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Request for  
Annual  
Transportation Plans  
For  
Fiscal Year 2023



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# REQUEST FOR ANNUAL TRANSPORTATION PLANS FOR FISCAL YEAR 2023

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Application for State and Federal Funding under the

**PUBLIC TRANSPORTATION PROGRAMS (PTP)**

- Sections 5303/5304 Planning Assistance
- Large Urban Capital and Operating Assistance
- Section 5307 Capital and Operating Assistance
- Section 5311 Capital and Operating Assistance

and

**AMERICANS WITH DISABILITIES ACT (ADA) FUNDING PROGRAM**

and

**STATEWIDE SPECIAL TRANSPORTATION ASSISTANCE PROGRAM  
(SSTAP)**

Issued December 2020

Annual Transportation Plans for Sections 5307, 5311, Large Urban, and ADA; Sections 5339, 5311 and SSTAP Capital Assistance and Sections 5303/5304 Planning Assistance must be submitted by **Part I-February 4, 2022 and Part II-March 25, 2022.** If applications are not received by this deadline, the MDOT MTA may not be able to apply for Federal funds on your behalf. This will jeopardize approval of funds.

## MARYLAND DEPARTMENT OF TRANSPORTATION MARYLAND TRANSIT ADMINISTRATION (MDOT MTA)

***Due to funding issues resulting from the COVID-19 Pandemic, it is unclear as to whether the State will contribute to Fiscal Year 23 (FY23) grant awards. Therefore, when preparing your budgets for FY23, please increase the Local share to cover the State portion (e.g., If the Federal/State/Local was previously an 80/10/10 split, it will now be Federal/Local for 80/20). We recognize that these are difficult times financially and strongly suggest you take advantage of the CARES funds to help support any funding shortfall.***

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# GENERAL INFORMATION

# GENERAL INFORMATION

## I. INTRODUCTION

The Maryland Department of Transportation Maryland Transit Administration (MDOT MTA) administers funds for public transportation projects in small urbanized and rural areas, as well as for specialized transportation projects statewide. Many of the recipient jurisdictions and operators of these projects are the same. For this reason, the Annual Transportation Plan (ATP) package for Maryland's Public Transportation Programs (PTP), Americans with Disabilities Act (ADA) Program and Statewide Special Transportation Assistance Program (SSTAP) has been consolidated into one document. This will facilitate the submittal and review process and promote coordination between these closely related programs.

## II. AUTHORITY FOR THE PROGRAMS

Sections 5307 and 5311 of the Federal Transit Act (USC 49) authorize the US Secretary of Transportation to apportion funds to each state for public transportation projects in the small urban and rural areas. Sections 5303/5304 of this same legislation authorize the apportionment of funds to each state to conduct special transit-related studies. Statewide legislation enacted by the 1985 Maryland General Assembly, Section 2-103.3 of the Transportation Articles of the Maryland Annotated Code was amended to provide for a transportation program for the elderly and persons with disabilities of Maryland under the Statewide Specialized Transportation Assistance Program (SSTAP). The legislation calls for the program to be administered by the Secretary of the MDOT in consultation with the Maryland Department of Aging (MDOA) and the Maryland Department of Disabilities (MDOD) Office. State legislation provides ADA funds for systems that operate fixed routes to provide complementary paratransit service for qualified persons with disabilities. The administration and oversight of transit services resulting from the use of these funds is the responsibility of the MDOT MTA, more specifically, the Office of Local Transit Support (OLTS).

## III. PROGRAM GOALS

### Public Transportation Programs (PTP)

Maryland's PTP funding is embodied through both Federal and State authorized programs. Specifically, the PTP includes Section 5307, Section 5311, Section 5303, Section 5304, and Large Urban funding opportunities. The goals of the PTP are to:

- Enhance the access of people in small urban and rural areas by assisting in the maintenance, development, improvement and use of public transportation systems, and
- Encourage and facilitate the most efficient use of funds expended to provide passenger transportation in small urban and rural areas through the coordination of programs and services.



Public transportation is transportation that is open to the general public (not including charter, sightseeing, or exclusive school bus). Transportation service can be either publicly or privately owned; however, service must be provided on a regular and continuous basis.

### **Americans with Disabilities Act (ADA) Funding Program**

The State of Maryland provides funds that are annually apportioned to transit systems that operate fixed routes to provide complementary paratransit service to persons with disabilities as required under the Federal ADA. The primary goal of the ADA funding program is to provide general-purpose transportation for persons with disabilities who are unable to use traditional fixed-route public transit due to the nature of their disability. This service must meet specific federally established vehicle and operation requirements and provide an equivalent level of service as the fixed-route service it is intended to complement. More information about ADA paratransit requirements can be found in Section 12 of the *Locally Operated Transit System (LOTS) Program Manual* and through the Federal Transit Administration.

### **Statewide Special Transportation Assistance Program (SSTAP)**

The goals of the SSTAP are:

- To provide general-purpose transportation for both elderly persons and persons with disabilities.
- To encourage and facilitate the efficient use of funds expended to provide transportation to the elderly and persons with disabilities through the coordination of programs and services.

General-purpose transportation must serve all trip purposes; thus, it is transportation to any place a person needs to travel (i.e., grocery store, post office, employment, social center, friend's home, church). SSTAP service cannot be restricted to a particular program or activity, and trip purposes may not be prioritized. SSTAP service may be available to the general public; however, the intent of the program must be to serve the elderly and persons with disabilities. It must be assured that the transportation needs of this target population will be met. Since the program must serve both the elderly and persons with disabilities, an appropriate number of vehicles actively assigned to the program must be lift-equipped.

#### **IV. RELATIONSHIP BETWEEN SSTAP AND PTP AND WITH OTHER FEDERAL AND STATE PROGRAMS**

A common goal of both the PTP and SSTAP funds is to encourage and facilitate the efficient use of funds expended to provide passenger transportation through the coordination of programs and services. While the overall objectives of the PTP and SSTAP differ - that is, the former provides transportation to the general public in the urbanized and rural areas and the latter serves the elderly and persons with disabilities in both urbanized and rural areas - there are parallels which make it desirable and efficient to administer them in a coordinated manner.

The procedures for the use of both PTP and SSTAP funds allow as much flexibility as possible to facilitate coordination of transportation services. SSTAP funds must complement and supplement existing transportation services. Since many of the existing services are funded through Federal and State programs, a high degree of coordination is feasible. For example, the PTP and SSTAP funds may be used in a consolidated transportation program that is administered and operated from a central office or they may be used in a cooperative arrangement where portions of a transportation program are available for PTP and/or SSTAP funded trips.

SSTAP funds, however, cannot be used in place of funds that currently support elderly and disabled transportation services. Neither PTP nor SSTAP funds may be used as a match for capital acquisitions that are funded through other sources. In addition, State and/or Federal funds used as local match must comply with all regulations governing the use of those funds.

##### **The Relationship Between ADA Paratransit and SSTAP Services**

ADA paratransit is quite different from SSTAP in that ADA service parameters are highly prescribed by Federal regulation. ADA paratransit is required only for a narrow population of individuals who are unable to use fixed-route service because of their disability, while SSTAP serves any individual with a disability as well as elderly persons. ADA paratransit also requires a much higher level of service than is required by SSTAP, in terms of response time, days and hours of service, and capacity. While both services may be operated using the same vehicles and drivers, operating policies and customer information should clearly differentiate between the two programs.

#### **V. ELIGIBLE APPLICANTS**

##### **Public Transportation Programs (PTP)**

Eligible applicants for the PTP and Sections 5303/5304 funds include counties, municipalities, and public agencies, as well as non-profits, public corporations, boards, and commissions established under State law. The ATP of any municipality, public agency or public corporation, board, or commission established under State law, applying for PTP funds for the first time, must be submitted by the county in which the public entity is located. Eligible applicants for these funds will continue to be public entities as described above. Only one

application per county will be accepted. All ATPs for PTP funds must be submitted by the Chief Executive, County Commissioners, or an authorized official appointed by the Chief Executive or County Commissioners. PTP funded programs must provide transportation for the general public.

### **Americans with Disabilities Act (ADA) Funding Program**

Public transit systems that operate fixed routes are eligible to apply for State ADA funding, as these are the only systems required by law to provide complementary paratransit service to persons with disabilities. It is important to recognize that revisions to fixed-route service affect complementary paratransit requirements and may affect a local system's eligibility to receive State ADA funding.

### **Statewide Special Transportation Assistance Program (SSTAP)**

Each County and the City of Baltimore is eligible to apply for the SSTAP funds. Only one ATP from each County or the City of Baltimore will be accepted for SSTAP (as opposed to PTP funds, for which towns/cities can apply) and must be submitted by the Chief Executive, County Commissioners, or an authorized official appointed by the Chief Executive, County Executive, or County Commissioners. The counties must take into account the needs of the municipalities within their jurisdictions. [A Municipality Notification Certification and Area Agency on Aging Certifications are included in the Assurances for State Programs.] In the event that a municipality believes it has not been afforded a reasonable share of the funds available to the County, the municipality may appeal the County's decision to the MDOT MTA. SSTAP funded programs must provide general-purpose transportation for elderly persons and persons with disabilities.

### **Contractual Arrangements**

Each eligible applicant for either PTP or SSTAP funds may plan with one or more public or private transportation provider(s) to operate transportation services. All arrangements made by the applicant for the provision of transportation services using these grant programs must be in written form and must comply with appropriate state and federal program requirements.

## VI. ELIGIBLE EXPENSES AND MATCH LEVELS

Both the PTP and SSTAP provide funds for capital and/or operating expenses. ADA provides funds for operating assistance only.

### Operating Assistance

The financing of operating assistance for grant programs is as follows:

FEDERAL PROGRAM	Federal Share	State Share	Local Share
Section 5307 Section 5311	Up to 50% of the net operating deficit	Typically 25% of the net operating deficit	Typically 25% of the net operating deficit
STATE PROGRAM		State Share	Local Share
ADA		Up to 90%	10% minimum
Large Urban		Pending Annual Allocation	Typically 25%
SSTAP		Maximum 75% of the net operating deficit	Minimum 25% of the net operating deficit

### Capital Assistance

Capital assistance is available for financing capital equipment or facilities projects. Typical capital projects may include, but are not limited to:

- buses, maintenance, service, or paratransit vehicles (including ADA vehicles),
- radios or other communications equipment,
- bus stop signs, benches, or shelters,
- wheelchair lifts and related vehicle modifications,
- vehicle rehabilitation where candidate vehicles meet the extended useful life and rehabilitation cost limits established by the MDOT MTA,
- construction or rehabilitation of transit facilities including design, engineering, and land acquisition,
- operational support such as computer hardware and software to be used for the transportation program,
- spare parts, maintenance, and other miscellaneous equipment with a unit cost over \$1,000 and a useful life of more than one 1 year, and/or,
- vehicle preventive maintenance programs.

The financing of capital assistance for grant programs is:

Federal/State Program	Federal Share	Typical State Share	Minimum Local Share
Section 5307	80%	10%	10%
Section 5311	80%	10%	10%
Large Urban		90%	10%
SSTAP		95%	5%

### **Transportation Development Plan (TDP) and Technical Assistance Funds**

Federal Sections 5303/5304 and State funds are available for public transportation technical studies that provide the necessary planning support in the development and maintenance of public transit projects, including TDPs. These funds may also be used for projects that support the development and administration of activities to promote the coordination of local transportation services. Technical assistance funds are available to jurisdictions currently operating or anticipating initiating public transportation service.

The financing of technical assistance is:

Federal Program	Federal Share	State Share	Local Share
Section 5303/5304	80% of the project cost	10%	10% of the project cost

## **VII. LOCAL MATCH REQUIREMENTS**

Local matching funds are required for all types of assistance and must comply with all regulations governing the use of these funds.

Local matching funds required for capital purchases and technical studies must be provided in cash. The source of these funds may be local funds, state grants (other than those received from MDOT MTA), eligible federal funds or private sources.

Local matching funds required for operating assistance must be provided in cash. Operating funds from human service agency contracts to transport individuals, which are paid directly to the transit provider (and not included as farebox revenue), may be used as contract revenue to offset the net operating deficit, but are not considered local match in the year in which the revenues were earned.

## VIII. PROJECT COMMENCEMENT

Operating costs can be incurred at the beginning of the fiscal year (July 1st). Once a grant agreement with the MDOT MTA has been executed, the applicant may request reimbursement of these operating costs.

Technical studies or capital projects CANNOT begin until a grant agreement with the MDOT MTA has been executed. Additional information on procedures for conducting procurements can be found in Part II of the Grant Agreement and in the *LOTS Program Manual*.

## IX. ALLOCATION OF FUNDS

### Public Transportation Program (PTP) Funds

#### Operating Assistance

Funding requests for operating assistance should consist of the following:

- baseline transit operation, and
- ADA related incremental operating costs, and
- additional forecasted costs to expand and/or maintain service.

#### Capital Assistance

Capital assistance for vehicles, equipment with a unit cost of over \$1,000, and facilities is provided on the basis of need and the availability of State and Federal funds. Applicants must justify all capital needs. Capital funds will be allocated by MDOT MTA in the following order:

- 1) replacement vehicles
- 2) vehicles for ADA compliance (including expansion)
- 3) preventive maintenance
- 4) parts, radios, miscellaneous maintenance equipment
- 5) expansion vehicles
- 6) facilities

In the past, we have asked you to “be reasonable” and only include those “must have” items that you considered a priority. We are still asking that for the project year. However, once you have completed prioritizing those items, continue to include the lower priority items. This is also true for the Five-Year Plan. MDOT MTA is completing a 25 Year Statewide Capital Needs Inventory, and this information will be helpful to us throughout the planning process.

## Large Urban Program Funds – All State Funds

The following jurisdictions are eligible for Large Urban Program funds.

Anne Arundel  
Cecil  
City of Annapolis  
Howard  
Montgomery  
Prince George  
Queen Anne's

Large Urban funding is discretionary and not formula based. Applicants should build their budgets based on their projected costs to provide planned services and apply for the funds they need to cover these costs.

## Section 5307 Funds

The following jurisdictions are eligible for Section 5307 funds.

Allegany County (Cumberland)  
Calvert County  
Carroll County (Westminster)  
Charles County (St. Charles)  
Frederick County (City of Frederick)  
St. Mary's County  
Washington County (Hagerstown)  
Tri-County Council Lower Eastern Shore  
Queen Anne's County

Federal funds for this program are annually apportioned and published in the *Federal Register*. Applicants should build their budgets based on their projected costs to provide planned services and apply for the funds they need to cover these costs. There are a few applicants that receive their ADA funding in combination with their 5307 funds.

The Federal Transit Administration no longer has a cap on Section 5307 operating funds. These funds can be used for both operating and capital needs. Operators applying for these funds should request funding based on projected operational and capital costs for services eligible for this program. If you are unsure which of your services are eligible, please work with your Regional Planner (RP) to define them. Please note the Federal portion of the operating assistance cannot exceed 50% of the net operating deficit. Capital awards are considered at an 80% Federal, 10% State, and 10% Local cost share. Preventive maintenance costs may be funded as a capital project under either Section 5307 Program or the 5311 Program.

## Section 5311 Funds – Federal and State Funds

The following jurisdictions are eligible for Section 5311 funds.

Allegany  
Anne Arundel County  
Baltimore County  
Calvert County  
Caroline/Kent/**Talbot** Counties  
Carroll County  
Cecil County  
Charles County  
Dorchester County  
Frederick County  
Garrett County  
Harford County  
Howard County  
Montgomery County  
Ocean City  
Prince George's County  
Queen Anne's County  
St. Mary's County  
Washington County  
Tri-County Council of Lower Eastern Shore  
(Worcester, Wicomico, Somerset)

Federal funds for this program are annually apportioned and published in the *Federal Register*. Applicants should build their budgets based on their projected costs to provide planned services and apply for the funds they need to cover these costs. Section 5311 funds can be used for either capital or operating projects.

## Americans with Disabilities Act (ADA) Funds – State Funds

ADA funding is discretionary and not formula based. Therefore, allocation of funds is not assigned each year. Projected budgets for operating costs should be provided by each system on an annual basis.



**Statewide Special Transportation Assistance Program (SSTAP) Funds – State Funds**

The funds available to the SSTAP are annually apportioned in the following manner:

- Allegany County
- Anne Arundel County
- Baltimore City
- Baltimore County
- Calvert County
- Talbot/Kent/Caroline Counties
- Three County Total
- Carroll County
- Cecil County
- Charles County
- Dorchester County
- Frederick County
- Garrett County
- Harford County
- Howard County
- Montgomery County
- Prince George's County
- Queen Anne's County
- St. Mary's County
- Somerset County
- Washington County
- Wicomico/Worcester/Tri-County Council of Lower Eastern Shore

- 60% equally among the counties (including Baltimore City);
- 40% among the counties (including Baltimore City) in proportion to their respective percentages of the State's combined elderly and disabled population utilizing the 2010 Census data.

SSTAP funds may be used for either capital or operating projects.

**Transportation Development Plan (TDP) and Technical Assistance Funds**

Each system is requested to complete this type of study on a five-year basis. TDP funds are allocated according to the last time a jurisdiction completes an update

See Table I for a list of jurisdictions and the funds available for the studies.

**Table I  
TRANSPORTATION DEVELOPMENT PLAN PROGRAM  
ALLOCATION OF FUNDS  
FISCAL YEAR 2023  
TOTAL ALLOCATION**

Jurisdiction	Federal/State Assistance* (90%)
City of Annapolis	\$105,000
Cecil County	\$90,000
Charles County	\$105,000
Dorchester County	\$90,000

Fiscal Year allocation is subject to budget approval by the General Assembly and the Federal FY 2023 Federal allocation. **Funds may be subject to change.** Grantees will be notified when funds become available.

**X. PROGRAM REQUIREMENTS**

Recipients of funding applied for through the ATP must comply with Federal and State requirements pertaining to each program. For comprehensive guidance on Federal and State requirements for recipients of PTP, ADA, and SSTAP funding, please refer to the *LOTS Program Manual*.

**XI. RELATIONSHIP OF THE ATP TO OTHER ANNUAL PLANNING AND APPLICATION REQUIREMENTS**

**Inclusion in the Transportation Improvement Program (TIP)**

Where local projects exist or are being proposed within the current planning/study area boundaries of a Metropolitan Planning Organization (MPO) (which may include areas that are currently non-urbanized, but are expected to become urbanized within the next 20 years), the local projects must be included in the MPO’s TIP. Local transit systems need to be involved in the annual development of the TIP and need to plan for several years in advance, as the TIP has a six-year planning horizon, and because amending the TIP involves a formal process. The MDOT MTA takes care of submitting a Program of Projects (POP) for all the TIPs, incorporating local projects that are applied for in the local ATPs. It is critical that local ATP’s are submitted to MDOT MTA by the deadline indicated.

### **Inclusion in the Statewide Transportation Improvement Program (STIP)**

In addition to its annual POP, the State must also submit a three-year STIP for Federal transportation funds. Local systems can assist the MDOT MTA in planning for adequate funding for local transit by realistically projecting capital replacement needs for the next five years in each ATP, as well as updating the local TDP every five years with a feasible and well-developed capital and operations plan.

# **INSTRUCTIONS FOR PREPARING THE ANNUAL TRANSPORTATION PLAN**

# INSTRUCTIONS FOR COMPLETING THE FY 2023 ANNUAL TRANSPORTATION PLAN

## I. SUBMISSION DEADLINES

### PTP Operating, Capital, and Planning Assistance

ATP's for PTP Large Urban and Sections 5307 and 5311 operating or capital assistance; ADA operating assistance and Sections 5303/5304 planning assistance must be submitted into each Local Operating Transit System's (LOTS) folder in ProjectWise by **Part 1-February 4, 2022 and Part II-March 25, 2022**. If complete applications are not received by the deadline, the MDOT MTA will not be able to apply for Federal funds on grantees' behalf in the application MDOT MTA submits to the Federal Transit Administration. **This will jeopardize approval of funds.**

## II. RECOMMENDED TIMELINE FOR REQUIRED TASKS

Because several the tasks involved in developing your ATP require lengthy preparation times, the following timeline is provided to assist applicants in completing these tasks in time to submit a complete ATP by the application deadline. Detailed instructions for the public hearing and private enterprise involvement requirements are provided in a later section in these instructions.

### February

**"Due to MDOT MTA" means a final document will be available in ProjectWise, in each LOTS' "ATP Working Folder", for MDOT MTA to review/comment and/or print.**

- Schedule the presentation of your ATP to local elected officials for approval (application must be approved prior to submission to MDOT MTA by the deadline).

***At least 30 days before submitting your ATP to local elected officials for approval, you must:***

- Notify private operators.
- Submit the SSTAP portion of your ATP to your local Area Agency on Aging for approval.
- Notify the municipalities in your county of the availability of SSTAP funds (recommended to be completed earlier to allow for their needs to be addressed in the proposed plan). Include a copy of this notification as part of your ATP in **Part II-D-#A**.

- Publish notice of an opportunity for a public hearing with at least a three-week window in which to request a hearing. The tentative hearing opportunity should be scheduled so that you have time to address significant issues before presenting the ATP to the elected officials for approval.
- **PART I of your application will be “Due to MDOT MTA” by COB Friday, February 4, 2022.**
- If requested, hold the public hearing, providing accessible information or sign language interpretation upon request.
- Submit your ATP to local elected officials and your attorney for approval.

### March

- **PART II of ATP is “Due to MDOT MTA” by COB Friday, March 25, 2022.**

### MDOT MTA Review Schedule:

#### February

- MDOT MTA will begin to review PART I of the LOTS’ ATPs.
- LOTS should check their folder “ATP OLTS Comments” in ProjectWise for review comments from the MDOT MTA.
- If additional information is requested, these documents will be provided through ProjectWise, to MDOT MTA no later than early March.

#### March

- MDOT MTA will begin review of PART II; please be prepared to answer questions about material submitted.
- MDOT MTA staff will review your application for accuracy and completeness.
- LOTS should check their folder “ATP OLTS Comments” in ProjectWise for review comments from the MDOT MTA.
- The RPs will notify their LOTS’ of any revised/additional information that may be required.

#### 1<sup>st</sup> Week in April

- If additional information is requested, these documents will be provided to MDOT MTA through ProjectWise, no later than early April.
- The Review Team will meet within the last two weeks of April to continue the review and reach a consensus.

### III. OVERVIEW OF APPLICATION FORMAT

The application forms are provided to each LOTS' in their "ATP Working Folder" located in ProjectWise. Re-save all documents with their original document name. Please follow naming protocol illustrated on the Application Checklist for any supporting documentation you will be providing. **Please delete the original blank application forms used to create your FY 23 ATP. This will limit the number of files in the folder and make it easier to find your completed documents.**

### IV. Part I-A - PROGRAM DESCRIPTION

This document is formatted to be 'tabbed' through. All responses should be placed in the yellow boxes as indicated. Copy and paste where necessary **inside** the yellow boxes. The boxes will adjust with your entries. Please enter ALL information on this document. **All required supporting documentation should be uploaded according to the naming protocol illustrated on the Application Checklist.**

**The yellow box is not format friendly.** Our suggestion is to type your responses in a separate word document with "minimal formatting" and then cut and paste it into the yellow box. MDOT MTA is aware that adding/editing information in this section can be very challenging. We are looking at other options, but currently, this is the format that works best for LOTS at this time.

#### A. Contact Information

Enter the Jurisdiction/Program Name and Legal Name in the designated location on this page. The application contact should be the person to whom any application questions will be directed.

**ZIP CODE** – When providing address, please include the **nine-digit zip code**. This is a new FTA requirement.

**Attention** - The Name and Title identified in the "Application Submitted By:" section of this page should match the Name and Title of the person authorized to file the application as identified in the Authorizing Resolution. If not, explain the relationship/authority of the person executing the documents.

**The System for Award Management (SAM)** – A business or LOTS must register with SAM using their DUNS#. Once registered, SAM will then issue a Cage Code. The registration confirmation may take a few days so please allow time to receive your Cage Code. You must be registered with SAM to receive payment from the Federal government as a Federal contractor. Registering can be accomplished yourself, or for a fee you may elect to hire an outside party to register for you.

***Please provide a copy of your SAM documentation - (FTA Requirement).***

## **B. Operator/Service Description**

The answers to these questions provide a qualitative description of your transportation services. Use additional space as needed. Please list supporting documentation provided in response to each question, and number each to correspond to the question it answers. Distinguish where necessary between PTP and SSTAP funded services.

## **C. Project Coordination**

PTP and SSTAP funds must be used in transportation projects that encourage the use of funds through the coordination of programs and services. In addition, SSTAP funded transportation services must increase and supplement, but not replace, existing transportation services. PTP and/or SSTAP funds should be used in the following ways:

- in a consolidated transportation services program that is administered and operated from a central facility, and/or
- in a cooperative arrangement, and/or
- to pay for eligible PTP/SSTAP passengers on a vehicle while another funding source pays for other passengers, and/or
- to pay for eligible PTP/SSTAP miles or hours of a passenger trip while another funding source pays for the remaining miles or hours.

Coordination efforts should focus on sharing vehicles, supplies, staff, purchases of service, individual trips, hours, miles, fuel, and any other arrangements to provide as many trips as possible with the available funds and resources. Consider all possible arrangements for sharing resources that are feasible in your area. These arrangements may include components funded by other sources in your total transportation program, as well as other providers. Other transportation providers include public transportation services, private-for-profit providers, non-profit organizations, local government transportation providers or other providers as may exist in the area. Emphasis should be placed on coordination between and among the SSTAP, FTA Sections 5307, 5311, and 5310 funds.

**It cannot be over-emphasized that creative, cost-effective, fully utilized transportation services are to be supported by PTP and/or SSTAP funding.**



## V. Part I – B - CURRENT SERVICES

This section provides a quantitative snapshot of services provided.

### Form 1: Transportation Program Summary

This summary is designed to provide the reviewer with quick information about your transportation services. Fill out each field accurately.

**In the vehicle summary, Vehicles Used in Peak Service plus Spare/Backup Vehicles calculates the Total Vehicles in the Service automatically. The Spare Ratio is also an automatic calculation. Please include in-service revenue vehicles only in this section. Note the changes in information required and the additional information required for vehicles in total fleet.**

**ADA Accessible Vehicles** use the NTD definition, i.e., "revenue vehicles which do not restrict access, are usable, and provide allocated space and/or priority seating for individuals who use wheelchairs and are accessible using lifts or ramps."

**Spare Vehicles** use the NTD definition, i.e., "revenue vehicles maintained to: meet routine and heavy maintenance requirements, meet unexpected breakdowns/accidents; and thereby preserve scheduled operations."

**Vehicles used in peak service** use the NTD definition, i.e. "the revenue vehicle count during the peak season of the year; on the week and day that maximum service is provided. Vehicles operated in maximum service (VOMS) exclude:

- Atypical days; or
- One-time special events."

**Vehicles in Total Fleet** use the NTD definition, i.e. includes all revenue vehicles held at the end of the fiscal year. It includes "in service", "in storage", "emergency contingency", and "awaiting sale."

### Form 2: Current Service Characteristics

This form provides a brief description of the different components and service modes of your transportation program. Insert additional rows as needed.

For "Level of Service," indicate approximate percentage of each service type operated within each grant program. For example, for Section 5311, an operator might operate approximately 50% as fixed-route service and 50% as route deviation service.

Provide a copy of your fare policy or schedule if the complexity of your fare policy makes completion of the "Fares" portion of this form unfeasible.

### Form 2a: FY 2021 Service Performance Summary

Provide a copy of the 2a Form(s) your organization submitted for *FY 2021*.

### **Form 6, 6a, and 6b: Inventory**

These forms will provide an inventory of:

#### **Form 6: Revenue Vehicles**

All Revenue Vehicles currently in your fleet should be listed.

#### **Form 6a: Fixed Asset Inventory**

List all property (shop equipment, facility, etc.) assigned to, in use by, or available to the program, regardless of ownership or funding source.

#### **Form 6b: Equipment (Non-Revenue Vehicles and Other Equipment)**

All Non-Revenue Vehicles currently in your fleet should be listed. 5310 vehicles should be listed under Non-Revenue Vehicles and clearly labeled as 5310 funded. Equipment not related to a facility should be included on this form.

### **Form 7: Vehicle Utilization Plan**

The information on this form is a crucial part of the ATP. It provides a description of the service area and route assignment for each vehicle during a typical week. An example is provided to illustrate how this form should be completed. If a vehicle is used for more than one route or service, use a separate line for each route or service. If a vehicle's schedule varies according to the day of the week, use a separate line for each day. Insert additional lines and pages as needed. Complete for all currently owned *active* vehicles listed in Form 6. **Do not include spares.** Active vehicles must equal or exceed Vehicles Used in Peak Service on Form 1.

## **VI. Part I - C – PROGRAM COMPLIANCE, Part I**

### **A: Civil Rights**

Enter the required information in order to determine your agency's status with respect to these plans. If you have a service contractor, supply this information for them as well.

Be sure to attach a copy of the required plans/policies or contact your RP if your organization does not currently maintain these plans/policies or if you have updated/revised the plan in the past year.

### **B: Civil Rights Contacts - Applicant**

Provide all the requested contact information for those persons responsible for these programs within your jurisdiction.

### **C: Civil Rights Contacts - Contractor**

If you have a service contractor, supply this information for them as well.

### **D: Safety and Security**

This section requires documentation of expenditures related to Safety & Security.

## **E: Maintenance Program**

This section requires documentation of your vehicle maintenance program and your facility and equipment maintenance plan (FEMP). Please provide a copy of each.

***For the sample PM Certification: Commercial vehicles be systematically inspected, repaired, and maintained every 12 months or 25,000 miles, whichever occurs first, and forms must be stored with system PM vehicle records. Certification forms can be found at: [http://www.mdot.maryland.gov/newMDOT/Motor\\_Carrier/PM\\_Program.html](http://www.mdot.maryland.gov/newMDOT/Motor_Carrier/PM_Program.html)***

## **F: Training Programs**

This section requires documentation of your training expenses and programs, to include new driver training and retraining, maintenance, and other training.

Please note that training is available for systems in non-urbanized areas through the Rural Transit Assistance Program (RTAP). Training sessions are implemented to assist in the design and implementation of training and technical assistance projects and other support services tailored to meet the specific needs of rural transportation providers. An annual allocation is provided to the State and is administered in conjunction with the Section 5311 program.

Scholarships to attend training are available through a separate application process. For more information on RTAP training and scholarships, contact your Regional Planner.

## **G: Purchased Transportation**

If the applicant purchases transportation service from a private operator, the operator contact should be identified on Form 2. A brief description of the contract arrangement should be included here, including the operator(s), the contract term and any options, and the scope of services to be provided. ***Please provide copies of ALL current contracts following the naming protocol illustrated on the Application Checklist.***

## **H: Drug and Alcohol Policy Compliance**

Recipients of FTA funds are required to comply with FTA regulations, "Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations," at 49 CFR part 665, subpart I and with 49 CFR part 40 as are all contractors. Provide the dates of your original policy and of its most recent update. If you have a service provider, provide this information for them as well.

## **I: Cell Phone Policy**

For safety purposes MDOT MTA requires that grantees have in place a policy limiting the use of cell phones and other portable electronic communication devices for its employees and subcontractors. Copies of these policies must be submitted with your application.

## VII. Part II – A – OPERATING BUDGET REQUEST

To minimize the information local applicants must manually type, many of the worksheets have cells that draw information from (or link to) cells in other worksheets in the file. **Capital Forms C-4, C-5, C-7, and C-9 are linked to Form B-1, which is now only accessible to OLTS Staff.** Many subtotals and totals are designed to calculate automatically using formulas that have been entered in these cells. ***Cells that require input are highlighted yellow. Automated cells are indicated on each form by gray shading.*** To maximize the benefits of these automated links and calculations, be sure to read the instructions for each form closely, avoid manually entering information into automated cells, and avoid editing the format of the form (other than where instructed to insert additional rows as needed). ***Do not insert columns or change column headings.*** Inserting columns or changing column headings may invalidate the information in automated summary cells.

Applicants should not rely on the linked or calculated information to be correct without cross-checking. Even minor changes made to one form may alter the validity of a related cell in another form. Please keep in mind it is possible that there may be errors in formulas. For this reason, please double check your totals before submitting and **let your Regional Planner know if you discover any problems with the worksheets. DO NOT MAKE MODIFICATIONS TO THE FORMULAS OR CELL REFERENCES WITHOUT HAVING CONTACTED MDOT MTA FIRST.** The exception to this is with description cells marked "Other" or left blank; these are updatable and should be adjusted to reflect entries that do not fit established categories.

***Due to funding issues resulting from the COVID-19 Pandemic, it is unclear as to whether the State will contribute to Fiscal Year 23 (FY23) grant awards. Therefore, when preparing your budgets for FY23, please increase the Local share to cover the State portion (e.g., If the Federal/State/Local was previously an 80/10/10 split, it will now be Federal/Local for 80/20). We recognize that these are difficult times financially and strongly suggest you take advantage of the CARES funds to help support any funding shortfall.***

### **Form B-2: Operating Budget Summary**

The Operating Budget Summary contains columns for Total Program, SSTAP, Large Urban, Section 5311, ADA, and/or Section 5307, Senior Ride, and Other. **Do not insert or delete columns or rows or change column headings on this form.** Aggregated information on this form automatically populates the cells on Form B-1 and changing columns will invalidate this automated information resulting in the need to manually complete Form B-1 (this cannot be done without contacting your Regional Planner as the form is password protected). Instructions for each column are provided below; each column must be completed if applicable to your transit system. Please note that this ATP does not serve as an application for Ridesharing, Senior Ride, and other Human Service programs funding; however, estimated budgets must be provided for these programs to provide MDOT MTA with a complete picture of your system's transit budget and cost allocation.

An operating budget worksheet must be completed even if an applicant is applying for capital assistance only. **If a cost category listed on the Operating Budget Worksheet is not applicable to your program, enter "0" (zero) on the line for that cost category.** Attach footnotes as needed to provide additional explanation where expenses may not be self-explanatory.

List eligible operating expenses according to line item. All operating expenses must be incurred on an accrual basis. Each category has a row marked "Other", if you have an eligible expense that does not fall in one of the pre-established classifications, please use this row to account for the expense. Be sure to change the row description. If you need more space to explain the expense, there is room at the bottom of the form for a brief description. *Ineligible* expenses are expenses relating to the transportation program that are not directly related to the daily operations of the program. Examples of ineligible expenses include expenses of a city council in considering transit matters; charitable contributions and donations; entertainment expenses; fines and penalties; interest expenses on loans; and depreciation accrued on facilities or equipment purchased with Federal and/or State grants. Appendix B defines the terms used in this form. Indicate all sources of local match funding, including "soft match." See Appendix A for guidelines on "soft match" as local match.

Instructions for each column are as follows:

- ◆ **Total Program** - The combined expenses and revenues for all transportation services, including SSTAP, Large Urban, Section 5311, ADA, and/or Section 5307, and Other. **This column will update automatically as information is entered in other columns.**
- ◆ **SSTAP Program FY 23** - This column reflects the portion of the total program that provides general purpose trips for the elderly and persons with disabilities. The SSTAP operating costs are paid for with SSTAP operating assistance and/or use SSTAP funded equipment. Both the State and local shares of SSTAP operating assistance must be identified.
- ◆ **Large Urban Baseline FY 23** - This column reflects service that is funded by PTP operating assistance and/or uses PTP funded equipment in urbanized areas. Both the Federal/State share and local share of the PTP operating assistance must be identified. The Large Urban Program is 100% State funds.
- ◆ **Section 5311 Baseline FY 23** - This column reflects service that is funded by the PTP operating assistance and/or uses PTP funded equipment in non-urbanized areas. Both the Federal/State share and local share of the PTP operating assistance must be identified.
- ◆ **Section 5307 Service** - ADA and Section 5307 have been combined for funding purposes. ADA funding has been extended without an increase in funds.
- ◆ **ADA Service** - For those systems implementing a complementary paratransit service to comply with ADA, identify the FY 23 operating costs associated with ADA compliance. **Do not enter information in this column, this column will populate automatically as information is entered in Form B-4.**

- ◆ **Senior Ride** – This column indicates estimated FY 23 budget under the Senior Ride program.
- ◆ **Other** – The “Other” column should include Medical Assistance, other transportation contracts, and other services that are not funded through MDOT MTA. The description field can and should be updated to describe the entry.

**Operating Project Justification Form** - must be submitted for all new services and for all proposed service expansions. The form is in Part II–A behind Form B-2. Describe and justify each project, using additional sheets as necessary. It is particularly important to indicate what capital funding will be used to operate each project, as well as to estimate anticipated ridership, total vehicle miles and hours, fare revenue, and operating costs for the project in FY 23. If the proposed change is programmed in your most recently completed TDP, include a copy of the recommendation from the final document in your justification.

### **Form B-3: Contractor’s Budget Summary**

If there is a purchase of service arrangement with a private for-profit or non-profit operator, Form B-3 is required for *each* operator from which you purchase service. **Preventative Maintenance is a capital expense.** The total expense from this form will appear on Form B-2 in the Purchased Service line item. One copy of the contract and/or terms of the purchase of service agreement must also accompany this application and the agreement should be described in **Section 6 – Program Compliance**. Each category has a row marked “Other”, if you have an eligible expense that does not fall in one of the pre-established classifications, please use this row to account for the expense. Be sure to change the row description. If you need more space to explain the expense, there is room at the bottom of the form for a brief description.

### **Form B-4: ADA Operating Budget**

A budget estimating FY 23 operating expenses, as well as the previous year’s award, is needed for ADA funding. Information entered in the FY 23 column of this form will automatically populate the appropriate column in Form B-2. An **ADA Operating Project Justification Form** must be submitted for all projects requesting an increase in ADA funding in FY 23. This form is in Part II-A behind Form B-4. Describe and justify the need for additional funds should your proposed budget vary more than 10% from your 2020 budget. It is particularly important to indicate what funding will be used to operate additional services as well as to estimate anticipated ridership, total vehicle miles and hours, fare revenue, and operating costs for the project in FY 23.

### **Form B-5: Technical Assistance Budget**

See Table I for current funding levels and eligible jurisdictions for preparation of Transportation Development Plans (TDPs). If you are eligible to apply for technical assistance funds in the current year, complete this form. MDOT MTA can procure planning services for this project on your behalf.

## VIII. Part II - B - CAPITAL REQUESTS

**All capital projects will require a copy of the Independent Cost Estimate (ICE). You may find an example of a typical ICE in the appendix of this application. The ICE should be the first document in the procurement file for a capital project. This document is required as part of the justification in the ATP Grant Application.**

The Capital Project Plan is a six-year plan of your projected capital needs and addresses replacement vehicles, expansion vehicles, vehicle refurbishments, equipment, and facilities. It is used to request capital projects for FY 23, to estimate funding needs for the upcoming budget years, to determine the affordability of your plan and to help the MDOT MTA budget and forecast future state and federal funds for your service.

The instructions in this section are organized into each of the following subsections:

- A. General Requirements
- B. Vehicle Funding Requests
- C. Equipment Funding Requests
- D. Facilities Funding Requests

### General Information

#### Overview of the Capital Project Plan Forms

Form C-1:	Summary of FY 23 Capital Requests in Priority Order
Form C-2a:	Small Bus Cost Worksheet (Type 1A)
Form C-2b:	Small Bus Cost Worksheet (Type 2A)
Form C-2c:	Small Bus Cost Worksheet (Type 3A)
Form C-2d:	Small Bus Cost Worksheet (Type 4A)
Form C-2e:	Small Bus Cost Worksheet (Type 3B)
Form C-2f:	Small Bus Cost Worksheet (Type 4B)
Form C-2MVa:	Minivan Cost Worksheet (Type 1)
<b>Form C-2MVb:</b>	<b>Not Available at this Time</b>
Form C-2MVc:	Minivan Cost Worksheet (Type 3)
Form C-2MVd:	Minivan Cost Worksheet (Type 4)
Form C-3a:	Medium Bus Cost Worksheet-American Bus (Type 1A)
Form C-3b:	Medium Bus Cost Worksheet-American Bus (Type 2A)
Form C-3c:	Medium Bus Cost Worksheet-Rohrer (Type 2A)
Form C-3d:	Medium Bus Cost Worksheet-Sonny Merryman (Type 2A)
Form C-3e:	Medium Bus Cost Worksheet-American Bus (Type 3A)
Form C-3f:	Medium Bus Cost Worksheet-Rohrer (Type 3A)
Form C-3g:	Medium Bus Cost Worksheet-Sonny Merryman (Type 3A)
Form C-3h:	Medium Bus Cost Worksheet-American Bus (Type 4A)
Form C-3i:	Medium Bus Cost Worksheet-American Bus (Type 1B)
Form C-3j:	Medium Bus Cost Worksheet-Rohrer (Type 2B)
Form C-3k:	Medium Bus Cost Worksheet-Rohrer (Type 3B)
Form C-3l:	Medium Bus Cost Worksheet-American Bus (Type 4B)
Form C-4:	FY 23 Capital Project Plan
	FY 23 Vehicle Requests (Replacement <b>AND</b> Expansion)
	Vehicle Replacement Worksheet(s)
	Capital Justification Form (Vehicles) <b>ICE Form Needed</b>

Form C-5: Capital Project Plan FY 23 Vehicle Refurbishment Requests  
Form C-6: Capital Project Plan Future Vehicle Requests  
Form C-7: Capital Project Plan FY 23 Equipment Requests  
Capital Justification Form (Equipment) **ICE Form Needed**  
Form C-8: Capital Project Plan Future Equipment Requests  
Form C-9: Capital Project Plan FY 23 Facilities Requests  
Capital Justification Form (Facilities) **ICE Form Needed**  
Instructions for each of these Capital Project Plan forms will be provided in this section.

*For your convenience and to ensure the consistency of information gathered, many of these forms have been modified to include dropdown menus.*

### **The Importance of Forecasting Future Capital Requirements**

It is very important to identify your capital requirements for the next five years. Facility projects as well as vehicle and equipment needs should be identified in your plan. Your FY 23 requests should reflect critical projects. Forecasted projects identified between FY 2023 and FY 2027 (in Forms C-6 and C-8) are intended to provide the MDOT MTA with a forecast of your future financial needs so that MDOT MTA can accurately budget future Federal funding needs. When estimating funds needed for the out years use current (FY 2022) dollars. Do not inflate the numbers.

Any changes in this five-year plan during the year should be submitted to the MDOT MTA RP to keep the MDOT MTA informed and to enable us to keep our financial forecasts current.

### **Procurement Requirements for Approved Capital Projects**

All procurement activities are the responsibility of the applicant. The applicant should use the procurement procedures of the jurisdiction that executed the grant agreement, as long as they conform to the standards for the MDOT MTA and the Federal Transit Administration. The applicant is also responsible for settling all contractual and administrative issues arising out of procurements undertaken with project funds, although MDOT MTA staff is available to provide technical assistance. The MDOT MTA conducts a centralized procurement of vehicles on behalf of all grant recipients. Part II of the Grant Agreement provides the detailed requirements for third party contracts and procurement. Procurement requirements are also described in Section 4 of the *LOTS Manual*.

#### ***PLEASE NOTE:***

- Each Vehicle Replacement Worksheet and Capital Project Justification Form must indicate who will procure the project, as well as the intended advertising date of the project, the projected award date, and the projected delivery date.
- Capital projects cannot be implemented until a concurrence letter has been executed between the MDOT MTA and the appropriate jurisdiction.



- All documents for third party contracts and procurements must be received and approved by the MDOT MTA in advance of bid solicitation.

### **Vehicle Funding Requests**

Instructions for vehicle funding requests are organized as follows:

- Specifications and Estimated Costs for Vehicles (FY 23 only)
- Replacement or Expansion Vehicles (FY 23 only)
- Vehicle Refurbishments (FY 23 only)
- Special Note on Vehicle Accessibility Requirements
- Future Vehicle Requests (FY 2023-2027)

***Advertising Dates, Award Dates, and Receipt Dates should be realistic. Please indicate number of months from receipt of grant agreement.***

### **Replacement & Expansion Vehicles**

To apply for **replacement or expansion** vehicles in FY23, Forms C-1, C-2, C-3, and C-4 must be completed, and a Vehicle Replacement Worksheet must be attached for each requested replacement. A Capital Project Justification form must be completed for each expansion request.

### **Form C-1: Summary of FY 23 Capital Requests in Priority Order**

It is very important that you fill out the chart accurately, denoting overall local priority for funding for each vehicle, equipment, or facility funding project requested. Assign a project name or brief description for each project requested, and list in order of priority. Designate the type of project and requested funding sources by placing an "x" in the appropriate boxes. Replacement Vehicle Requests **must** identify the number of the vehicle to be replaced in the appropriate column. ***Priorities assigned on this form must match those used on other FY 23 Capital Plan forms (Forms C-4, C-5, C-7, and C-9).*** As requests for capital funds often exceed available resources, inconsistencies in labeling capital project priorities among the forms in your ATP may result in funding denial for high-priority requests.

### **Forms C-2a thru C-2f**

To be used to order a gas and diesel engine, small bus. There are six bus configurations. Each has its own worksheet and order form listing the available options. Please use the correct order form to order the small bus that is needed for your service.

## Forms C-2MVa thru C-2MVd

To be used to order minivans. There are four minivan configurations. Each has its own worksheet and order form listing the available options. Please use the correct order form to order the minivan that is needed for your service.

## Form C-3a thru C-3l

To be used to order a medium bus. There are twelve order forms so make sure you select the form that represents the bus you intend to order.

## Form C-4

Identifies whether requested vehicles are Replacement or Expansion. The "priority" column must correspond to the priority indicated for each replacement on Form C-1. Replacement numbers are linked from Form 6. Use the vehicle costs from Forms C-2 and C-3 in the Total Project Cost column.

**Vehicle Replacement Worksheet** - You must complete this form for each replacement vehicle requested for funding in FY 23. ***Please review the revised General Definition of Condition Codes.*** This form includes information on the age and mileage of the vehicle to establish its eligibility under the Vehicle Useful Life Standards in Appendix C. A written justification that is ***specific to each vehicle*** must be completed, as ***vehicles will not be eligible for replacement based solely on age and/or mileage.*** The justification portion of each vehicle replacement worksheet is critical to MDOT MTA's decision on whether or not to fund the replacement. PLEASE NOTE: DOWN TIME DOES NOT COUNT AS PART OF THE ESTIMATED USEFUL LIFE AND MUST BE "DEDUCTED" FROM THE AGE OF THE VEHICLE. i.e., if a vehicle is six years old, but has been out of service for six months because of its condition, according to FTA, it HAS NOT MET A SIX YEAR USEFUL LIFE. ***Vehicles for which extended warranties have been purchased are not eligible for replacement until the end of the warranty period.*** ***Attach your ICE Form.***

- **Capital Project Justification Form** - You must complete this form for each expansion vehicle requested for funding in FY 20. The form also includes a written justification that must be completed. ***Attach your ICE Form.***
- **Vehicle Useful Life Standards** - To ensure that vehicles are adequately maintained and remain in service for their minimum normal service life; the MDOT MTA has established minimum useful life criteria for State and Federally funded vehicles. These standards apply to all vehicles purchased with Sections 5307, 5311, and SSTAP funds, as well as for vehicles which will be replaced with vehicles funded from these programs, regardless of the initial funding source. MDOT MTA's useful life policy is more stringent than FTA's.

Service life begins on the date the vehicle was placed in service and continues until it is removed from service. See Appendix C for the useful life standards. Significant capital maintenance performed throughout the vehicle's life may extend the asset's useful life (i.e., when you refurbish vehicles, you must ADD at least four years to the estimated useful life). As discussed previously, extended down time must be excluded from the calculation of a vehicle's age. ***Vehicles for which extended warranties have been purchased are not eligible for replacement until the end of the warranty period.***

- **Replacement Prior to Minimum Service Life** - The MDOT MTA is reluctant to replace vehicles prior to the end of their normal service life. Under certain circumstances, however, vehicles may need replacement prior to the end of their normal life. In these situations, the applicant will justify the need for the early replacement, including a detailed description of the condition of the vehicle. Contact your Regional Planner for additional details on replacing a vehicle prior to completion of its useful service life and for an explanation of local funding reimbursements due the State and Federal government in these instances. See Appendix C for more information on useful life criteria.

## Vehicle Refurbishments

To apply for vehicle refurbishments in FY 23, Form C-5 must be completed, and a Capital Project Justification Form must be attached for each requested refurbishment.

### Form C-5: FY 23 Vehicle Refurbishment Requests

This form must include all vehicle refurbishments requested in FY 23. The "priority" column must correspond to the priority indicated for each refurbishment on Form C-1. The "Fleet Number" column must correspond to the fleet numbers on Form 6. Use current year cost estimates; contact your Regional Planner for more information of vehicle refurbishment costs. ***Refurbishing vehicles extends their useful life.***

- **Capital Project Justification Form** - You must complete this form for each vehicle refurbishment requested for funding in FY 23. The form also includes a written justification that must be completed. **Attach your ICE Form.**

***Vehicle refurbishments and extended warranties require an extension of a vehicle's useful life.***

### **Special Note on Vehicle Accessibility Requirements**

The Federal ADA requires that:

- **Fixed-Route Services**—Public transit operators must purchase lift-equipped vehicles that meet ADA standards for fixed-route services (49 CFR 37.71), as well as for route deviation services.

Demand-Responsive Services—Public and private transportation operators must operate enough accessible vehicles to ensure the provision of equivalent service for persons with disabilities including individuals who use wheelchairs (49 CFR 37.77, 49 CFR 37.101, and 49 CFR 37.103). If an Applicant that operates demand-responsive service has determined that it operates a sufficient number of accessible vehicles to provide equivalent service for persons requiring the use of the wheelchair lift or ramp to board, and therefore is requesting a non-lift-equipped vehicle for use in demand-responsive service, a Certification of Equivalent Service must be completed. This Certification is provided in PART II-C #10.

## **Future Vehicle Requests**

### **Form C-6: Future Vehicle Requests**

Must be completed for all projected vehicle replacements, expansions, and refurbishments. This form is intended to provide the MDOT MTA with a forecast of your future financial needs so that MDOT MTA can accurately budget future Federal funding needs. When estimating funds needed for the out years, use current (FY 2022) dollars shown in Forms C-2 and C-3. Do not inflate the numbers.

### **Equipment Funding Requests**

Equipment, such as radios and communications equipment, fareboxes, wheelchair lifts and restraints, computer hardware and software, maintenance equipment, preventive maintenance, or spare parts and/or miscellaneous equipment with a project cost of at least \$1,000 and a useful life of more than one year, can be requested as a capital project.

Fareboxes and other “options” can be ordered with vehicles and therefore may not need to be a separate item. Instead, indicate on Forms C-2 and C-3, Specifications and Estimated Cost for Vehicles, that a farebox is needed. The following three forms are required for other equipment requests:

### **Form C-7: FY 23 Equipment Funding Requests**

This form must include all equipment requests that are not addressed in Forms C-2 and C-3. A Capital Project Justification Form (Equipment) must also be attached for each line item requested in Form C-7.

### **Capital Project Justification Form (Equipment)**

You must complete this form for all equipment requested for funding in FY 23. The form also includes a written justification that must be completed. If this is a joint project or is to be shared with another agency or department, please address this in your justification and include a discussion of cost sharing or allocation for the project. **Attach your ICE Form.**

## **Form C-8: Future Equipment Requests**

This form is intended to provide the MDOT MTA with a forecast of your future financial needs so that MDOT MTA can accurately budget future Federal funding needs. When estimating funds needed for the out years, use FY 20-dollar amounts. Do not inflate the numbers.

## **Facilities Funding Requests**

Facilities projects can be new construction, expansions, or renovations that will be used to operate and/or maintain public transportation service. It is important to plan for any facilities projects as early as possible, and therefore, in addition to FY 23 requests, your facilities request forms should include anticipated requests for the next six years.

MDOT MTA will work closely with all counties anticipating a facilities-type project in the next six years to determine feasibility and availability of funds. Contact your RP if your FY 23 facility request is a new project. See Section 7 of the LOTS Manual for more information.

## **Form C-9: FY 2023 Facilities Funding Requests**

The project cost is separated into two parts: Design and Engineering (D&E) and Construction. Include the appropriate costs in each section. The design and engineering phase and the construction phase should not be programmed into the same fiscal year.

**Also indicate the intended advertising date of the project, the projected award date, the delivery date for the design and engineering phase, and for the construction phase.**

## **Capital Project Justification Form (Facilities)**

This must be completed for all facilities projects planned or programmed during the next six years. As on Form C-9, the D&E and Construction costs should be separated and not programmed in the same year. If this is a joint project or is to be shared with another agency or department, please address this in your justification and include a discussion of cost sharing or allocation for the project. **Attach your ICE Form.**

## **IX. Part II - C - CERTIFICATIONS AND ASSURANCES**

The certifications and assurances contained in the submittal packet must be executed and returned to the MDOT MTA. The Federal/State General Assurances have been grouped together. The specific funding programs for which your organization is applying will determine which assurances should be returned. However, the following assurances are required annually:

- General Assurances
- Authorizing Resolution
- Opinion of Counsel

- Special section 5333(b) Warranty
- List of Labor Representatives
- Civil Rights Certification

The following section discusses the other assurances that may be required, based on the services you provide. If you are applying for:

**Section 5307 funds, you must submit:**

- Assurances for Section 5307, and
- Certifications and Assurances for the Urbanized Area Formula Program

**Section 5311 funds, you must submit:**

- Assurances for Section 5311, and
- Certifications and Assurances for the Non-Urbanized Area Formula Program

**SSTAP funds, you must submit:**

- Assurances for State Programs (SSTAP)

**A vehicle that is not lift-equipped, you must submit:**

- A Certification of Equivalent Service

Assurances are being provided to the local applicants in .pdf format. Because they are based on Federal and State requirements, assurances may NOT be altered in any way. They must be signed and dated by the local attorney and the applicant agency's authorized official. **The documents will be accepted as legal documents in .pdf format.**

For a description of what each assurance means, see Appendix A of the *LOTS Manual*.

**X. Part II - D – PROGRAM COMPLIANCE, Part II**

**A: Public Hearing**

Each jurisdiction that requests operating and capital assistance must hold a public hearing or provide an opportunity for a public hearing to be held upon request. A public hearing or opportunity for a public hearing is not required for technical planning assistance projects.

**Notice of Opportunity for a Public Hearing**

The recipient must afford an opportunity for a public hearing on the program of projects and budget, if one has not been held during development, to provide citizens a forum to present their views on the projects proposed.

The notice must be published in a newspaper of general circulation informing the public that a three-week period has been established during which they can request a public hearing on the program of projects. The process to request a hearing must be described in the notice (unless the hearing will be conducted whether or not a request is received).

The hearing should be proposed for 30 days from the date of notice with a three-week period to submit a written request for a hearing. The hearing should be held the following week.

The notice must include the following:

- Name of applicant
- Area to be served
- Program of Projects - description of service
- Budget and financing information. Notice must identify specific dollar amounts of state and/or federal funds for each project and clearly state that these funds are being applied for from the Maryland Transit Administration and the Federal Transit Administration.
- Time, date, and place for the public hearing.
- An itemized list of **ALL** current capital requests.
- Instructions to request a hearing if you are publishing an opportunity for a hearing upon request.

***A copy of the notice as it appears in the newspaper must be submitted as a part of this ATP in PART II-D -#A, Public Hearing.***

***All private operators in the service area must also be mailed a separate notification of the public hearing. (This can be included in PART II-D-#B, Private Operator Notification). Please provide one copy of the letter and a listing of the operators.***

### **Location and Record of Hearing**

The public hearing must be held at a place and time generally convenient for persons affected by the project. Meeting locations and materials must be accessible to persons with disabilities, including sight and hearing-impaired persons. Provisions must be made at the hearing for submission of written statements, exhibits, and oral statements. A list of attendees, minutes of the public hearing, and copies of written statements must be submitted with the ATP.

### **If No Requests for a Hearing are Received**

If no one requests a hearing, then the applicant must attach a letter stating that there were no requests for a public hearing and that the program of projects is finalized. A sample letter is provided as Appendix E.

### **Comments**

Whether or not a hearing is held, the applicant must attach copies of any written statements received and describe how public comments were addressed.

## **B: Private Enterprise Involvement**

Neither the PTP nor the SSTAP can fund projects that would duplicate service provided by existing private operators. It is necessary to contact existing operators to establish whether they could provide part or all the service in a cost-effective manner and at a sufficient level. In 1994, the FTA rescinded the Private Enterprise Participation Rule. In its place, the FTA now requires each applicant/recipient of FTA funds to:

- Make available to the public information concerning the amount of funds available and the program of projects the recipient intends to undertake,
- Develop the program of projects in consultation with interested parties,
- Publish the program of projects in sufficient detail to afford affected citizens, private transportation providers, and elected officials an opportunity to submit comments on the project, the budget, and the performance of the recipient, and
- Afford an opportunity for a public hearing (which may be accomplished through Section G above).

### **Private Operator Notification**

To ensure the participation of private providers in the provision of service, all private providers in the proposed service area of the SSTAP and PTP funded projects must be notified in writing of your ATP. A sample letter of notification is provided in Appendix F. This notice must inform them of the intended service and invite them to submit comments on the proposed program of projects and budget, as well as to submit comments on the performance of the applicant. **This notification must be postmarked, using regular mail, at least 30 days prior to the submission of the ATP to your local elected officials for their approval.** Documentation of this notification must be included in the ATP in PART II-D #A. (Private Operator notification must also be included in the Notice of Public Hearing detailed under PART II-D #B).

### **Private Sector Responses**

The applicant must attach copies of any comments received from the private sector as well as the applicant's response to the comments and describe how comments received from private operators (either in writing or at the public hearing) were addressed and incorporated into your FY 20 program.



## XI. Part II - E – ITS ARCHITECTURE CONFORMITY PROCESS

All proposed ITS Projects must be evaluated to ensure compliance with the Maryland State-Wide ITS Architecture Conformity Process. If you are proposing an ITS project, please be sure to include all relevant project information on the ITS Project Questionnaire in PART II-E. **If you are proposing to buy equipment that received ITS approval in previous ATPs, you must re-submit your ITS form for the new equipment.**

## XII. APPLICATION SUBMISSION INFORMATION

*Applications are to be compiled according to the format on your Application Checklist. The files listed in your "ATP Working Folder" within ProjectWise are the documents you will use to prepare your ATP that MDOT MTA will review and comment on. This will become your official ATP Application.*

These items must be received by the deadline indicated on the front of the application package.

## APPENDICES

- Appendix A: Soft Match Guidelines
- Appendix B: Glossary of Terms Used on the Operating Budget Worksheets
- Appendix C: Vehicle Useful Life Criteria
- Appendix D: Example of a Letter to Submit in the Event That No Public Hearing was Conducted
- Appendix E: Example of a Letter to Send to Private Operators
- Appendix F: Definitions
- Appendix G: Example of Independent Cost Estimate (ICE) Form – (2)

## APPENDIX A: SOFT MATCH GUIDELINES

The following types of contributions may be provided as in-kind local match:

**Use of Space** - The value of contributed space should not exceed the fair rental value of comparable space as established by an independent appraisal of comparable space and facilities in a privately-owned building in the same locality.

**Value of other non-expendable personal property** - The value of non-expendable personal property should not exceed the fair value of property of the same age and condition at the time of donation.

**Value of other charges** - Other necessary charges incurred specifically for an indirect benefit to the grant program on behalf of the provider may be accepted as matching share provided that they are adequately supported and permissible under the law. Such charges must be reasonable and properly justifiable.

All contributions, both cash and soft match, shall be accepted as part of the grantee's matching share when such contributions meet all the following criteria:

- Are verifiable from the provider's records;
- Are not included as contributions for any other federally assisted program;
- Are necessary and reasonable for proper and efficient accomplishment of project objectives;
- Are types of charges that are allowable;
- Are not paid by the federal government under another assistance agreement unless authorized under the other agreement and the laws and regulations it is subject to; and,
- Are provided for in the approved budget when required by the funding agency.

The basis of determining charges for personal services, material, equipment, buildings, and land must be documented.

# APPENDIX B: Glossary of Terms Used on the Operating Budget Worksheets

## GENERAL DEFINITIONS AND EXPLANATIONS

***Eligible Operating Expenses:*** Those expenses directly associated with the daily operation of a transportation program. For example:

- Salaries and fringe benefits of the transportation project director, secretary, bookkeeper, drivers, mechanics, dispatchers, or other personnel performing job duties of an administrative nature;
- License fees and taxes;
- Fuel and oil;
- Office supplies and items associated with office operations;
- Facilities and vehicle rental.

***Ineligible Expenses:*** Expenses relating to the transportation program which are not directly related to the daily operations of the program. For example:

- Expenses of a city council in considering transit matters;
- Charitable contributions and donations;
- Entertainment expenses;
- Fines and penalties;
- Interest expenses on loans; and
- Depreciation accrued on facilities or equipment purchased with Federal and/or State grants.

### Definitions of Terms Used on Operating Budget Worksheet

#### *Vehicle Operations*

**Driver salaries** - Includes all wages paid to drivers for the operation of passenger vehicles or the value of time spent driving.

**Dispatcher salaries** - Includes all wages paid to individuals responsible for the dispatching of passenger vehicles or the value of time spent dispatching.

**Fringe benefits** - Includes the cost of fringe benefits for drivers and dispatchers.

**Fuel and oil** - Includes the cost of gasoline, diesel fuel, engine oil and other lubricants.

**Tubes and tires** - Includes maintenance, purchase, and rental of tubes and tires.

**Vehicle insurance** - Includes the cost of vehicle and transportation related types of insurance.

**Vehicle lease** - Includes the cost of leasing vehicles used to transport passengers.

**Vehicle license** - Includes the cost of licensing and/or registering vehicles used to transport passengers and vehicles used to support operations.

**Vehicle storage** - Includes the costs of renting a facility to store passenger vehicles or project related equipment.

**Training** - Includes training costs for operations employees.

**Other** - Includes the cost of expenses not categorized above that contribute to the operation of your program. All items must be specified.

**Purchased Service** - These items must include the cost of any portion of service purchased from another.

### **Maintenance**

**Mechanic salaries** - Includes all wages paid to mechanics on staff or the value of their time.

**Fringe benefits** - Includes the cost of fringe benefits for mechanics on staff.

**Maintenance service** - Includes the cost of outside contracts for maintenance of passenger vehicles.

**Preventative Maintenance** - Includes monthly service and supplies to maintain the vehicle in state of good repair in order to reach the expected Useful Life of the vehicle.

**Materials & supplies** - Includes the cost of materials and supplies to maintain passenger vehicles and includes any materials and supplies not provided through a maintenance service contract.

**Maintenance facility** - Includes costs incurred by renting a facility in which vehicles are maintained by staff mechanics.

**Equipment rental** - Includes costs of renting maintenance equipment and includes any equipment rental costs not provided through a maintenance service contract.

**Utilities** - Includes all utility costs for maintenance facilities. If maintenance facilities are not metered separately, all utility costs should be included in the Administration utilities costs.

**Training** - Includes training costs for maintenance employees.

**Other** - Includes other maintenance costs not categorized above that contribute to the operation of your transportation program. All items must be specified.

### **Administration**

**Administrator salary** - Includes all wages paid to the administrator of the agency for time allotted to the transportation programs or the value of their time spent on transportation-type administrative duties.

**Manager salary** - Includes all wages paid to the manager of the transportation program for time allotted to the transportation programs or the value of their time spent on transportation management duties.

**Secretary salary** - Includes all wages paid for secretarial/clerical support for the duties.

**Bookkeeper salary** - Includes all wages paid for bookkeeping support for the transportation programs or the value of time spent on bookkeeping duties.

**Other staff** - Includes all wages paid to other staff not categorized above supporting the transportation programs or the value of their time. Other staff must be itemized.

**Fringe benefits** - Includes the cost of fringe benefits for the staff included in the salary categories listed above.

**Materials & supplies** - Includes all the cost of office materials and supplies.

**Telephone** - Includes all telephone rental, purchase, and installation costs.

**Office rental** - Includes the cost of renting office space for the transportation program.

**Utilities** - Includes all utility costs for the administrative offices or for all facilities if they are not metered separately that are attributed to the space allocated to transportation.

**Office equipment** - Includes the cost of renting office equipment for the use of the transportation program or a proportionate amount.

**Training** - Includes training costs for administrative employees.

**Other** - Includes other administrative costs not categorized above that contribute to the operation of your transportation program. All items must be specified.

### **Revenue**

List all revenues received by the project which cannot be included as the local match.

**Passenger fares** - Revenue collected from those passengers that are required to pay an established fare for transportation services.

**Passenger donations** - Revenue collected from those passengers that make a suggested donation/contribution for transportation services.

**Charter Revenue** - Revenues earned from vehicles chartered for private use on individual trips (charter use is limited to incidental charter services which are private).

**Contracts** - Revenues earned from special services on a continuing contract basis. Revenues derived from purchase of transportation passenger service contracts may be treated as contract revenue to the system if payments are made directly to the transportation operator by a human service agency.

**Advertising** - Amounts earned from advertising on vehicles or facilities.

**Other** - Revenues earned from transportation of mail, newspapers, and other miscellaneous revenue attributable to operations. Non-passenger transportation is allowed only if passengers are not displaced to provide these services.

### **Net Project Cost**

This amount represents the difference between total operating expenses and revenues and is the amount of eligible expenses to be covered by local and Federal/State shares.

### **Local Share**

The local share includes all local funds contributed to meet the net project cost.

### **Funds Requested**

This is the amount of Federal/State funds requested and cannot exceed allowable percent of the net project cost.

## APPENDIX C: VEHICLE USEFUL LIFE CRITERIA

### Minimum Useful-Life Standards

To ensure that vehicles are adequately maintained and remain in service for their normal service-life, the MDOT MTA has established minimum useful-life standards for vehicles funded with State or Federal funds. These standards apply to all vehicles purchased with Sections 5307, former 5309, 5310, 5311, former 5316, former 5317, 5339, American Disabilities Act (ADA), or Statewide Special Transportation Assistance Program (SSTAP) funds, and to all vehicles that will be replaced with vehicles funded from these programs, regardless of the initial funding source.

Service-life begins on the date the vehicle was placed in service and continues until it is removed from service (Note: This information must be contained in your vehicle maintenance program). The FTA and MDOT MTA require tracking of vehicle useful-life by either years of active service or mileage, whichever comes first.

<b>Classification</b>	<b>Years</b>	<b>Miles</b>	<b>Length</b>
Revenue Specialized Vehicles (Accessible Minivans, Vans, Accessible Taxicabs & Sedans)	4	100,000	N/A
Light Duty Bus	5	150,000	25' - 35'
Medium Duty Bus	7	200,000	25' - 35'
Heavy Duty Bus-Medium Size	10	350,000	30' - 35'
Heavy Duty Bus-Large Size	12	500,000	Over 35'
Non-Revenue Specialized/ Fleet Support Vehicles (Pick-Up Trucks, Utility Vehicles & Sedans)	10	200,000	N/A

If there is ever a question about what a certain vehicle's classification might be the Altoona Test used for that vehicle is always the substantiating documentation as to its classification. FTA Altoona Bus Test Reports can be found at <http://altoonabustest.psu.edu/test-reports.htm>. Additional requirements related to the Altoona Test are contained in Chapter 4.

Although a minimum standard for useful-life is provided, additional information about the condition of the vehicle is necessary for all replacement requests. Vehicles will not be replaced based solely on age and accumulated mileage. Therefore, details such as repair records or estimated repair costs must be provided to the MDOT MTA with the replacement request.

Below is minimum information that is requested to submit for a replacement vehicle. Use forms provided in the applications.

- Fleet Vehicle Number,
- Present Mileage,
- Vehicle Identification Number and delivery date (if the vehicle to be replaced was purchased under a previous Section 5307, 5309, 5310, 5311, 5316, 5317, 5339, ADA, LU, or SSTAP grant),
- A description of the condition of the vehicle to be replaced, including the reasons for replacing the vehicle at this time, and
- An indication of how the vehicle will be disposed of (sell, salvage, or used as backup or other). **NOTE:** any insurance proceeds received for this vehicle will be deducted from MDOT MTA's state and federal portion of the eligible cost of a replacement vehicle.

### **Replacement Prior to Meeting Minimum Useful-Life Criteria**

If a replacement vehicle is being requested for a vehicle which **has not or will not** meet the established Useful-Life criteria, the applicant must describe the circumstances necessitating the replacement of the vehicle. The applicant would need to complete the information above, in addition to providing the following information:

- A list of any repairs that will be required to keep the vehicle in service, and an estimated cost of each repair,
- A description and cost of repairs made to the vehicle to date (attach the repair and preventive maintenance records, if available).

FTA classifies this as early asset replacement.



## APPENDIX D: Example of a Letter to Submit in the Event that No Public Hearing was Conducted

Date

*(name of your regional planner)*  
Office of Local Transit Support  
Maryland Transit Administration  
6 St. Paul Street  
8<sup>th</sup> Floor  
Baltimore MD 21202-1614

Dear \_\_\_\_\_:

This letter serves to confirm that:

- \_\_\_\_\_ *(Name of Applicant)* \_\_\_\_\_ afforded an opportunity for a public hearing on the FY2022 Annual Transportation Plan program of projects (POP) and budget. This notice was published in \_\_\_\_\_ *(name of newspaper)* \_\_\_\_\_ on \_\_\_\_\_ *(date)* \_\_\_\_\_, with the proposed public hearing to be held on \_\_\_\_\_ *(date)* \_\_\_\_\_ if any requests were received by \_\_\_\_\_ *(date)* \_\_\_\_\_ (see attached copy of ad).
- No requests to hold the public hearing were received by the due date.
- Written comments received during the 30-day public comment period are attached. These comments were addressed in the manner described as follows: \_\_\_\_\_ *(describe)* \_\_\_\_\_ *(Delete this paragraph if no written comments were received.)*
- No written comments on the POP or budget were received from the public. *(Delete this sentence if written public comments were received)*

As a result, the program of projects in the FY2022 Annual Transportation Plan is finalized as submitted.

Sincerely,

*Signature of authorized official*

## APPENDIX E: Example of a Letter of Notification to be Sent to Private Operators

Date

Company Name  
Address

Subject: Annual Transportation Plan for FY 2022

Salutation:

\_\_\_\_\_ is submitting an application for grant funds from the Maryland Department of Transportation and the Federal Transit Administration. This letter is to notify you about \_\_\_\_\_'s application, our Annual Transportation Plan (ATP), and to solicit your comments on the proposed plan.

\_\_\_\_\_ is a public transit system that provides transportation services for \_\_\_ (*service area*) \_\_\_ residents, including elderly persons and persons with disabilities, as well as the general public. \_\_\_\_\_ is applying for grant funding to continue to operate these public and specialized transportation services.

The ATP contains requests for funding assistance from the following programs:  
***(include those that apply to your application)***

- the Statewide Special Transportation Assistance Program (SSTAP) which provides funds for transportation of elderly persons and persons with disabilities;
- the Section 5311 of the Federal Transit Act which provides funds for general public transit service in rural areas;
- the Section 5307 of the Federal Transit Act which provides funds for general public transit service in urbanized areas;
- the Maryland Comprehensive Transit Plan (MT) program which provides funds for public transit services;
- the State Americans with Disabilities Act (ADA) program which provides funds for federally-required paratransit services for persons with disabilities; and
- also included in our request, Federal and State capital funding assistance is being requested for the following items: ***(list each item identified on form C1 of the application)***

The details of how these funds will be used are documented in the \_\_\_\_\_ Annual Transportation Plan for FY 2022, which will be available for review beginning \_\_\_(*date*)\_\_\_, at \_\_\_(*location*)\_\_\_ between the hours of \_\_\_ a.m. and \_\_\_ p.m. Monday through Friday. Written comments on this plan may be submitted through \_\_\_(*date*)\_\_\_ to \_\_\_ (*name/ mailing address*) \_\_\_.

***(Depending on whether you have a public hearing or an opportunity for a public hearing, the closing paragraph should be one of the following two options.)***

*(if Public Hearing:)*

A public hearing on this plan will be conducted at \_\_\_(time)\_\_\_, on \_\_\_(date)\_\_\_, at \_\_\_(location)\_\_\_ . Should anyone attending the meeting require special assistance, such as a sign language interpreter, notify \_\_\_\_\_ at \_\_\_\_\_ no later than \_\_\_(date)\_\_\_.

*(if Opportunity for Public Hearing:)*

A public hearing will be held only upon request. Any person desiring a public hearing must submit a written request to \_\_\_\_\_ at \_\_\_\_\_ no later than \_\_\_(time)\_\_\_, on \_\_\_(date)\_\_\_ . Should a public hearing be requested, it will be held at \_\_\_(time)\_\_\_, on \_\_\_(date)\_\_\_, at \_\_\_(location)\_\_\_ . Even if you do not request a public hearing, you are welcome to submit your written comments for consideration.

If you should need any additional information on our service proposal, please contact \_\_\_\_\_ at \_\_\_\_\_.

Sincerely,

*Signature of LOTS Director*

cc: *your MDOT MTA Regional Planner*

## APPENDIX F: Definitions

**Associated Transit Improvements (ATI)** – This type of improvement was previously referred to as “transit enhancements.” An ATI is a project “designed to enhance public transportation service or use and that is physically or functionally related to transit facilities.”

**Fatalities** – Anyone who dies associated with transit revenue operations

**Injuries** – Anyone who requires immediate medical transportation away from the scene associated with transit revenue operations

**Reportable Incident**

- Any event resulting in one or more fatalities
- Any event resulting in one or more injuries
- Any event resulting in total property damage of \$25,000 or more

# APPENDIX G: EXAMPLE OF INDEPENDENT COST ESTIMATE (ICE) FORM

**Project Name:** Maintenance Shop Refurbishment

**Date:** 6/25/13

**Project Description:**

The existing maintenance garage has a small ramp leading up to the garage doors and the individual bay entrances. Over the years of use there has been a degradation of the ramp creating sinkholes that cause occasional "bottoming out" of the buses as they enter the garage. Refurbishment of the garage entrance would create a smoother transition as buses enter and exit the garage. The project would involve the design build of the new ramp and new shop doors.

**Requestor:**

**Phone #:**

**Email:**

**Date of Estimate:** 6/25/13

**Estimate:** \$44,591

**Method of Obtaining Estimate (check appropriate section and attached any supporting data):**

- Obtained estimate from: online sources
- Published List Price:
- Past Pricing (date):
- Engineering or Technical Estimate
- Independent Third-Party Estimate
- Other (specify):

**Additional Comments:**

With short notice and without an RFP available we were unable to get any estimates from contractors for design/installation of a concrete apron for the maintenance facility. Estimates based on the current cost of concrete were generated based on the approximate square footage of the required apron. In addition, researched costs for garage doors were sourced.

Item	Quantity	Low	High
<p><b>Pad Cost</b> Non-discounted retail cost for common, mid-grade pad. Quantity includes typical installation waste, fabrication overage, material for future repairs and delivery within 25 miles</p>	2563 square feet	\$3,426.72	\$3,818.88
<p><b>Pad Labor</b> Direct labor expenses to install concrete pad.</p>	75.8 hours	\$3,996.00	\$4,185.23

<b>Pad Job Materials and Supplies</b>	2400	\$474.72	\$514.08
Cost of supplies that may be required to install concrete pad including: reinforcing materials, isolation materials, cleaning and chemical release agents .	square feet		
<b>Pad Equipment Allowance</b>		\$60.00	\$106.50
Job related costs of specialty equipment used for job quality and efficiency, including: 48" bull float, reinforcing bar cutters, 5+ cubic foot mortar mixing box with mortar hoe.			
<b>Totals - Cost to Install Concrete Pad</b>	<b>2500</b>	<b>\$7,957.44</b>	<b>\$8,624.69</b>
	square feet		
	<b>Average</b>	<b>\$3.32</b>	<b>\$3.59</b>
	cost per sq ft		

The cost estimate **includes:**

- Costs for local material / equipment delivery to and service provider transportation to and from the job site.
- Costs to prepare the worksite for Concrete Pad Installation, including costs to protect existing structure(s), finishes, materials, and components.
- Costs for job cleanup and debris removal at project completion.
- Labor setup time, mobilization time and minimum hourly charges that are commonly included for small Concrete Pad Installation jobs.

The cost estimate does **not include:**

- General contractor fees for organizing and supervising the Concrete Pad Installation. Add 20% to the total cost above if a general contractor will supervise this project.

= \$1750

- Sales tax on materials and supplies.

= \$520

- Permit or inspection fees (or portion thereof) required by your local building department for your overall project.

= no charge

- Preparation of existing ground
  - = Direct labor expenses to install concrete pad = \$4,000 (75 hours)
  - = Job related costs of specialty equipment = \$250
- Design of new driveway (engineering and architectural)
  - = \$5,000

Work Estimate	= \$20,144.69
Contingency (20%)	= \$4,030
Profit (10%)	= \$2,417
Total	= \$26,591

**Garage Door Costs (From the US Dept of Energy)**

While there is no code requirement to use rubber roll-up doors on maintenance facilities, we recommend this type of door, equipped with breakaway rails. Roll-up doors (like the door at the contractor pickup area at Home Depot) are typically more reliable and energy efficient than sectional doors (like a typical residential garage door). Since they open and close more quickly and reliably than conventional sectional doors, rubber roll-up doors will keep more heat in the building during periods of heavy bus entry/exit traffic. We recommend that these roll-up doors be equipped to automatically open (quickly) in the unlikely event of a gas leak, to assist in providing ventilation to the building--door openers would be equipped with a provision for remote opening and closing at some future date, and door motors and switches would be ordered as sealed units. High Speed roll-up doors are commonly used on maintenance garages—Marathon has reviewed this application with a high quality industrial door manufacturer and determined that the upgrade cost applicable to a Fuel Flexible facility (to make switches safe for a gas environment) would be approximately \$5000 per door. The door itself is the same regardless of fuel type so there is no cost difference in the door.

Estimate for H Speed	= \$15,000
Installation (20% of cost)	= \$3,000

# APPENDIX G: EXAMPLE OF INDEPENDENT COST ESTIMATE (ICE) FORM

CAPITAL ITEM PRIORITY NUMBER: \_\_\_\_\_

DATE OF ESTIMATE: \_\_\_\_\_

Description of Goods/Services: \_\_\_\_\_

Method of obtaining the estimate:

Published Price List:

Past Pricing:

Engineering or technical estimate:

Independent third party estimate:

Other:

Cost Estimate Details:

### COST OF STANDARD ITEM

PRODUCT	COST EACH	EXTENDED COST	DELIVERED	NO FREIGHT	NOTES/DATA SOURCE	

### COST OF SERVICES/REPAIRS/OR NON-STANDARD ITEMS

ITEM/TASK

	DIRECT	OTHER	LABOR	LABOR	ALLOCATED			
MATERIALS	COSTS	COSTS	RATE/HOURS	CLASS	OVERHEAD	SG&A	PROFIT	TOTAL