actuals with Encumbrances by Key/Income Grouping

Ledger: GL

As Of 3/16/2016

Object	Description	Budget	Actual	Encumbrance	Balance
4400	AID FROM OTHER GOVT AGENCIES	0.00	0.00	0.00	0.00
4600	CHARGES FOR CURRENT SERVICES	1,085,430.00	451,783.46	0.00	633,646.54
4900	OTHER REVENUE	0.00	0.00	0.00	0.00
Revenue Total:		1,085,430.00	451,783.46	0.00	633,646.54
Expenditure					
5000	SALARIES & BENEFITS	427,610.00	221,711.31	0.00	205,898.69
5100	SERVICES & SUPPLIES	516,800.00	238,067.22	21,600.00	257,132.78
5200	INTERNAL CHARGES	17,420.00	16,715.00	0.00	705.00
5600	FIXED ASSETS	0.00	0.00	0.00	0.00
5700	DEPRECIATION	0.00	0.00	0.00	0.00
5800	OTHER FINANCING USES	100,000.00	0.00	0.00	100,000.00
5900	RESERVES	20,000.00	0.00	0.00	20,000.00
Expenditure Total:		1,081,830.00	476,493.53	21,600.00	583,736.47
Key Total:		3,600.00	(24,710.07)	(21,600.00)	49,910.07

Key: 153299 - EASTERN SIERRA TRANSIT

Revenue

4060	TAXES - SALES	1,555,831.00	778,788.56	0.00	777,042.44
4350	REV USE OF MONEY & PROPERTY	2,600.00	5,180.14	0.00	(2,580.14)
4400	AID FROM OTHER GOVT AGENCIES	2,238,385.00	1,297,533.73	0.00	940,851.27
4600	CHARGES FOR CURRENT SERVICES	1,827,906.00	1,175,155.74	0.00	652,750.26
4800	OTHER FINANCING SOURCES	0.00	0.00	0.00	0.00
4900	OTHER REVENUE	5,000.00	13,488.14	0.00	(8,488.14)
Revenue Total:		5,629,722.00	3,270,146.31	0.00	2,359,575.69

Expenditure

5000	SALARIES & BENEFITS	2,487,600.00	1,536,008.20	0.00	951,591.80
5100	SERVICES & SUPPLIES	2,072,078.00	1,059,156.47	36,551.70	976,369.83
5200	INTERNAL CHARGES	90,890.00	90,353.00	0.00	537.00
5560	DEBT SERVICE INTEREST	0.00	0.00	0.00	0.00
5600	FIXED ASSETS	732,000.00	498,873.52	10,975.00	222,151.48
5700	DEPRECIATION	0.00	0.00	0.00	0.00
5800	OTHER FINANCING USES	186,300.00	0.00	0.00	186,300.00
5900	RESERVES	57,800.00	0.00	0.00	57,800.00
Expenditure Total:		5,626,668.00	3,184,391.19	47,526.70	2,394,750.11
Key Total:		3,054.00	85,755.12	(47,526.70)	(35,174.42)

Key: 153211 - ESTA ACCUMULATED CAPITAL OUT

Revenue

4350	REV USE OF MONEY & PROPERTY	0.00	818.20	0.00	(818.20)
4600	CHARGES FOR CURRENT SERVICES	0.00	0.00	0.00	0.00
4800	OTHER FINANCING SOURCES	0.00	0.00	0.00	0.00
Revenue Total:		0.00	818.20	0.00	(818.20)
Key Total:		0.00	818.20	0.00	(818.20)

Key: 153212 - ESTA GENERAL RESERVE

Revenue

4350	REV USE OF MONEY & PROPERTY	0.00	891.37	0.00	(891.37)
4800	OTHER FINANCING SOURCES	0.00	0.00	0.00	0.00
Revenue Total:		0.00	891.37	0.00	(891.37)
Key Total:		0.00	891.37	0.00	(891.37)

Key: 153213 - ESTA-BUDGET STABILIZATION RESER

Revenue

4350	REV USE OF MONEY & PROPERTY	0.00	356.25	0.00	(356.25)
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COUNTY OF INYO

Budget to Actuals with Encumbrances by Key/Income Grouping

Ledger: GL

As Of 3/16/2016

<u>Object</u>	<u>Description</u>	<u>Budget</u>	<u>Actual</u>	<u>Encumbrance</u>	<u>Balance</u>
4800	OTHER FINANCING SOURCES	0.00	0.00	0.00	0.00
	Revenue Total:	<u>0.00</u>	<u>356.25</u>	<u>0.00</u>	<u>(356.25)</u>
	Key Total:	<u>0.00</u>	<u>356.25</u>	<u>0.00</u>	<u>(356.25)</u>
Key: 612502 - SRTP TRANSPORT PLAN					
Revenue					
4400	AID FROM OTHER GOVT AGENCIES	94,620.00	45,101.40	0.00	49,518.60
	Revenue Total:	<u>94,620.00</u>	<u>45,101.40</u>	<u>0.00</u>	<u>49,518.60</u>
Expenditure					
5100	SERVICES & SUPPLIES	94,620.00	69,073.20	8,051.68	17,495.12
	Expenditure Total:	<u>94,620.00</u>	<u>69,073.20</u>	<u>8,051.68</u>	<u>17,495.12</u>
	Key Total:	<u>0.00</u>	<u>(23,971.80)</u>	<u>(8,051.68)</u>	<u>32,023.48</u>
Key: 612490 - ACIS-AUTOMATED CUSTOMER IS					
Expenditure					
5000	SALARIES & BENEFITS	0.00	0.00	0.00	0.00
	Expenditure Total:	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>
	Key Total:	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>
Key: 612491 - NIGHT RIDER					
Revenue					
4600	CHARGES FOR CURRENT SERVICES	0.00	0.00	0.00	0.00
	Revenue Total:	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>
Expenditure					
5000	SALARIES & BENEFITS	0.00	0.00	0.00	0.00
	Expenditure Total:	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>
	Key Total:	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>	<u>0.00</u>
Key: 612493 - JARC-LONE PINE/BISHOP					
Revenue					
4060	TAXES - SALES	65,263.00	32,400.00	0.00	32,863.00
4400	AID FROM OTHER GOVT AGENCIES	65,264.00	22,822.46	0.00	42,441.54
4600	CHARGES FOR CURRENT SERVICES	24,503.00	16,596.08	0.00	7,906.92
4900	OTHER REVENUE	0.00	553.95	0.00	(553.95)
	Revenue Total:	<u>155,030.00</u>	<u>72,372.49</u>	<u>0.00</u>	<u>82,657.51</u>
Expenditure					
5000	SALARIES & BENEFITS	80,780.00	47,083.80	0.00	33,696.20
5100	SERVICES & SUPPLIES	71,540.00	17,429.89	0.00	54,110.11
5200	INTERNAL CHARGES	2,710.00	2,711.00	0.00	(1.00)
	Expenditure Total:	<u>155,030.00</u>	<u>67,224.69</u>	<u>0.00</u>	<u>87,805.31</u>
	Key Total:	<u>0.00</u>	<u>5,147.80</u>	<u>0.00</u>	<u>(5,147.80)</u>
Key: 612494 - JARC-MAMMOTH EXPRESS					
Revenue					
4060	TAXES - SALES	42,974.00	23,400.00	0.00	19,574.00
4400	AID FROM OTHER GOVT AGENCIES	76,975.00	24,954.68	0.00	52,020.32
4600	CHARGES FOR CURRENT SERVICES	28,101.00	13,416.62	0.00	14,684.38
	Revenue Total:	<u>148,050.00</u>	<u>61,771.30</u>	<u>0.00</u>	<u>86,278.70</u>
Expenditure					
5000	SALARIES & BENEFITS	73,410.00	35,822.78	0.00	37,587.22
5100	SERVICES & SUPPLIES	71,930.00	15,846.10	0.00	56,083.90
5200	INTERNAL CHARGES	2,710.00	1,988.00	0.00	722.00
	Expenditure Total:	<u>148,050.00</u>	<u>53,656.88</u>	<u>0.00</u>	<u>94,393.12</u>
	Key Total:	<u>0.00</u>	<u>8,114.42</u>	<u>0.00</u>	<u>(8,114.42)</u>

COUNTY OF INYO

Budget to Actuals with Encumbrances by Key/Income Grouping

Ledger: GL

As Of 3/16/2016

Object	Description	Budget	Actual	Encumbrance	Balance
Key: 612496 - MONO COUNTY BUS SHELTERS					
Revenue					
4400	AID FROM OTHER GOVT AGENCIES	0.00	0.00	0.00	0.00
Revenue Total:		0.00	0.00	0.00	0.00
Expenditure					
5000	SALARIES & BENEFITS	0.00	0.00	0.00	0.00
5100	SERVICES & SUPPLIES	0.00	0.00	0.00	0.00
Expenditure Total:		0.00	0.00	0.00	0.00
Key Total:		0.00	0.00	0.00	0.00
Key: 612497 - GOOGLE TRANSIT PHASE 2					
Revenue					
4400	AID FROM OTHER GOVT AGENCIES	12,500.00	360.87	0.00	12,139.13
4600	CHARGES FOR CURRENT SERVICES	0.00	0.00	0.00	0.00
Revenue Total:		12,500.00	360.87	0.00	12,139.13
Expenditure					
5000	SALARIES & BENEFITS	1,570.00	736.11	0.00	833.89
5100	SERVICES & SUPPLIES	10,930.00	12,700.00	6,900.00	(8,670.00)
Expenditure Total:		12,500.00	13,436.11	6,900.00	(7,836.11)
Key Total:		0.00	(13,075.24)	(6,900.00)	19,975.24
Key: 612498 - CAPP-CLEAN AIR PROJECT PROGRAM					
Revenue					
4400	AID FROM OTHER GOVT AGENCIES	0.00	0.00	0.00	0.00
Revenue Total:		0.00	0.00	0.00	0.00
Expenditure					
5000	SALARIES & BENEFITS	0.00	0.00	0.00	0.00
5100	SERVICES & SUPPLIES	0.00	0.00	0.00	0.00
Expenditure Total:		0.00	0.00	0.00	0.00
Key Total:		0.00	0.00	0.00	0.00
Key: 612499 - MOBILITY MANAGEMENT 14					
Revenue					
4400	AID FROM OTHER GOVT AGENCIES	0.00	0.00	0.00	0.00
Revenue Total:		0.00	0.00	0.00	0.00
Expenditure					
5100	SERVICES & SUPPLIES	0.00	0.00	0.00	0.00
Expenditure Total:		0.00	0.00	0.00	0.00
Key Total:		0.00	0.00	0.00	0.00
Key: 612489 - NON-EMERGENCY TRAN REIM					
Revenue					
4400	AID FROM OTHER GOVT AGENCIES	25,850.00	10,179.58	0.00	15,670.42
Revenue Total:		25,850.00	10,179.58	0.00	15,670.42
Expenditure					
5000	SALARIES & BENEFITS	4,210.00	2,568.89	0.00	1,641.11
5100	SERVICES & SUPPLIES	21,640.00	11,318.12	0.00	10,321.88
Expenditure Total:		25,850.00	13,887.01	0.00	11,962.99
Key Total:		0.00	(3,707.43)	0.00	3,707.43
Key: 612503 - BISHOP YARD-ESTA					
Revenue					
4060	TAXES - SALES	50,000.00	0.00	0.00	50,000.00
4350	REV USE OF MONEY & PROPERTY	0.00	(75.32)	0.00	75.32
4400	AID FROM OTHER GOVT AGENCIES	460,000.00	472,447.40	0.00	(12,447.40)

COUNTY OF INYO

Budget to Actuals with Encumbrances by Key/Income Grouping

Ledger: GL

As Of 3/16/2016

Object	Description	Budget	Actual	Encumbrance	Balance
4900	OTHER REVENUE	0.00	0.00	0.00	0.00
Revenue Total:		510,000.00	472,372.08	0.00	37,627.92
Expenditure					
5100	SERVICES & SUPPLIES	0.00	0.00	0.00	0.00
5600	FIXED ASSETS	510,000.00	493,447.64	10,975.00	5,577.36
Expenditure Total:		510,000.00	493,447.64	10,975.00	5,577.36
Key Total:		0.00	(21,075.56)	(10,975.00)	32,050.56

**COUNTY OF INYO
UNDESIGNATED FUND BALANCES**

AS OF 06/30/2016

	Claim on Cash 1000	Accounts Receivable 1100,1105,1160	Loans Receivable 1140	Prepaid Expenses 1200	Accounts Payable 2000	Loans Payable 2140	Deferred Revenue 2200	Computed Fund Balance	Encumbrances	Fund Balance Undesignated
ESTA - EASTERN SIERRA TRANSIT AUTHORI										
1532 EASTERN SIERRA TRANSIT	1,608,006	145,466	391,724		15,751			2,129,445	21,600	2,107,845
1533 ESTA ACCUMULATED	459,535							459,535		459,535
1534 ESTA GENERAL RESERVE	500,963							500,963		500,963
1535 ESTA BUDGET STAB	200,385							200,385		200,385
6809 SRTP TRANSPORT PLAN	23,533	17,495				65,000		(23,972)	8,052	(32,024)
6810 ACIS-AUTOMATED CUST IS	150					150				
6813 JARC-LONE PINE/BISHOP	49,045				379	57,000		(8,334)		(8,334)
6814 JARC-MAMMOTH EXPRESS	49,003				125	37,000		11,878		11,878
6817 GOOGLE TRANSIT PHASE 2	2,195					16,000		(13,805)	6,900	(20,705)
6818 CAPP-CLEAN AIR PROJECT	2,923							2,923		2,923
6819 MOBILITY MANAGEMENT 14	2,227							2,227		2,227
6820 NON-EMERGENCY TRAN REIM	10,704				546	14,000		(3,842)		(3,842)
6821 BISHOP YARD-ESTA	201,880					202,574		(694)	10,975	(11,669)
ESTA Totals	3,110,549	162,961	391,724		16,801	391,724		3,256,709	47,527	3,209,182
Grand Totals	3,110,549	162,961	391,724		16,801	391,724		3,256,709	47,527	3,209,182

MONTHLY REPORT

FEBRUARY 2016

	Feb-16	Jan-16	Percent Change	Feb-15	Percent Change
PASSENGERS					
Adult	117,850	151,053	-22.0%	90,515	30.2%
Senior	1,488	1,448	2.8%	1,417	5.0%
Disabled	1,147	1,054	8.8%	1,028	11.6%
Wheelchair	379	352	7.7%	329	15.2%
Child	14,371	16,703	-14.0%	12,604	14.0%
Child under 5	290	237	22.4%	254	14.2%
Total Passengers	135,525	170,847	-20.7%	106,147	27.7%
FARES	\$33,066.65	\$34,009.50	-2.8%	\$30,946.45	6.9%
SERVICE MILES	79,756	81,816	-2.5%	72,582	9.9%
SERVICE HOURS	5,186	5,557	-6.7%	4,525	14.6%
PASSENGERS PER HOUR	26.13	30.74	-15.0%	23.46	11.4%

RIDERSHIP COMPARISON

REPORT MONTH - THIS YEAR/LAST YEAR					FISCAL YEAR TO DATE		
Route	Feb-16	Feb-15	Variance	% Change	FY 15/16	FY 14/15	% Change
Mammoth Express	327	196	131	66.8%	2,589	2,063	25.5%
Lone Pine to Bishop	262	348	-86	-24.7%	2,624	3,002	-12.6%
Lone Pine DAR	232	270	-38	-14.1%	2,022	2,413	-16.2%
Tecopa	10	15	-5	-33.3%	100	114	-12.3%
Walker DAR	195	152	43	28.3%	1,602	1,173	36.6%
Bridgeport to G'Ville	44	46	-2	-4.3%	324	334	-3.0%
Benton to Bishop	24	78	-54	-69.2%	233	731	-68.1%
Bishop DAR	3,457	3,234	223	6.9%	27,419	25,831	6.1%
Nite Rider	310	362	-52	-14.4%	2,742	2,725	0.6%
Mammoth FR	29,241	26,899	2,342	8.7%	289,922	265,019	9.4%
Mammoth DAR	286	178	108	60.7%	2,013	1,740	15.7%
Reno	379	354	25	7.1%	4,167	3,542	17.6%
Lancaster	333	257	76	29.6%	3,120	3,381	-7.7%
MMSA	99,171	73,036	26,135	35.8%	361,711	260,756	38.7%
June Lake Shuttle	498	669	-171	-25.6%	1,943	2,396	-18.9%
TOTALS	135,525	106,147	29,378	27.7%	844,423	704,823	19.8%

PASSENGERS PER SERVICE HOUR

REPORT MONTH - THIS YEAR/LAST YEAR				FISCAL YEAR TO DATE		
Route	Feb-16	Feb-15	% Change	FY 15/16	FY 14/15	% Change
Mammoth Express	3.19	3.45	-7.7%	2.71	3.59	-24.7%
Lone Pine to Bishop	2.46	3.38	-27.1%	2.94	3.35	-12.3%
Lone Pine DAR	1.66	2.03	-18.4%	1.76	2.10	-16.4%
Tecopa	0.91	1.36	-33.3%	1.14	1.35	-15.9%
Walker DAR	1.63	1.34	21.3%	1.61	1.18	35.7%
Bridgeport to G'Ville	1.61	1.68	-4.3%	1.52	1.57	-2.8%
Benton to Bishop	2.14	5.06	-57.7%	2.20	4.79	-54.0%
Bishop DAR	4.15	4.22	-1.8%	4.01	3.93	2.0%
Nite Rider	5.17	5.98	-13.7%	5.09	5.03	1.1%
Mammoth FR	28.25	25.85	9.3%	25.81	24.18	6.7%
Mammoth DAR	1.51	1.12	35.6%	1.35	1.22	10.3%
Reno	1.76	1.74	1.2%	2.35	2.07	13.6%
Lancaster	2.68	2.17	23.5%	2.93	3.09	-5.2%
MMSA	47.88	44.93	6.6%	51.14	44.00	16.2%
June Lake Shuttle	4.43	8.24	-46.2%	6.22	9.71	-35.9%
Total	26.13	23.46	11.4%	21.86	19.50	12.1%

Route	Fares	Adults	Snr	Dis	W/C	Child	Free	Total Pax	Yd Hrs	Svc Hours	Yd Mi	SVC MILES	AVG FARE	REV/ SVC MILE	PAX / SVC HR	MI / SVC HR	PAX / SVC MI
Feb-16																	
Mammoth Express	\$1,873.00	241	32	11	3	30	10	327	131	103	4,561	4,407	5.73	.43	3.19	44.5	0.07
Lone Pine to Bishop	\$1,236.00	154	50	41	10	4	3	262	126	106	4,775	4,592	4.72	.27	2.46	44.9	0.06
Lone Pine DAR	\$582.20	26	92	45	15	48	6	232	147	140	1,233	1,233	2.51	.47	1.66	8.8	0.19
Tecopa	\$48.00	0	10	0	0	0	0	10	11	11	183	183	4.80	.26	.91	16.6	0.05
Walker DAR	\$540.30	0	21	169	0	5	0	195	128	120	792	659	2.77	.82	1.63	6.6	0.30
Bridgeport to G'Ville	\$333.00	10	34	0	0	0	0	44	32	27	876	599	7.57	.56	1.61	32.0	0.07
Benton to Bishop	\$122.00	9	4	9	0	0	2	24	25	11	1,095	543	5.08	.22	2.14	97.8	0.04
Specials	\$0.00	687	0	43	0	26	0	756	46	27	335	269	.00	.00	28.00	12.4	2.81
Bishop DAR	\$7,485.10	994	1,089	679	328	147	220	3,457	889	833	9,616	8,739	2.17	.86	4.15	11.5	0.40
Nite Rider	\$1,207.20	218	13	39	21	1	18	310	62	60	874	828	3.89	1.46	5.17	14.6	0.37
Mammoth FR	\$0.00	25,487	0	5	0	3,749	0	29,241	1,073	1,035	14,886	14,362	N/A	N/A	28.25	14.4	2.04
Mammoth DAR	\$760.60	170	55	25	0	12	24	286	193	189	1,031	947	2.66	.80	1.51	5.5	0.30
Reno	\$7,183.75	269	52	42	2	12	2	379	239	215	9,191	8,843	18.95	.81	1.76	42.7	0.04
Lancaster	\$4,309.50	248	36	34	0	10	5	333	139	124	6,058	5,983	12.94	.72	2.68	48.7	0.06
MMSA	\$0.00	88,848	0	5	0	10,318	0	99,171	2,189	2,071	26,111	24,683	N/A	N/A	47.88	12.6	4.02
June Lake Shuttle	\$7,386.00	489	0	0	0	9	0	498	132	112	3,213	2,886	14.83	2.56	4.43	28.6	0.17
Total	\$33,066.65	117,850	1,488	1,147	379	14,371	290	135,525	5,560	5,186	84,830	79,756	.24	.41	26.13	16.4	1.70
Feb-15																	
Mammoth Express	\$1,105.00	151	10	13	1	15	6	196	81	57	2,618	2,531	5.64	.44	3.45	46.1	0.08
Lone Pine to Bishop	\$1,746.25	239	35	53	0	11	10	348	121	103	4,573	4,435	5.02	.39	3.38	44.4	0.08
Lone Pine DAR	\$652.00	26	86	65	19	74	0	270	139	133	1,203	1,188	2.41	.55	2.03	9.0	0.23
Tecopa	\$73.50	0	15	0	0	0	0	15	11	11	188	188	4.90	.39	1.36	17.1	0.08
Walker DAR	\$421.20	0	2	149	0	1	0	152	120	113	814	688	2.77	.61	1.34	7.2	0.22
Bridgeport to G'Ville	\$340.20	10	36	0	0	0	0	46	32	27	874	635	7.40	.54	1.68	32.0	0.07
Benton to Bishop	\$425.50	48	7	13	0	5	5	78	30	15	1,271	644	5.46	.66	5.06	82.5	0.12
Specials	\$0.00	31	0	22	0	0	0	53	13	10	136	82	.00	.00	5.30	13.6	0.65
Bishop DAR	\$7,260.80	933	1,123	551	285	134	208	3,234	820	766	9,532	8,812	2.25	.82	4.22	12.5	0.37
Nite Rider	\$1,447.80	283	21	32	19	0	7	362	62	61	1,013	1,013	4.00	1.43	5.98	16.7	0.36
Mammoth FR	\$0.00	22,670	0	13	0	4,216	0	26,899	1,077	1,041	15,082	14,568	N/A	N/A	25.85	14.5	1.85
Mammoth DAR	\$458.70	86	3	64	0	11	14	178	163	160	692	623	2.58	.74	1.12	4.3	0.29
Reno	\$6,941.75	251	40	31	1	29	2	354	226	204	8,589	8,263	19.61	.84	1.74	42.2	0.04
Lancaster	\$3,718.75	184	39	21	4	7	2	257	136	119	5,580	5,487	14.47	.68	2.17	47.0	0.05
MMSA	\$0.00	64,934	0	1	0	8,101	0	73,036	1,695	1,626	21,998	20,927	N/A	N/A	44.93	13.5	3.49
June Lake Shuttle	\$6,355.00	669	0	0	0	0	0	669	98	81	2,754	2,498	9.50	2.54	8.24	33.9	0.27
Total	\$30,946.45	90,515	1,417	1,028	329	12,604	254	106,147	4,823	4,525	76,917	72,582	.29	.43	23.46	17.0	1.46

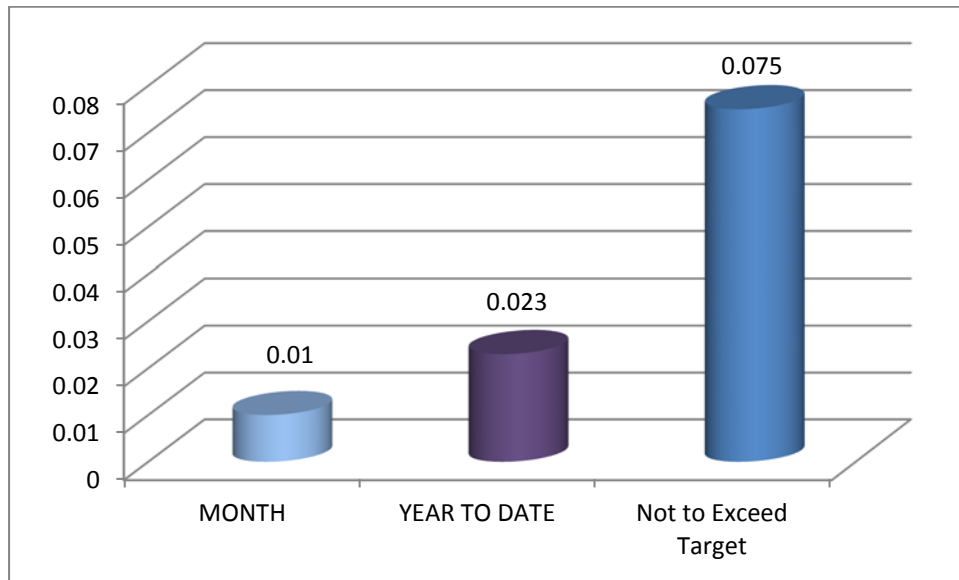
VARIANCE BY ROUTE (RAW NUMBERS) – February 2016 to February 2015																	
ROUTES	FARES	ADULTS	SNR	DIS	W/C	CHILD	FREE	TOTAL PAX	YD HOURS	SVC HOURS	YD MILES	SVC MILES	AVG FARE	REV/SVC MILE	PAX / SVC HR	MI / SVC HR	PAX / SVC MI
Mammoth Express	\$768.00	90	22	-2	2	15	4	131	51	46	1943	1876	0.09	-0.01	-0.27	-1.68	0.00
Lone Pine to Bishop	-\$510.25	-85	15	-12	10	-7	-7	-86	5	3	202	157	-0.30	-0.12	-0.91	0.50	-0.02
Lone Pine DAR	-\$69.80	0	6	-20	-4	-26	6	-38	7	7	30	45	0.09	-0.08	-0.37	-0.24	-0.04
Tecopa	-\$25.50	0	-5	0	0	0	0	-5	0	0	-5	-5	-0.10	-0.13	-0.45	-0.45	-0.03
Walker DAR	\$119.10	0	19	20	0	4	0	43	8	7	-22	-29	0.00	0.21	0.28	-0.58	0.07
Bridgeport to G'Ville	-\$7.20	0	-2	0	0	0	0	-2	0	0	2	-36	0.17	0.02	-0.07	0.07	0.00
Benton to Bishop	-\$303.50	-39	-3	-4	0	-5	-3	-54	-5	-4	-176	-101	-0.37	-0.44	-2.92	15.24	-0.08
Bishop DAR	\$224.30	61	-34	128	43	13	12	223	69	67	84	-73	-0.08	0.03	-0.07	-0.91	0.03
Nite Rider	-\$240.60	-65	-8	7	2	1	11	-52	0	-1	-139	-185	-0.11	0.03	-0.82	-2.18	0.02
Mammoth FR	\$0.00	2817	0	-8	0	-467	0	2342	-3	-6	-196	-206	N/A	N/A	2.40	-0.11	0.19
Mammoth DAR	\$301.90	84	52	-39	0	1	10	108	30	29	339	324	0.08	0.07	0.40	1.12	0.02
Reno	\$242.00	18	12	11	1	-17	0	25	13	12	602	580	-0.65	-0.03	0.02	0.50	0.00
Lancaster	\$590.75	64	-3	13	-4	3	3	76	3	6	478	496	-1.53	0.04	0.51	1.62	0.01
MMSA	\$0.00	23,914	0	4	0	2,217	0	26,135	494	446	4,113	3,756	N/A	N/A	2.95	-0.93	0.53
June Lake Shuttle	\$1,031.00	-180	0	0	0	9	0	-171	34	31	459	388	5.33	0.02	-3.81	-5.34	-0.10
VARIANCE BY ROUTE (PERCENTAGE) – February 2016 to February 2015																	
Route	Fares	Adults	Snr	Dis	W/C	Child	Free	Total Pax	Yd Hrs	Total Svc Hours	Yd Mi	TOT SVC MILES	AVG FARE	REV/SVC MILE	PAX / SVC HR	MI / SVC HR	PAX / SVC MI
Mammoth Express	70%	60%	220%	-15%	200%	100%	67%	67%	63%	81%	74%	74%	2%	-3%	-8%	-4%	-4%
Lone Pine to Bishop	-29%	-36%	43%	-23%		-64%	-70%	-25%	4%	3%	4%	4%	-6%	-32%	-27%	1%	-27%
Lone Pine DAR	-11%	0%	7%	-31%	-21%	-35%		-14%	5%	5%	2%	4%	4%	-14%	-18%	-3%	-17%
Tecopa	-34.7%		33.3%					-33.3%	0.0%	0.0%	-2.7%	-2.7%	-2.0%	-32.9%	-33.3%	-2.7%	31.5%
Walker DAR	28%		950%	13%		400%		28%	7%	6%	-3%	-4%	0%	34%	21%	-8%	34%
Bridgeport to G'Ville	-2%	0%	-6%					-4%	0%	0%	0%	-6%	2%	4%	-4%	0%	1%
Benton to Bishop	-71%	-81%	-43%	-31%		-100%	-60%	-69%	-17%	-27%	-14%	-16%	-7%	-66%	-58%	18%	-64%
Bishop DAR	3.1%	6.5%	-3.0%	23.2%	15.1%	9.7%	5.8%	6.9%	8.4%	8.8%	0.9%	-0.8%	-3.6%	4.0%	-1.8%	-7.3%	7.8%
Nite Rider	-17%	-23%	-38%	22%	11%		157%	-14%	0%	-1%	-14%	-18%	-3%	2%	-14%	-13%	5%
Mammoth FR		12%		-62%		-11%		9%	0%	-1%	-1%	-1%	N/A	N/A	9%	-1%	10%
Mammoth DAR	66%	98%	1733%	-61%		9%	71%	61%	18%	18%	49%	52%	3%	9%	36%	26%	6%
Reno	3%	7%	30%	35%	100%	-59%	0%	7%	6%	6%	7%	7%	-3%	-3%	1%	1%	0%
Lancaster	16%	35%	-8%	62%	100%	43%	150%	30%	2%	5%	9%	9%	-11%	6%	23%	3%	19%
MMSA		37%		400%		27%		36%	29%	27%	19%	18%	N/A	N/A	7%	-7%	15%
June Lake Shuttle	16%	-27%						-26%	35%	38%	17%	16%	56%	1%	-46%	-16%	-36%

Comments

There was one comment received during the month of February 2016.

- February 5th – Passenger wrote to complain that Blue Line driver was not helpful or courteous in providing information and directions. Driver was counseled.

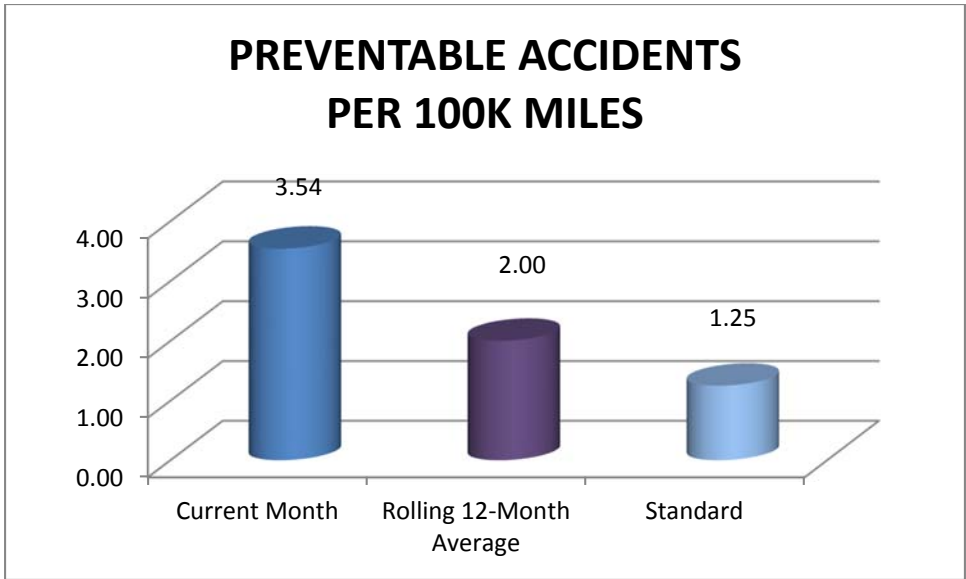
COMPLAINTS PER 1,000 PASSENGERS



Accident/Incidents

There were three preventable accidents in February 2016.

- February 1st - Maneuvering bus to jump start other bus and backed in to compressed air hose reel in the garage, damaging the back engine cover.
- February 1st - Pulling bus into bay to park for the night and caught outside mirror on hose reel.
- February 19th - Pulling away from fuel island the driver caught rear bumper on bollard.



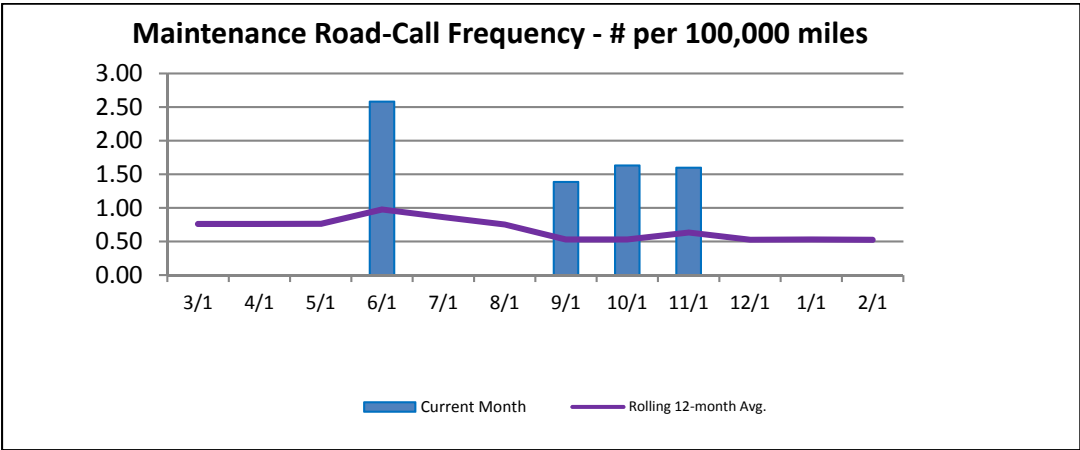
Missed Runs

There was one missed run in February 2016.

- February 18th – Missed 3:30pm Purple Line run due to bus exchange

Road Call Frequency

There were no Road Calls during the month of February 2016. The rolling 12-month road call frequency is 0.53 per 100,000 miles traveled.



Bishop Area Dial-A-Ride Wait Times

Wait times for the Bishop Area Dial-A-Ride (Mon. through Fri., 7:00 a.m. – 6:00 p.m.)

FEBRUARY 2016

		Percent	Goal
IMMEDIATE RESPONSE TRIPS			
Total Trips:	1,660	66% of trips	
Average Wait Time (min.):	15		< 20 minutes
# > 30 minute wait:	150	9.0%	< 5%
ADVANCE RESERVATION TRIPS			
Total Trips:	856	34% of trips	
On Time Trips (± 10 min.)	607	71%	
TOTAL SCHEDULED TRIPS			
No-Shows	215 / 120	7.7% / 4.3%	Incl / Excl Ckpts
Cancellations	63	2.3%	

