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PROCEEDURE

**FY 85  
Section 18,  
Section 16(b)(2),  
and  
State Transit  
Assistance  
Consolidated  
Grant Application**



Iowa Department  
of Transportation

*March, 1984*

## FY 85 TRANSIT GRANT APPLICATIONS

### Introduction

The materials contained in this booklet apply to grant applications for financial assistance to Iowa public transit systems for FY 85. Forms, samples and directions apply only to State Transit Assistance (STA), Section 18 and Section 16(b)(2) programs.

One completed grant application with original signatures for any or all of the programs covered in this booklet must be submitted to your Iowa DOT Public Transit Division District Representative, 5268 NW 2nd Avenue, Des Moines, Iowa 50313 no later than May 1, 1984. Blank forms will be furnished to your office. If additional forms are needed contact your Public Transit Division District Representative. Note that the public hearing requirements necessitate prescribed advance public notices which should be published as soon as possible, if not already accomplished (see pages 2-4).

It should also be noted that the development of fundable projects under the STA program for all transit systems is based on the completion of a transit development plan by the regions or planning documentation by large urban systems. Such a plan (referred to as a TDP in this document) must be submitted to the Iowa DOT Planning and Research Division in accordance with published guidelines before STA grant applications will be reviewed.

### Grant Application Procedures Format

Since the three transit funding programs covered in this procedures booklet have several common requirements, one form or document may fulfill the requirements of one, two, or all three programs. This booklet attempts to facilitate the completion of these forms and documents without requiring

- Proposed Program of Projects, Form C-1 (sample shown on page 6) requires the listing of specific transit system activities/projects for FY'85 (refer to page iv). This listing should contain the entire operating and capital budget for the new fiscal year.

We recommend that the first listing (project 1) be "General Operation/Maintenance/Administration," as shown in the sample (page 6). Funds, rides, and miles other than specific project related data should be listed on that line. You may also refer to program-of-project pages for your system from previous years.

- Transit Services Provided, Forms C-2 and C-3 (pages 7 and 8) require notification of private providers and social services agencies of the planning and application processes and union local membership required for Section 13(c) assurance to the US Department of Labor. Note: Greyhound (Union Code "A", Local #1126), Trailways (Union Code "A", Local #1133), Jefferson (Union Code "A", Local #1319), Kincaid (Union Code "C", Local #833).
- Regional Intergovernmental Review (page 9). Document must be submitted similar to sample provided. (Formerly known as A-95 review.)

D-Series:

- Resolution, Form D-1 (page 11), Complete as shown.
- Legal Opinion, Form D-2 (page 12).
- Advance Funding Request and Certification (page 13, if applicable). Note that cash flow analysis must be included if advanced funding exceeds 25% for any quarter.

E-Series (Section 18 and 16(b)(2) applicants only):

- Private Providers Participation, Form E-1, page 16.
- DBE Projection Worksheet, Form E-2, pages 17-18 .

F-Series (Section 16(b)(2) applicants only):

- Standard Assurances, Form F-1, pages 20-22.
- Sign-off, Form F-2, page 23.

- 1) Be sure to send a sign-off form to each private and paratransit provider in your service area (refer to Forms E-1, and C-3).  
You may wish to send the sign-off form by return receipt mail so that you have proof of receipt by the private and paratransit providers.
- 2) Submit a list of the providers contacted and resultant responses, both positive and negative, with the application.

- Replacement Vehicles

- 1) Submit a copy of your current UDMS "Revenue Vehicle Inventory Schedule" (1 408)
- 2) Place an "X" in the left margin next to the vehicles to be replaced with new Section 16(b)(2) equipment (as applicable).
- 3) Note the original funding source of the vehicle to be replaced.
- 4) Identify which vehicles, new and replaced, are equipped with radios and wheelchair lifts.

# C SERIES

## PUBLIC HEARING

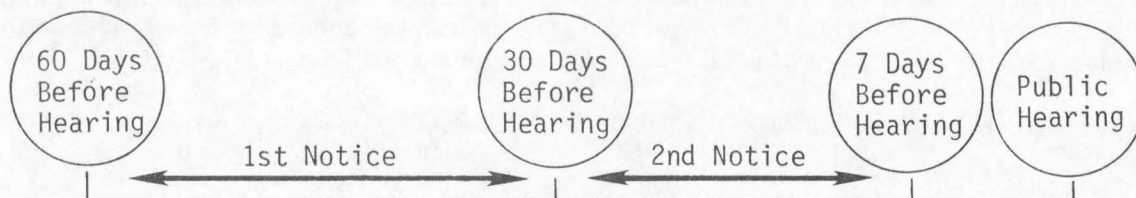
Requirements for Section 18, satisfy Section 16(b)(2) and STA (taken from Appendix "L" of Contract Binder)

### "RESPONSIBILITIES

b.(2) For each project selected pursuant to paragraph 6d(1) of this directive and prior to the obligation of any funds, publish a public notice which shall include the name of the applicant, the area to be served by the proposed undertaking, an adequate description of the proposal, and the time, date, and place of a public hearing which shall be held within 60 days after publication of the notice within the proposed service area. The public notice shall be published at least two times, one of which shall be at least 30 days prior to the hearing, in a newspaper having general circulation in the vicinity of the proposed undertaking. The hearing shall be held at a place and time generally convenient for persons affected by the proposed undertaking. Provision shall be made at the hearing for submission of written statements, exhibits, and oral statements. A verbatim written transcript of the oral proceedings at the hearing shall be made and such transcript together with copies of exhibits, copies of the published notice, and written statements, shall be [made] and sent to the Department of Transportation..."

Suggestion: Since a public hearing is required for all three programs (i.e. STA, 18, 16(b)(2)), we suggest that you try to combine all necessary hearings into one. Be sure that the notice, hearing opening and appropriate materials reference individual programs, projects and amounts. Build in an extra "Margin Of Safety" in the dollar figures.

Suggested Timetable:



**SAMPLE**

COPY OF ADVERTISEMENT

PROOF OF PUBLICATION

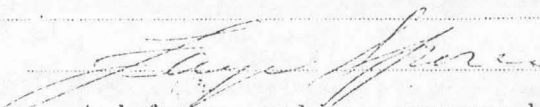
APR 21 1983

STATE OF IOWA }  
WAPELLO COUNTY } ss. I. Faye Sporer

being duly sworn, on my oath, say that I am the Adm. Asst.  
of the Ottumwa Courier, a newspaper printed in said Wapello County,  
Iowa, and of general circulation therein, and that the advertisement

**Notice**

hereto attached was published  
in said newspaper Two consecutive weeks, to-wit:  
April 4th & 18th, 1983



Subscribed and sworn to before me, and in my presence, by the said  
Faye Sporer this 18th day of April 1983

*Edith Robson*  
Notary Public  
In and for Wapello County, Iowa

Printer's fee \$ \_\_\_\_\_  
Received of \_\_\_\_\_ \$ \_\_\_\_\_ in full of the  
printer's fee this \_\_\_\_\_ day of \_\_\_\_\_ 19\_\_\_\_

NOTICE OF PUBLIC HEARING  
Notice is hereby given that a public hearing will be held by the Southern Iowa Economic Development Association Area XV Regional Planning Commission-Integrated Transit System (S.I.E.D.A.-R.P.C.-I.T.S.) at the Sirlain Stockade, Highway 63 North, Ottumwa, Iowa at 10:30 a.m. on Wednesday, May 4, 1983 for the purpose of considering operating and capital financial assistance from the Urban Mass Transportation Administration, the Federal Highway Administration and the Iowa Department of Transportation for Iowa State Transit Assistance, Section 18, Section 3, Section 16(b)2 and Section 9A funding for fiscal year 1984.  
S.I.E.D.A.-R.P.C.-I.T.S. will pursue State Transit Operating from the Iowa Department of Transportation in the amount of \$63,890. This assistance will help to promote day to day operations for the system.  
S.I.E.D.A.-R.P.C.-I.T.S. will pursue further operational expenses from the UMTA in the amount of \$46,004 of Section 18 funding.  
The system will also pursue the replacement of six (6) transit vehicles from Section 16(b)2 funding. The total project would be \$186,000 with \$148,800 (80 per cent) from 16(b)2 funding, \$18,600 (10 per cent) from State DOT funding and \$18,600 (10 per cent) from local sources. Three vehicles would be lift equipped and would be minimum seventeen (17) passenger vehicles. Vehicles would be used to replace high mileage vehicles which are becoming maintenance problems.  
SIEDA-RPC-ITS will further pursue funds from Section 18 and/or Section 16(b)2 funds for the building of a transit maintenance facility. The system will work with the counties of Area XV to secure possible funding, for this project, through Section 3 and Section 9A funding. The facility would be used for heavy and light maintenance for the system. The cost of the project would be:  
Section 3, 18, 16(b)2 and/or 9A funding \$140,000 (80 per cent), Local 35,000 (20 per cent), Total \$175,000  
The projects will have no significant environmental impact on the area and no persons, families or businesses will be displaced by these projects. The projects are in conformance with the FY 84 Regional Transit Development Plan.  
The public is urged to attend this hearing. If you cannot attend, written comments can be sent to Transit Director, Box 658, Ottumwa, Iowa 52501 no later than 4:00 p.m. on May 3, 1983.

**SAMPLE**

C-1

SYSTEM: DES MOINES		TYPE OF WORK	STATE TRANSIT ASST					US DOT				LOCAL/USER			TOTAL
RIDERSHIP MILEAGE PROJECTS			FORMULA	SPEC PROJ	SEC 3	SEC 5	SEC 9A	SEC 16b2	SEC 18	FAREBOX	CONTRACTS	TAX SUP	OTHER		
5196400	2464000	GENERAL OPERATION/MAINTEN- ANCE/ADMINISTRATION	OP	173315			1413000			2530130		2170116	292019	6578580	
295200	576000	PARATRANSIT SERVICE	OP		10000					5000	566774		270632	852406	
		TRANSIT MALL STUDY	OP		16685									16685	
		PURCHASE 2 (18 PASS) BUSES, 2 LIFTS	CAP		6700		107200					20100		134000	
		PURCHASE 1 SUPERVISORY CAR	CAP				10400					2600		13000	
		PURCHASE 20 BUS AIR CONDI- TIONING RETRO-FIT KITS	CAP				82800					20700		103500	
		PURCHASE 90 BUS ROUTE SIGNS	CAP				230400					57600		288000	
		PURCHASE SPARE PARTS	CAP				54560					13640		68200	
<b>5482500</b>	<b>3040000</b>			173315	33385	0	1413000	485360	0	0	2535130	566774	2284756	562651 8054371	

Note: 1) Please identify which vehicles have lifts and radios and which do not.  
 2) The forms provided require a few additional items and a slightly different format.





# **D SERIES**

AUTHORIZING RESOLUTION

We, hereby, authorize \_\_\_\_\_

\_\_\_\_\_  
(Applicant's legal name) on \_\_\_\_\_ (date)

to apply for \$ \_\_\_\_\_ (total amount of  
funds) to be used for \_\_\_\_\_

(capital and/or operating) assistance under the state transit  
assistance program and enter into contract with the Iowa Department  
of Transportation.

Name: \_\_\_\_\_  
(Applicant's Governing Body)

By: \_\_\_\_\_

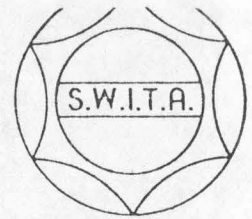
Title: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Telephone: \_\_\_\_\_/  
(Area)



SOUTHWEST IOWA PLANNING COUNCIL  
AND  
SOUTHWEST IOWA TRANSIT AGENCY



18 West 6th Street

Atlantic, Iowa 50022

(712) 243-4196

November 7, 1979

**SAMPLE**

Dee Arends, District Manager  
Iowa Department of Transportation  
5268 N.W. Second Avenue  
Des Moines, Iowa 50313

Dear Dee:

This letter is to serve as SWIPCO's application for advanced allocation under option #1 cited in 2.2(3) of the IDOT Administrative Rules for "Advanced Allocations of State Transit Assistance Funding".

SWIPCO/SWITA is presently experiencing severe cash flow problems. By the end of the last fiscal year (FY 79) SWITA's Accounts Payable exceeded over \$20,000.00. Many of these bills were incurred as early as April, and remained unpaid as late as September. Similar cash flow problems occurred at the end of the second quarter in FY 79. Since our cash flow has not changed significantly from last year, a similar situation will in all probabilty arise again this year without IDOT advanced funding.

Therefore, I would request that SWIPCO/SWITA be allowed IDOT advanced funding as quickly as possible so that the stifling cash flow situation of the past can be avoided in the future.

Sincerely,

Timothy O. Borich  
Transit Director

TOB/cf

I certify that I have read the administrative rules for advanced funding and will comply with them.

Robert Donels                      11/2/79

Robert Donels,  
Executive Director

Date

# **E SERIES**

**PRIVATE PROVIDER'S PARTICIPATION**

Name of private provider	Method of providing provider a fair and timely opportunity to participate in service delivery and the results*

\*Examples of methods are participation on Advisory Committee, written correspondence, telephone contacts, personal visits, contacts.



# F SERIES



## STANDARD ASSURANCES

## Program Requirements for Section 16(b)(2)

The Applicant Agency, \_\_\_\_\_, hereby assures and certifies to the Iowa Department of Transportation that with respect to any application which might be submitted for capital assistance from the Urban Mass Transportation Administration that:

1. It has legal authority to apply for and finance a grant.
2. It shall use Federal capital assistance to improve or continue mass transportation services.
3. It has sufficient non-Federal funds to provide required local matching funds.
4. It will apply Federal funds and local matching funds to eligible transit projects.
5. It will comply with all requirements of UMTA Circular 1155.1, UMTA Equal Employment Opportunity Policy and Requirements for Grants Recipients, including the pre-award review and annual update, when mandated.
6. It will comply with all requirements of Title VI, Civil Rights Act of 1964, with UMTA Circular 1160.1, Interim Guidelines for Title VI-Information Specific to UMTA Programs, and with 49 CFR Part 21, Nondiscrimination in Federally Assisted Programs of the Department of Transportation - Effectuation of Title VI of the Civil Rights Act of 1964.
7. Its programs will be conducted or its facilities operated in compliance with all requirements imposed by or pursuant to 49 CFR Part 27, Nondiscrimination on the Basis of Handicap in Federally Assisted Programs and Activities Receiving or Benefitting from Federal Financial Assistance (in satisfaction of the assurance requirement of 49 CFR Section 27.9(a)(3)); special efforts are being made in its service area to provide transportation that handicapped persons, including wheelchair and semi-ambulatory persons, can use (in satisfaction of the certification requirement of 49 CFR Section 27.77).
8. It will comply with all requirements of 49 CFR Part 23, Participation by Minority Business Enterprise in Department of Transportation Programs, and will assist the Iowa Department of Transportation in meeting its statewide DBE and WBE goals.
9. It will comply with all requirements of Section 19, Nondiscrimination, of the Act.
10. It will comply with the requirement included in OBM Circular A-102 and its attachments.

20. It has prepared and will maintain a detailed Project Budget and will incur obligations against and make disbursements of project funds only in conformity with the latest budget for the project.
21. It possesses the necessary fiscal and managerial capability to implement and manage its proposed project.
22. It has the required 20% non-Federal cash match for the project.
23. It is recognized under State law as a private nonprofit organization and has the legal capacity to contract with the State to carry out the proposed project.
24. It has or will have by the time of delivery sufficient funds to operate the vehicles and equipment to be purchased under this project.
25. The applicant organization (1) has afforded an adequate opportunity for public hearings pursuant to adequate prior notice, and has held such hearings unless no one with a significant economic, social, or environmental interest in the matter requests a hearing; and (2) has considered the economic and social effects of the project and its impact on the environment.

DATE: \_\_\_\_\_

BY: \_\_\_\_\_  
Signature of Authorized Officials

\_\_\_\_\_  
(Title of Authorized Official)

Attest

The Applicant Agency \_\_\_\_\_  
has the requisite authority under State and local law to comply with the above assurances, and the foregoing assurances have been legally and duly given and made.

DATE: \_\_\_\_\_

\_\_\_\_\_  
Attorney's Signature

# sed Program of Projects

ning t ect	Page Number	Only for Special STA Projects and for all STA Projects in designated systems
		Measurements of success and further explanation (if needed)

Local/User					Total
Farebox	Contracts	Tax Sup.	Other		
					Total Capital and Operating Budget for FY 85

