

**Federal Transit Administration Enhanced Mobility of Seniors and
Individuals with Disabilities Program (49 U.S.C 5310)**
Program Management Plan

Prepared by:

Planning and Development Department

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Section 1 - Introduction

The Spokane Transit Authority (STA) Program Management Plan (PMP) includes policies and procedures used to administer the Federal Transit Administration's (FTA) Enhanced Mobility of Seniors and Individuals with Disabilities Program (49 U.S.C 5310) - hereby referred to as the Section 5310 Program. Developed in accordance with FTA Circular C 9070.1G (July 7, 2014), the PMP was developed to help ensure that STA, as a designated recipient of Section 5310 funds, is administering Section 5310 in compliance with applicable federal statutes and regulations, including those activities undertaken by eligible subrecipients.

Purpose and Content of the PMP

The PMP includes procedures for administering and managing Section 5310 funds. At a minimum, the PMP must include a recipient's program objectives, policies, procedures, and administrative requirements, in a form readily accessible to potential subrecipients, recipient staff, FTA, and the public (C9070.1G Pg. VII-1).

PMP Annual Review Process

The PMP is reviewed on an annual basis. Minor updates to the plan will be submitted to FTA for approval, if needed. If substantial changes are required, STA will post the draft plan on its website and send a copy to interested parties (service providers, SRTC, WSDOT, and local jurisdictions) for a thirty-day comment period. Any comments received will be tracked and documented in the attachments of the final draft (**ATTACHMENT X**). The document will then be submitted to the FTA for comment and any comments received will be address in the attachments. The document will then return to FTA for final approval. STA will send notification of the approval and the plan to interested parties, will be posted on STA's website, and submitted to FTA. (C9070.1G Pg. VII-4) Substantial updates to the PMP include single changes to the Program of Projects (POP) that exceed 20% of the affected project and is inconsistent with the local Coordinated Human Service Plan from which the projects were selected (C9070.1G Pg. IV-3).

The 2020 Program Management Plan (PMP) was updated for the 2021 and 2022 Call for Projects. These revisions include additional language for the unique circumstance of 100% federal match, for a revised Call for Projects, for Title VI Plan requirements, for revised application scoring criteria, for returned funds, and for awarding funds. Revisions to the PMP are administrative changes to application requirements and updated program documents. Administrative changes are minor and do not warrant FTA approval.

Background and Program Goal

The Section 5310 grant program was established in 1975. The program started as a discretionary capital assistance program to award grants to private non-profit organizations that serve the transportation needs for the elderly and persons with disabilities, in cases where public transit was unavailable, insufficient, or inappropriate. With the passage of the Intermodal Surface Transportation Efficiency Act (ISTEA) in 1991, funding for the 5310 Program was doubled and it became a statutory requirement to distribute funds by formula. Under ISTEA, public agencies also became eligible for funding in limited circumstances. No major program changes were made on the Transportation Equity Act for the 21st Century (TEA-21) that passed in 1998, but under the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), passed in 2005, a requirement that projects must be derived from a locally developed, Coordinated Public Transit – Human Services Plan (Coordinated Plan) was put in

place. In 2012, passage of the Moving Ahead for Progress in the 21st Century (MAP-21) Act brought about significant program changes. With the passage of MAP-21, the New Freedom program (Section 5317) was repealed and combined with the Federal Transit Administration's (FTA) Section 5310 Transportation for the Elderly and Disabled Grant Program to create the new Enhanced Mobility of Seniors and Individuals with Disabilities Program. As a result of the change, activities previously eligible for New Freedom funding are now eligible for 5310 funding. Funds are now apportioned to large urban areas, small urban areas, and rural areas instead of solely to the states. MAP-21 required that not less than 55% of a recipient's apportionment be used for traditional 5310 projects. The FAST Act is the Department of Transportation's current funding legislation signed into law on December 4, 2015. The FAST Act carries over the changes implemented under MAP-21.

Local Goals and Strategies

Originally adopted by the STA Board of Directors on July 21, 2010, and most recently revised in 2019, STA's Comprehensive Plan, *Connect Spokane*, set forth a vision and policy framework to guide decisions made by its Board of Directors, staff, and partnering agencies for the next 30 years by means of coordinated regional planning efforts. *Connect Spokane* will be updated in two phases in 2022 and 2023. Phase I informs strategic planning efforts and was adopted by STA's Board of Directors in May 2022. Phase II will contain elements that will be influenced by the strategic planning efforts currently taking place, and updates will begin in 2023. Any further updates to *Connect Spokane* that impact the coordinated regional planning efforts will be updated in this PMP when available.

STA is actively involved with Spokane Regional Transportation Council (SRTC) in the local transportation planning process leading to the adoption and implementation of the Spokane County Public Transit-Human Services Transportation Plan (HSTP). The HSTP is required by state and federal agencies to demonstrate that appropriate coordination has occurred to develop regional programs and strategies which enhance transportation access, minimize duplication of services, and implement the most cost-effective transportation services using available resources. This planning process includes outreach to seniors and people with disabilities. The following HSTP strategies guide Section 5310 funding criteria:

- Maintain existing transportation services.
- Encourage service provider and public coordination.
- Educate the public on STA's transit network by offering travel training programs and providing educational materials.
- Integrate subrecipient transportation services with Spokane Transit services.
- Strive to meet the necessities of special needs groups.
- Enhance the rider experience by upgrading facilities including providing new buses, vans, and wheelchair lifts.
- Implement new technologies to help make transportation operations more efficient, safe, and attractive; and
- Encourage new and expanded service to meet unmet transportation needs.

The HSTP is required to be updated every four years and STA will partner with SRTC to update the plan. The HSTP is scheduled to be updated and approved by the SRTC Board in November 2022. Any revisions identified in the outreach and needs assessment that impact the strategies used to guide Section 5310

funding criteria will be updated in this PMP for the 2023 Call for Projects. (For details on the specific regional strategies, the *Spokane County Public Transit-Human Services Transportation Plan* can be found at: <https://www.srtc.org/human-services-transportation-plan/>)

Section 2 - Roles and Responsibilities

STA is the regional public transportation agency for the Greater Spokane Area and serves the jurisdictions of Airway Heights, Cheney, Liberty Lake, Medical Lake, Millwood, Spokane, Spokane Valley, and unincorporated areas within Spokane County, which are within the Spokane County Public Transportation Benefit Area (PTBA). The cities of Cheney and Medical Lake, along with some unincorporated portions of Spokane County included in the PTBA, are outside the Spokane urbanized area (UZA)— please refer to map located in **ATTACHMENT A**.

STA's Responsibilities as a Designated Recipient

In December 2012, the Spokane Transit Authority (STA) was appointed by the Governor of the State of Washington to be the designated recipient of Section 5310 funds for the Spokane UZA (**ATTACHMENT B**). As the designated recipient for FTA funds, STA is responsible for developing the Program of Projects (POP) for apportioned FTA funds in the Spokane UZA, in a manner that is consistent with the requirements of the United States Code of Federal Regulations.

At STA's discretion, the agency may choose to conduct a public Call for Projects for federal funds apportioned to the Spokane UZA. The agency is responsible for submitting a Program of Projects (POP) to SRTC for inclusion in the Transportation Improvement Program (TIP). STA will utilize a Public Participation Process that complies with 49 USC 5307(b) when developing the POP.

STA's Responsibilities for 5310 Program Management

As a Section 5310 designated recipient, Spokane Transit Authority (STA) will:

- Develop a Program Management Plan (this document) to define local policies and procedures for the administration of the local Section 5310 Program.
- Develop a project scoring and/or selection criterion.
- Notify eligible subrecipients of project funding availability.
- Solicit applications from potential subrecipients.
- Determine applicant and project eligibility.
- Certify fair and equitable allocation of funds to subrecipients.
- Develop and submit an annual Program of Projects to the FTA.
- Review federal compliance of subrecipients.
- Provide grant management and oversight.
- Ensure at least 55% of Sections 5310 funds allocated to STA are spent on traditional 5310 projects by eligible subrecipients, where applicable.
- Certify that all projects are derived from a locally developed coordinated public transit-human services transportation plan.
- Certify that, to the maximum extent possible, services under Section 5310 are coordinated with

transportation services from other federal departments and agencies.

- Submit reports as required by the FTA.
- Oversee project audit and closeout.

Responsibilities of 5310 Subrecipients

Subrecipients who receive funds from any federal transportation grant program must follow the OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (2 CFR Part 200).

Role of Spokane Regional Transportation Council

The Spokane Regional Transportation Council (SRTC) is the federal-recognized metropolitan planning organization (MPO) and the state Regional Transportation Planning Organization (RTPO) for Spokane County.

SRTC is tasked with managing and updating the *Spokane County Public Transit-Human Services Transportation Plan* (HSTP). SRTC may assist with the evaluation and scoring of Section 5310 project applications. SRTC is also responsible for preparing, adopting and amending the TIP.

Regional Coordination

Spokane Transit Authority (STA) partners with Spokane Regional Transportation Council (SRTC) on regional planning efforts, including the development of the *Spokane County Coordinated Public Transit-Human Services Transportation Plan* (HSTP). STA does not intend to duplicate the planning and outreach processes of the HSTP; and will assist in implementation of HSTP goals and strategies which include management of the Section 5310 program.

Section 3 - Local Share and Funding Requirements

Spokane Transit Authority (STA) follows federal guidelines in determining the local matching share for Section 5310 projects.

The maximum federal match for eligible capital costs is currently 80 percent of the total cost with a minimum local match requirement of 20 percent. Operating projects require a 50 percent minimum local match. Subrecipients must provide documentation detailing the source and the amount of the local match to STA. STA may contribute local match to reduce or remove the local match responsibility of the awarded agency. STA may also use up to 10 percent of the total annual appropriation for administrative costs with no local match requirement.

Exceptions

Local Share exceptions for projects that are subject to federal Americans with Disabilities Act of 1990 (ADA) or Clean Air Act (CAA) regulations are as follows:

1. Vehicle Acquisition: For purposes of complying with or maintaining compliance with ADA (42 USC 12101 *et seq.*) or the CAA, the federal share is 85 percent. A revenue vehicle that complies with 49 CFR 38 may also be funded at 85 percent federal share.

2. Vehicle-Related Equipment and Facilities: For purposes of complying or maintaining compliance with the CAA (42 USC 7401 *et seq.*) and/or the ADA, the federal share is 90 percent (this includes clean fuel or alternative fuel vehicle-related equipment or facilities). FTA considers vehicle-related equipment to be equipment on and attached to the vehicle (C9070.1G pg. III-17).

Types of Local Match

The local share may include undistributed cash surplus, a replacement or depreciation cash fund or reserve, a service agreement with a state agency, local agency, or private social service organization, or new capital. Some examples include state or local appropriations, dedicated tax revenues, private donations, and revenue from service contracts. Income from contracts to provide human service transportation may be used either to reduce the net project cost (treated as revenue) or to provide local match for Section 5310 operating assistance.

Non-cash share, such as donations, volunteered services, or in-kind contributions, are eligible to be counted toward the local match if:

1. The value of each non-cash share is documented and supported.
2. The non-cash share represents a cost which would otherwise be eligible under the program; and
3. The non-cash share is included in the net project costs in the project budget.

In-kind match is only available for projects that do not purchase capital items. For example, in-kind match is not eligible to meet the 20% local match requirement for a vehicle purchase. Federal funds may not be used for the local match. Subrecipients are encouraged to consult with STA on match requirements during the application process.

Project Geographic Area

Eligible subrecipient transportation services projects must start or end services within the STA Public Transportation Benefit Area (PTBA) and the Spokane Urbanized Area (UZA). Populations outside the UZA may be considered for funding, wholly or in part, provided that the project can demonstrate that most beneficiaries reside and/or the majority of trips are operated within the Spokane UZA.

Section 4 - Eligible Subrecipients and Activities

The following entities are eligible to receive funds for “Traditional” Section 5310 projects:

- Private nonprofit organizations (with a tax-exempt status from the Internal Revenue Service) that are currently registered with the State of Washington.
- A local government agency, district, or jurisdiction.
- STA as described in Section 5- Annual Funding Distribution (below).

The following entities are eligible to receive funding for “Other” Section 5310 projects:

- Local government agencies, districts, or jurisdictions.
- Private nonprofit organizations.

- An operator of public transportation that receives a Section 5310 grant indirectly through a recipient.

Private transportation operators, such as taxi companies, are eligible recipients for Section 5310 funds if they provide “shared-ride transportation services” as opposed to exclusive-ride services. *“Shared ride” is defined as two or more passengers in the same vehicle who are otherwise not travelling together.* The general nature of the project must be shared-ride services to be considered eligible.

Taxi companies that provide exclusive-ride service are not eligible subrecipients by themselves. However, they may participate in the Section 5310 program as contractors. Exclusive-ride transportation providers may receive Section 5310 funds to purchase accessible vehicles under contract with the state, designated recipient, or an eligible subrecipient (C9070.1G Pg. III-5).

Eligible Activities

Certain capital and operating projects are eligible to receive funding through the Section 5310 program within two funding categories: “Traditional” 5310 projects and “Other” 5310 projects. A minimum of 55% of the total 5310 Spokane Transit Authority (STA) appropriation must be reserved for “Traditional” 5310 projects with a maximum of 45% of total allocated 5310 funds allocated to “Other” 5310 projects.

Projects must clearly indicate whether they are applying as a “Traditional” 5310 project or “Other” 5310 project (even though projects may be eligible under both funding categories). STA will ensure that 55% of the total allocated funds are spent on “Traditional” 5310 projects.

Traditional 5310 Projects

“Traditional” 5310 projects are defined as public transportation capital projects that are designed to meet the special needs of seniors and individuals with disabilities. Eligible projects must meet the definition of a capital project, as defined in 49 USC 5302 (link: <http://www.gpo.gov/fdsys/pkg/USCODE-2013-title49/pdf/USCODE-2013-title49-subtitleIII-chap53-sec5302.pdf>), and be carried out by eligible subrecipients. In addition, subrecipients must be able to prove that the project will primarily benefit seniors and persons with disabilities.

Traditional 5310 Projects include, but are not limited to:

- Vehicle purchases and preventive maintenance on purchased vehicles, including equipment/parts needed to support the vehicle.
- Passenger amenity purchases including the installation of benches, shelters, and other passenger amenities.
- Support facilities and equipment such as extended warranties, dispatch systems and other computer hardware and software.
- Acquisition of transportation services under contract by an eligible subrecipient including transportation projects that provide demand response service to seniors and people with disabilities.
- Mobility management and coordination programs.
- Additional traditional projects are as authorized by FTA Circular 9070.1G.; and

- Other capital expenses as defined in 49 USC 5302.

If STA certifies that there are insufficient funding requests to meet the 55% minimum threshold for “Traditional” 5310 projects, then STA may choose to allocate funding to paratransit van purchases and/or other projects to satisfy this requirement.

Other 5310 Projects

“Other” 5310 projects are defined as capital or operating projects that exceed ADA requirements, decrease individuals’ dependence on complementary paratransit services, or provide alternatives to public transportation to seniors and people with disabilities. A maximum of 45% of STA’s 5310 annual appropriation can be allocated to “Other” projects. These projects must be targeted toward meeting the transportation needs of seniors and individuals with disabilities, although they may be used by the general public. Subrecipients must prove that the project will primarily benefit seniors and persons with disabilities in their application(s).

“Other” 5310 Projects include:

- Accessibility improvements to transit and intermodal stations including building an accessible path, ramps, improving wayfinding measures and other technology improvements to enhance accessibility.
- Support for driver programs that transport seniors and people with disabilities.
- Travel training programs that educate riders on the fixed route system.
- Alternatives to public transportation (accessible taxi, ridesharing, and/or vanpooling programs, administration and expenses related to voucher programs, and support for volunteer driver and aide programs).
- Additional projects as authorized by FTA Circular 9070.1G.

Section 5 - Annual Funding Distribution

Program of Projects

STA will determine whether to issue a public call for 5310 projects (RFP) based on current funding priorities. When projects are selected for Section 5310 funding, they will be included in the annual Program of Projects (POP) report – which also includes current, active projects. The POP Status Report is submitted to the Federal Transit Administration (FTA).

STA develops an annual Transit Development Plan (TDP) that contains the Annual Report, Service Improvement Program and Capital Improvement Program. The TDP Capital Improvement Program includes a description of the selected Section 5310 projects in each funding category (“Traditional” or “Other”). The TDP is submitted to the Washington State Department of Transportation (WSDOT) and the Spokane Regional Transportation Council (SRTC) annually.

Spokane Transit coordinates with Spokane Regional Transportation Council (SRTC) to place federally funded projects in the State Transportation Improvement Plan (STIP). Outreach efforts for STIP adoption

include a public hearing and notification to public agencies and interested parties. The STIP public outreach process serves as one component of the POP public notification process.

The following chart illustrates the Call for Section 5310 Project Application process. *(This is subject to change based on when funds become available and staffing resources).*

Month(s)	Typical Call for Section 5310 Projects Application Timeline
Jan-Mar	Federal Register with Annual 5310 Allocations announced
Apr	STA issues Call for Section 5310 Project Applications— 30 days
Apr	Section 5310 Informational Meeting for Eligible Applicants
May	Close Application Period
May-Jun	Evaluate and Score Project Applications
Jun	Notify submitted applicants of grant requirements
Jul	Present Recommended List of Projects to Receive 5310 Funding to STA Board of Directors and Committees
Aug	STA Board makes final decision on awarding funds
Aug	Begin process of awarding funds to subrecipients
Dec	Publish 5310 Program of Projects and submit to FTA

Spokane Transit Authority (STA) provides a competitive selection process to distribute Section 5310 funds fairly and equitably within the Spokane UZA. Projects are selected based upon the ability to meet the regional transportation needs listed within the Coordinated Public Transit- Human Services Transportation Plan (HSTP) (link: https://www.srtc.org/wp-content/uploads/2018/11/Final-2018-CPT-HSTP_Board-Approved_110818.pdf).

Call for Projects

If STA decides to issue a public call for projects, STA will verify the Section 5310 apportionment in the Federal register. The Call for Projects will include a public notification of the availability of funds. A description of how and when projects will be selected, including scoring criteria, will be included in the application and notification materials as follows:

1. STA will draft a public notice of funding opportunity for eligible applicants to be posted on STA's Section 5310 webpage at <https://www.spokanetransit.com/about-sta/section-5310-program>, in the local newspaper, and on Spokane Regional Transportation Council's website, along with the grant application.
2. Letters or emails of the public notice and the grant application will be sent to interested parties

and potential applicants.

3. The public notice will be posted at least 30 days before the application deadline. In the case of a revised call for projects, the timeline may be expedited.
4. Prior to the application deadline, STA will host an informational meeting for potential applicants to answer questions about the program. Application materials will also be posted on STA's website (**ATTACHMENT C**).

STA will provide technical assistance to applicants, as needed.

Private Sector Participation

An updated list of nonprofits and private providers of transportation that qualify as eligible Section 5310 subrecipients will be maintained by the Spokane Transit Authority (STA). STA will send a Notice of Section 5310 Funds Availability to all parties on this list. These organizations will have the opportunity to apply for project funding during the Call for Projects process. To encourage maximum private sector participation, STA will also hold an informational meeting during the Call for Projects process, to provide interested parties the opportunity to inquire about the Section 5310 program.

Application Requirements

A complete application (see template in **ATTACHMENT D**) must meet certain minimum requirements for the applicant to move on to scoring:

- Complete agency contact(s) information, project information, agency experience, and levels of service.
- Signed by an authorized individual from the agency (e.g., CEO or Board Member).
- Applicant is an eligible subrecipient for Section 5310 funds (as defined in Section 6).
- Certification that the project will primarily benefit seniors and/or individuals with disabilities.
- The project fits one or more goals/strategies of the Spokane County Coordinated Public Transit-Human Services Transportation Plan (HSTP).
- Non-profit status documentation (articles of incorporation and IRS tax I.D. letter).
- Letter from CEO certifying the source and amount of local share (matching) funds, when applicable.
- Independent audit report (or equivalent) with copies of any management letter(s).
- Signed Lobbying certification.
- Signed Suspension & Disbarment certification.
- Signed DBE certification, if applicable.
- Signed Buy America certification, if applicable.
- Budget Narrative Worksheet (**ATTACHMENT O**)
- Risk Assessment Questionnaire
- Policies and procedures
 - Accounting Policy/Cash Management (2 CFR 200.302)
 - Internal Controls (2 CFR 200.303)
 - Travel Policy (2 CFR 200.474)

- Procurement Policy (2 CFR 200.318)
- Compensation (2 CFR 200.430)
- Conflict of Interest Policy (2 CFR 200.112)
- Equipment and Inventory Records (2 CFR 200.313)
- Current cost allocation plan, if applicable (for operating funds).
- Current Title VI Plan or plan from agency to develop and submit a Title VI Plan, that meets federal requirements as determined by STA, within 90 days of the executed agreement.
- Logic Model (**ATTACHMENTS U, V**)

Applicants are encouraged to identify scaled funding options in case insufficient funding is available to fund a project at the full requested amount. If an applicant indicates that a project is scalable, the applicant must provide an appropriate minimum funding amount that will fund an eligible project that achieves the objectives of the program and meets all relevant program requirements. The applicant must provide a clear explanation of how the project budget would be affected by a reduced award. FTA may award a lesser amount regardless of whether a scalable option is provided.

APPLICATIONS SUBMITTED AFTER THE CALL FOR PROJECTS DEADLINE WILL NOT BE CONSIDERED.

Initial Application Eligibility Review

Applications submitted on or before the deadline will be reviewed for initial eligibility. Based on this review, STA may request additional information to include:

- Title VI Plan
 - If the subrecipient does not have a Title VI plan, the subrecipient must develop a timeline for the document to be drafted, reviewed, and approved by their Board of Directors (or equivalent) to STA at this time.
- Subrecipient Risk Assessment
 - Spokane Transit will assess the level of risk for each subrecipient to identify if additional monitoring (or contract) requirements need to be imposed on the subrecipient to ensure compliance. The risk assessment will consider factors as prescribed by OMB Guidance § 200.331, (**ATTACHMENT P, Q**)

Application Scoring

Project applications that meet the minimum criteria listed above will be evaluated by a committee comprised of representatives of STA, SRTC, and other pre-selected entity(ies) that do not have a conflict of interest. This committee will score the projects based on criteria listed below. (**ATTACHMENT T**).

- **Risk Assessment- 10 Points**
 - Agencies will complete an organizational risk assessment which will be used by the evaluation committee to help assess the organization's capacity to manage federal funds (**ATTACHMENT P, Q**).
- **Application Completeness- 10 points**
 - To what extent are agency responses included for each application questions? Are any items missing or needing more relevant information? (3 points)
 - What required attachments did the agency submit for review/approval? Were any items

- missing or lacking information? (2 points)
 - What population(s) will the project serve? (5 points)
- **Proposed Service Improvements- 25 points**
 - Does the proposed project provide a service that directly benefits seniors and/or persons with disabilities? (5 points)
 - What barriers will this project seek to overcome in providing transportation options to seniors and individuals with disabilities? (10 points)
 - Based on the methodology and/or information provided, will the project provide a significant benefit to seniors and individuals with disabilities? (10 points)
- **Regional Transportation Needs- 10 points**
 - What specific needs/strategies from the Spokane County Coordinated Public Transit-Human Services Transportation Plan (HSTP) will this project meet? (10 points)
- **Performance Measures- 20 points**
 - Does the proposed project increase or enhance the availability of transportation services for seniors and/or individuals with disabilities? (10 points)
 - What methodology will be used to gather data regarding one-way trips provided quarterly for seniors and individuals with disabilities? (10 points)
- **Management- 10 points**
 - What qualifications/experience does the management team describe? (5 points)
 - If submitting a capital project, how will the agency continue or sustain this project after expiration? (5 points)
- **Financials- 15 points**
 - What other funding sources have been committed to this project? (5 points)
 - Is this project contingent upon other funding commitments? Indicate, if applicable, any interrelated projects that are seeking funding, either through the current call for projects or other funding sources, that are necessary to implement the requested project? (5 points)
 - Is the project feasible to implement with less funds than requested? If so, what changes would be made to address a lower award amount than requested? (2 points)
 - Are line items in the budget table clearly described in the budget narrative, including the basis for each cost (cost estimates, quotes, actual data, etc.)? (3 points)

Awarding Funds

Once scoring is completed, STA planning staff will prepare a summary sheet for the STA Planning and Development (P&D) Committee to review. The P&D Committee will submit a recommendation to the full STA Board of Directors for approval. The STA Board of Directors will review and approve the award of projects to Section 5310 subrecipients. STA reserves the discretion to award less funding than requested based on scoring results and funding recommendations.

The approval process will include a public meeting/hearing which will give interested parties the opportunity to comment. The contracting process may take up to a month or more, depending on the availability of STA staff.

FTA Concurrence

If the Spokane Transit Authority (STA) does not receive sufficient applications for “Traditional” 5310 funding, STA will submit a certification letter to FTA stating there are not enough eligible “Traditional”

funding subrecipients. STA may then award funding to Spokane Transit “Traditional” capital projects. STA may also submit eligible projects under the “Other” funding category if applicable.

After the Call for Projects and project screening process has been completed, any remaining funds may be used by non-profits, local governments, and other public transportation providers for other 5310 capital or operating projects. These projects may include public transportation projects that exceed the requirements of Americans with Disabilities Act (ADA) Paratransit services but must be consistent with the needs and strategies outlined in the regional public transit-human services transportation plan (HSTP).

Section 6 - Agreement Development

Agreements

Once the STA Board approves and awards subrecipients with 5310 funds, subrecipients will receive an award letter. STA Planning staff will use the Budget Narrative Worksheet and Logic Model submitted with the application to draft a Budget Narrative and Scope of Work (SOW) for the subrecipient to review and approve. With FTA’s approval of the Section 5310 application, STA Planning staff will then begin working with the STA Contracts Compliance Specialist to draft an operating and/or capital agreement which will include the SOW. The subrecipient will approve and sign the agreement, which will then be presented to STA’s CEO for signature. The subrecipient will receive an executed copy of their agreement and STA will retain the original (**ATTACHMENT W**).

Pre-award Authority

Pre-award authority is given to subrecipients under specific and limited circumstances to incur costs for eligible projects before a grant is awarded by FTA. Below are requirements that apply to pre-award authority. (C9070.1G Pg. VIII-11)

1. Applicants must comply with all federal requirements, failure to do so will render a project ineligible for FTA financial assistance.
2. Reimbursement of pre-award costs is not guaranteed, and to be eligible for subsequent reimbursement, the project must have met all FTA statutory, procedural, and contractual requirements.
3. Pre-award funds are subject to the availability of funds and grant award.
4. Pre-award authority is triggered for certain projects when the agreement is approved by the Board and the following conditions are met:
 - a. STA has given approval for the subrecipient to use pre-award authority. Approval can be given through email to the subrecipient.
 - b. 5310 projects must be in the current annual STIP
 - c. 5310 apportionment must be published in Federal Register
 - d. The project must be categorically exempt as defined by FTA (mobility management and operating)
 - e. The subrecipient must be considered active under SAM and in goodstanding (not disbarred from federal grants)
 - f. Construction projects must have FTA environmental concurrence

5. FTA apportionment and Federal Register triggers pre-award authority for design and environmental work on the project

Subrecipients incur expenses under pre-award authority at their own risk. Although funds have been obligated to the project, there are certain federal and state requirements that are required to submit requests for reimbursement. Subrecipients will be responsible for any expenses incurred under pre-award authority that are not in compliance with the executed agreement.

Federal Funding Accountability & Transparency Act (FSRS)

FTA requires that recipients submit a report about each award over \$25,000 by the end of the month following the date of an executed agreement. Once STA submits an initial report, revisions can be made to add additional subawards or to change data previously submitted to reflect adjustments in subawards.

If STA allows a subrecipient to use pre-award authority, the deadline would be based on the date of the FTA obligation, since FSRS cannot accept subaward reports before the federal obligation is recorded in the system.

The required data elements in FSRS are:

- Name of entity receiving subaward Doing Business As (DBA) Name
- DUNS of the entity and its parent and DUNS+4 (is used to identify specific units within a larger entity)
- Amount of subaward
- Funding Agency
- Program Source
- Subaward number (Note: assigned by recipient)
- CFDA number (Note: The same CFDA associated with the FTA award)
- Place of performance (including congressional district)
- Total compensation and names of top five executives, if required (Note: Not typically required, with thresholds of \$25 million and 80 percent of total revenue coming from federal funds)
- Award title descriptive of the purpose of the funding action
- Location of the entity (including congressional district)
- Unique identifier of the entity and its parent

The amount that is to be reported for each subrecipient is the amount of the total subaward, not payments to date. Payment/drawdown information is not included in the data fields requested. (C9070.1G pg. VI-14)

Section 7 - Program Management

Spokane Transit Authority will develop and execute grant agreements with each subrecipient selected to receive funding from the Section 5310 program. The amount, type (capital, operating, or planning), and the period of performance (term) will be included. Any expenses incurred in excess of the budgeted amounts are the sole responsibility of the subrecipient and are not eligible for reimbursement.

Spokane Transit Authority will be responsible for processing all reports, plans, and certifications required by the Federal Transit Administration (FTA). The Assistant Transit Planner will oversee all aspects of grant management and sub-recipient compliance with federal requirements through regular review of invoices, reports, correspondence, and periodic site visits according to the Subrecipient Monitoring and Oversight Procedures (**ATTACHMENT E**) and Section 5310 Subrecipient Billing Standard Operating Procedures (**ATTACHMENT F**).

Procurement

Each recipient, including subrecipients, of FTA seeking Federal assistance to acquire property or services in support of its proposed project is required to certify (in accordance with 49 CFR part 18.36) that its procurement procedures will comply with all applicable Federal laws, regulations, and directives - except to the extent FTA has expressly approved otherwise, in writing. STA will directly facilitate all procurements for Section 5310 vehicles. A certification of compliance will be incorporated into the 5310 application and subrecipient agreement with the Spokane Transit Authority.

Financial Management

Spokane Transit Authority complies with all applicable standards set forth in 2 CFR 200 and guidance in the FTA "Grant Management Guidelines" FTA C 5010.1 (Circular 5010-1E – as revised on March 21, 2017) with regard to accounting records, internal controls, budget control, financial management systems, cost standards, financial reporting requirements, and annual audits. Subrecipients must agree to establish and maintain an accounting system that accurately tracks itemized project costs by line item.

Property Management

Subrecipients are responsible for all normal maintenance and upkeep on any vehicles or equipment purchased with Section 5310 funds. Vehicle and equipment use, and maintenance requirements are specified in the subrecipient agreement.

STA will maintain an inventory of all Section 5310 property purchased and will request periodic reports from subrecipients to keep this inventory current. STA staff may also perform site visits to inspect vehicles and equipment.

Vehicle Use

FTA encourages maximum use of vehicles funded under the Section 5310 programs. Vehicles are to be used first for program-related needs for which the grant is developed, and then to meet other transportation needs of other federal programs or project needs, if they do not interfere with the project activities originally funded. If any vehicles are to be removed from service prior to the end of its useful life, the subrecipient must notify Spokane Transit prior to doing so.

Useful Life

STA adheres to the vehicle useful life criteria that are detailed in the current FTA Circular 5010.1E, Grant Management Requirements.

Buses:

1. Large, heavy-duty transit buses including over-the-road buses (approximately 35' – 40' or larger including articulated buses):
At least 12 years of service or an accumulation of at least 500,000 miles.
2. Small size, heavy-duty transit buses:
At least 10 years or an accumulation of at least 350,000 miles.
3. Medium-size, medium-duty transit buses:
At least seven years or an accumulation of at least 200,000 miles.
4. Medium-size, light-duty transit buses:
At least five years or an accumulation of at least 150,000 miles.

Light Duty Vehicles (Vans)

Other light-duty vehicles used as equipment and to transport passengers (revenue service), such as regular and specialized vans, sedans, and light-duty buses including all bus models exempt from testing in the current 49 CFR part 665 have a useful service life of at least four years or an accumulation of at least 100,000 miles, whichever comes first. (C5010.1E Pg. IV- 25)

Vehicle Title

STA will have continuing control over the vehicles and accepts the responsibility of ensuring that the subrecipient will continue to use the vehicle for a public transit benefit. Public benefit is defined under the Section 5310 Program as “transporting seniors and individuals with disabilities.” During the useful life of the vehicle, STA will be listed as the legal owner on the vehicle’s title and the subrecipient will be the registered owner. Once the useful service life requirement has been satisfied, STA will transfer title of the vehicle to the subrecipient.

Maintenance and Disposition

Vehicles and equipment must be maintained in good operating order and subrecipients must follow the manufacturer’s suggested maintenance schedules. Spokane Transit Authority and its subrecipients will follow all required vehicle and equipment management and disposition procedures and guidance under the common rule found in 49 CFR 18.32 and applicable guidance in the current FTA Circular 9030.1E.

The subrecipient maintains responsibility for the repairs and maintenance of the vehicles and any extended or additional warranties must be reported to STA (FY2020 Contractors Manual 8-12). This includes warranty claims, warranty repairs, proof of claim submittal(s) to manufacturers, and any steps taken to follow up on unpaid claims.

Accounting Systems

The subrecipient must agree to establish an accounting system that will include a separate account for the 5310 funded project(s). The subrecipient also agrees to maintain all checks, payrolls, invoices, contracts, vouchers, orders, or other accounting documents related to, in whole or in part, the project so that they may be clearly identified, readily accessible, and available to Spokane Transit or FTA upon request.

The subrecipient must agree to retain all data, documents, reports, records, contracts, and supporting

materials relating to the project throughout the course of the grant and for a period of three years after the date of the final expenditure report submission to FTA. This information may be accessed by the designated recipient, U.S. Secretary of Transportation, the Comptroller General of the United States, and, to the extent appropriate, the State, or its authorized representatives.

Audit

Spokane Transit Authority ensures that audits will be performed pursuant to the requirements of Super Circular 2 CFR Part 200 Section F (or Circular A-133 for fiscal years ending in FY2015) and to resolve audit findings and bring problems to FTA's attention. Subrecipients receiving \$750,000 or more in all federal sources in a single fiscal year will be required to obtain a Federal single audit and provide a copy to Spokane Transit Authority for review.

Administrative Costs – STA & Subrecipients

Spokane Transit Authority

Allowable administrative costs may include general administrative costs directly attributed to the 5310 project(s), staff salaries, office supplies, and development of specifications for vehicles and equipment. Spokane Transit Authority (STA) administrative activities may include technical assistance and other planning activities.

Examples of eligible administrative expenses include:

- Assisting with the update of the *Spokane County Coordinated Public Transit-Human Services Transportation Plan – (HSTP)*, as needed.
- Conducting the competitive selection process for Section 5310 applications.
- Providing technical assistance to applicants and subrecipients.
- Grant management, ongoing administration, and monitoring of subrecipients, including non-profits and other government entities.

Subrecipient Administrative Costs

Subrecipients may include certain pre-approved administrative costs in their Section 5310 funding application(s). This may include administrative expenses that are directly attributed to project delivery such as project delivery, oversight, and compliance activities. All administrative costs must be supported by documentation (e.g. timesheets, invoices, and/or direct allocation plans) to be considered for reimbursement.

Subrecipients must identify the type of indirect costs they will be using for the project. Subrecipients will indicate whether they are using a federally approved indirect cost plan or a 10% de minimis rate allowed under 2 CFR Part 200. If subrecipients select to use the 10% de minimis rate option, they must indicate that they have never used a federally approved rate. STA will not accept indirect cost allocation plans that are not approved, in writing, by a federal agency. Grantees (STA) are responsible for negotiating these plans in advance of the executed agreement.

Spokane Transit Authority (STA) has decided not to include indirect expenses in its FTA application – therefore, subrecipient indirect costs will not be funded by STA; however, federally approved indirect cost rates and de minimis rates can be funded by FTA. Subrecipients are encouraged to contact STA planning staff during the application process for further clarification on allowable administrative expenses.

Agreement Amendments

Depending on the funding available and the effectiveness of the project to continue to serve seniors and individuals with disabilities, STA may extend the agreement beyond the approved term. The subrecipient must request an agreement extension which will be reviewed and approved by the Principal Transit Planner. Once approved, STA Planning Staff will work with the Contracts Compliance Specialist to draft an agreement amendment. The subrecipient will review the draft and with acceptance of the new agreement term, it may be executed. The subrecipient must continue to comply with all previous financial, performance, and reporting requirements.

Returned Funds

If 5310 funds are returned and/or if the agreement is terminated, STA will verify the total amount of funds to be returned internally with the Sr. Financial Services Manager and confirm this amount with the subrecipient. STA Planning Staff and Contracts Compliance Specialist will draft internal processing documents and an amendment for the agreement. This amendment shall be presented to the subrecipient for approval before a final draft is completed. The final documents shall be reviewed and approved by both the Principal Transit Planner and the Chief Planning and Development Officer. Once the amendment has been executed, the subrecipient will receive a copy for their records and STA will retain the original. STA will then notify FTA through a budget revision.

Subrecipient Project Closeout

Spokane Transit Authority (STA) will initiate project closeout with subrecipients within 90 days after all work activities are complete and all funds as expended. STA will then initiate the full POP closeout with FTA within 90 days after all work activities contained within are completed. A final Federal Financial Report, final budget, and POP will be submitted electronically via the electronic grant management system at the time of closeout. (C9070.1G Pg. VI-15)

Grant closeout procedures:

Any deviation from the approved Section 5310 award must be documented in the closeout. STA will initiate the closeout electronically, by submitting the following information in TrAMS, as part of the closeout process: (C5010.1E Pg. III-19). This will include:

- Project Closeout Checklist (**ATTACHMENT G**)
- Confirmation that activities are complete and if closeout Amendment will de-obligate any unexpended balance of federal assistance.
- A list of property acquired or improved in support of the Award that will continue to be within the purview of the Grant or Cooperative Agreement.
- A final, reconciled Award Budget reflecting actual Project costs by scope code and activity, reflecting adjustments to the federal and non-federal amounts.
- A final FFR, consistent with the reconciled Award Budget (e.g., de-obligation).

- A final narrative MPR indicating the actual completion date of each ALI and a discussion of each ALI contained in the final Award Budget.
 - Any other documentation or reports required as part of the terms and conditions of the Grant or Cooperative Agreement.

Section 8 - Program Measures

Project Reporting and Monitoring

Subrecipients will be required to submit to Spokane Transit Authority (STA), on a periodic basis, certain project data, budget, and statistical information, to be outlined in the agreement. This information will allow STA to properly monitor subrecipients for compliance with federal requirements. Subrecipients will be required to contact STA immediately if they experience any material project or budget changes from the originally outlined project application or sub-agreement. Any significant changes to project scope or budget require prior approval from STA.

STA Planning staff will develop a monitoring plan for all subrecipient projects annually. This monitoring plan will include methodology used to determine what type of monitoring the project will receive and a timeline for when monitoring be conducted (**ATTACHMENT H**). Section 5310 projects will be subject to monitoring by STA program staff periodically, based on risk assessment scores, compliance with federal regulations, and project closeout. The following checklists will be used to measure performance based on project type:

- Financial Monitoring Checklist (**ATTACHMENT I**)
- Performance Monitoring Checklist (**ATTACHMENT J**)
- Vehicle Inspection Checklist (**ATTACHMENT K**)
- DBE Checklist (**ATTACHMENT L**)
- Construction Checklist (**ATTACHMENT M**)
- Title VI Checklist (**ATTACHMENT N**)

All monitoring checklists will be updated periodically and are subject to revisions and updates based on federal and STA requirements. STA Planning staff will evaluate the need for additional checklists as needed.

FTA Performance Measures

FTA requires Spokane Transit to submit Section 5310 performance measures, targeted to capture overarching program information, as part of its annual report submitted to FTA. The following indicators will be used to measure the projected and actual service impacts based on the project type:

For “Traditional” Section 5310 Projects:

1. “Gaps in Service Filled: Provision of transportation options that would not otherwise be available for seniors and individuals with disabilities, measured in numbers of seniors and individuals with

disabilities afforded mobility they would not have without program support as a result of traditional Section 5310 projects implemented in the current reporting year.”

2. “Ridership: Actual or estimated number of rides (as measured by one-way trips) provided annually for seniors and individuals with disabilities on Section 5310-supported vehicles and services as a result of traditional Section 5310 projects implemented in the current reporting year.”

3. “Quarterly Progress Reports: Quarterly progress reports shall be submitted for the duration of the Agreement period and STA will provide subrecipients a template (**ATTACHMENT R**).”

For “Other” Section 5310 Projects:

1. “Service Improvements: Increases or enhancements related to geographic coverage, service quality, and/or service times that impact availability of transportation services for seniors and individuals with disabilities as a result of other Section 5310 projects implemented in the current reporting year.”

2. “Physical Improvements: Additions or changes to physical infrastructure (e.g. transportation facilities, sidewalks, etc.), technology, and vehicles that impact availability of transportation services for seniors and individuals with disabilities as a result of other Section 5310 projects implemented in the current reporting year.”

3. “Ridership: Actual or estimated number of rides (as measured by one-way trips) provided for seniors and individuals with disabilities as a result of other Section 5310 projects implemented in the current reporting year.”

4. “Quarterly Progress Reports: Quarterly progress reports shall be submitted for the duration of the Agreement period and STA will provide subrecipients a template (**ATTACHMENT R**).”

Section 9 - Civil Rights and ADA Reporting

In order to receive federal funding, Spokane Transit Authority (STA) is required to implement a Title VI program which is to be updated no less than every three years per the guidance of FTA C 4702.1B. This program can be found on the STA website and is a required part of the training for all public facing employees. Subrecipients awarded 5310 funding must submit Title VI Programs to STA in order to assist in compliance efforts. STA program staff will use the Title VI Checklist (**ATTACHMENT N**) to ensure that Title VI Plans meet all requirements.

Title VI Plan Requirements

- Subrecipients shall submit Title VI Programs to STA to assist with compliance efforts.
- Subrecipients may choose to adopt STA’s notice to beneficiaries, complaint procedures and complaint form, public participation plan, and language assistance plan where appropriate.
- Operational differences between STA and subrecipient may require, in some instances, that the subrecipient tailor its language assistance plan to meet the needs of the individuals being served.

- Subrecipients shall submit a copy of the board resolution, meeting minutes, or similar documentation as evidence that the Title VI Plan has been approved.
- Subrecipients shall develop and submit to the primary recipient a list of complaints, investigations, or lawsuits.
- Subrecipients that have transit-related non-elected planning boards, advisory councils, or committees, the membership of which is selected by the subrecipient, must provide a table depicting the racial breakdown of the membership of those committees, and a description of efforts made to encourage the participation of minorities on such committees.
- Subrecipients must submit all the above information to STA on schedule and may be electronic at the option of the primary recipient.

Title VI Plan Contents

Every Title VI Plan shall include the following information (C4702.1B Pg. III-2):

- (1) A copy of the subrecipient's public notice that indicates they comply with Title VI and informs members of the public of their protections against discrimination afforded to them by Title VI.
 - a. Include a list of locations where the notice is posted.
 - b. Include Safe Harbor languages.
- (2) A copy of the recipient's instructions to the public regarding how to file a Title VI discrimination complaint, including a copy of the complaint form.
- (3) A list of any public transportation-related Title VI investigations, complaints, or lawsuits filed with the recipient since the time of the last submission.
 - a. This list should include only those investigations, complaints, or lawsuits that pertain to allegations of discrimination on the basis of race, color, and/or national origin in transit-related activities and programs and that pertain to the recipient submitting the report, not necessarily the larger agency or department of which the recipient is a part.
- (4) Most recent census data to identify demographics of service area.
 - a. Include information on minority, language spoken at homes, and income.
- (5) A public participation plan that includes an outreach plan to engage minority and Limited English Proficient (LEP) populations, as well as a summary of outreach efforts to low-income, LEP, and minority populations made since the last Title VI Program submission. A subrecipient's targeted public participation plan for minority populations may be part of efforts that extend more broadly to include other constituencies that are traditionally underserved, such as people with disabilities, low-income populations, and others
- (6) A copy of the recipient's plan for providing language assistance to persons with limited English proficiency, based on the DOT LEP Guidance.
 - a. Include four factor analysis, how notice will be provided, how the plan will be monitored and updated, and how employees are trained to provide assistance.
- (7) Subrecipients that have transit-related, non-elected planning boards, advisory councils or committees, or similar bodies, the membership of which is selected by the recipient, must provide a table depicting the racial breakdown of the membership of those committees, and a description of efforts made to encourage the participation of minorities on such committees or councils.
 - a. Include a description of efforts to encourage the participation of minorities on these

planning bodies.

- (8) If the recipient has constructed a facility, such as a vehicle storage facility, maintenance facility, operation center, etc., the recipient shall include a copy of the Title VI equity analysis conducted during the planning stage with regard to the location of the facility.
- (9) A copy of Board meeting minutes, resolution, or other appropriate documentation showing the Board of Directors or appropriate governing entity or officials responsible for policy decisions reviewed and approved the Title VI Program.
- (10) Additional information as specified in chapters IV, V, and VI, depending on whether the recipient is a fixed route transit provider, a State, or an MPO.

Spokane Transit staff will provide technical assistance to subrecipients to ensure compliance. Subrecipients are provided with templates, checklists, and other resources needed to write, adopt and implement a Title VI Program. As part of developing the 5310 agreement, STA will meet with each subrecipient to ensure subrecipients are familiar with their responsibilities under the agreement. STA will aid subrecipients with these requirements in the following ways:

- **Clauses:** STA will include federal civil rights program clauses in all applicable agreements.
- **DBE Program:** DBE clauses will be included in all subrecipient agreements (along with any third party contracts the subrecipient will enter into as part of the grant project). If a DBE is used for a subrecipient's project, STA will include DBE information in STA's report submission to the FTA. If the subrecipient awards a contract that has a DBE participant, STA will review the subrecipient's certified payrolls, affidavit of wages paid and also prompt pay for DBEs.
- **EEO Program:** STA will require that any subrecipients that receive capital or operating assistance in excess of \$1 million or planning assistance in the excess of \$250,000 and employ 50 or more transit-related employees must submit to STA an EEO plan, with program updates required every three years. On a monthly basis, subrecipients (who meet the criteria) will be required to report to STA any EEO complaints received. STA will work with subrecipients to investigate and address complaints as appropriate.
- **Title VI Program:** Title VI Program clauses will be included in all subrecipient agreements and required for all third party contracts the subrecipient enters into as part of the grant project. All applicable subrecipients will submit a copy of their Title VI program for STA during the initial application review. The program should be compliant with all FTA general requirements. In addition, STA will also require each subrecipient to cooperate with STA in investigations, complaints, and lawsuits.

STA agrees to comply, and assures the compliance of each third-party contractor and each subrecipient with all of the following requirements under Title VI of the Civil Rights Act of 1964:

- Title VI of the Civil Rights Act of 1964 as amended (42 U.S.C. 2000d et seq.)
- U.S. DOT regulations, "Nondiscrimination in Federally-Assisted Programs of the Department of Transportation—Effectuation of the Title VI of the Civil Rights Act," 49 CFR part 21
- FTA Circular 4702.1B "Title VI Requirements and Guidelines for Federal Transit Administration Recipients."
- U.S. DOT Policy Guidance Concerning Recipients' Responsibilities to Limited English Proficient

(LEP) Persons (70 FR 74087, December 14, 2005)

- FTA Circular 4703.1 “Environmental Justice Policy Guidance for Federal Transit Administration Recipients.”
- U.S. DOT Order to Address Environmental Justice in Minority Populations and Low- Income Populations

As part of developing a Section 5310 agreement, STA will meet with each subrecipient to review and discuss applicable Section 504 and ADA requirements.

Section 10 - Other Provisions

Grant Recipients will ensure compliance with all applicable federal regulations throughout the length of the project to include the following:

Transfer of Funds

Safeguards will be followed to ensure that any transferred funds are used solely for Section 5310 projects. Funds transferred to other FTA programs are not permitted. Funds apportioned to large UZAs may not be transferred to other areas within the program, such as small UZAs or rural areas, but the State may transfer funds from small UZAs and rural areas to large UZAs if the State has established a statewide program for meeting the objectives of the Section 5310 program. STA may only transfer apportioned funds after consulting with responsible local officials, publicly owned operators of public transportation, and nonprofit providers in the area from which the funds to be transferred were originally apportioned.

Environmental Protection

The Federal Transit Administration (FTA) has stated that most projects and activities funded through the Section 5310 program do not normally involve significant environmental impacts and are termed “categorical exclusions (CEs).” Projects that have been categorically excluded are exempt from the requirement to prepare an environmental assessment. Spokane Transit Authority (STA) will certify to FTA in the annual Certifications and Assurances that all projects in its application for Section 5310 funds are CEs under 23 CFR 771.117(c), unless otherwise noted.

For projects that will likely qualify as a CE under 23 CFR 771.117(d), including projects involving construction or expansion of facilities, STA and its subrecipients will provide documentation to FTA for approval that clearly demonstrates that the stated conditions or criteria are met and that no significant adverse effects will result from the project. For any projects awarded Section 5310 funding found not to be a CE, STA and its subrecipients will consult with FTA to complete all necessary documentation and reviews to conform to applicable environmental protections as required.

Buy America

49 U.S.C. 5323(j) provides that, with exceptions, federal funds may not be obligated for public

transportation projects unless steel, iron, and manufactured products used in such projects are produced in the United States. Buy America requirements apply to all purchases, including materials or supplies funded as operating costs, if the purchase exceeds the threshold for small purchases (currently \$150,000). Spokane Transit Authority will conform to FTA regulations, 49 CFR part 661, and any amendments thereto.

Pre-award and Post-delivery Reviews

The Federal Transit Administration (FTA) requires grant recipients purchasing a certain number of revenue passenger rolling stock to undertake reviews of the rolling stock before the award of the contract and following delivery of the vehicles. The intention is to improve compliance with Buy America requirements, the grantee's bid specifications, and Federal Motor Vehicle Safety Standards. The requirement to undertake the pre-award and post-delivery reviews arises from 49 U.S.C. 5323(m) and is specified in FTA regulations at 49 CFR part 663. Compliance will be certified on STA's Annual List of Certifications and Assurances.

Restrictions on Lobbying

As a recipient of more than \$100,000 in FTA assistance, Spokane Transit Authority certifies that it will not use federal assistance to influence any member of congress or an officer or employee of any agency in connection with the making of any federal contract, grant, or cooperative agreement.

Prohibition on Exclusive School Transportation

FTA funds are prohibited from being used for exclusive school bus transportation for school students and school personnel. Spokane Transit Authority, as well as subrecipients, will be required to comply with 49 U.S.C. 5323(f), and FTA regulation, "School Bus Operations (49 CFR part 605). Federal Transit Administration recipients may operate multi-functional vehicles which meet the safety requirements for school transportation but may not provide exclusive school service.

Drug and Alcohol Testing

Recipients or subrecipients that receive only Section 5310 assistance are not subject to FTA's Drug and Alcohol testing regulations but must comply with the Federal Motor Carrier Safety Administration (FMCSA) regulations for employees who hold Commercial Driver's Licenses (CDLs) (49 CFR part 382). Spokane Transit Authority maintains an alcohol and drug-free workplace and has an anti-drug policy in accordance with the Drug-Free Workplace Act of 1988.

Attachments

The following list of attachments are incorporated by reference in the Spokane Transit Authority Section 5310 Program Management Plan. Please note that these documents include samples and are subject to revision on an annual basis.

ATTACHMENT A: Spokane Urbanized Area (UZA) and Public Benefit Transportation Area (PTBA) Map

ATTACHMENT B: Section 5310 Designated Recipient Authorization

ATTACHMENT C: Informational Meeting Materials (SAMPLE)

ATTACHMENT D: 5310 Project Application (SAMPLE)

ATTACHMENT E: Subrecipient Monitoring and Oversight Procedures

ATTACHMENT F: Section 5310 Subrecipient Billing Standard Operating Procedures

ATTACHMENT G: Project Closeout Monitoring Checklist (DRAFT)

ATTACHMENT H: Section 5310 Monitoring Plan and Timeline (DRAFT)

ATTACHMENT I: Financial Monitoring Checklist (DRAFT)

ATTACHMENT J: Performance Monitoring Checklist (DRAFT)

ATTACHMENT K: Vehicle Inspection Monitoring Checklist (DRAFT)

ATTACHMENT L: DBE Monitoring Checklist (DRAFT)

ATTACHMENT M: Construction Monitoring Checklist (DRAFT)

ATTACHMENT N: Title VI Monitoring Checklist (DRAFT)

ATTACHMENT O: Budget Narrative Worksheet (SAMPLE)

ATTACHMENT P: Risk Assessment Questionnaire (DRAFT)

ATTACHMENT Q: Risk Assessment Score Card (DRAFT)

ATTACHMENT R: Subrecipient Quarterly Progress Report Template (DRAFT)

ATTACHMENT S: Subrecipient Monthly Beneficiary Data Report Template (DRAFT)

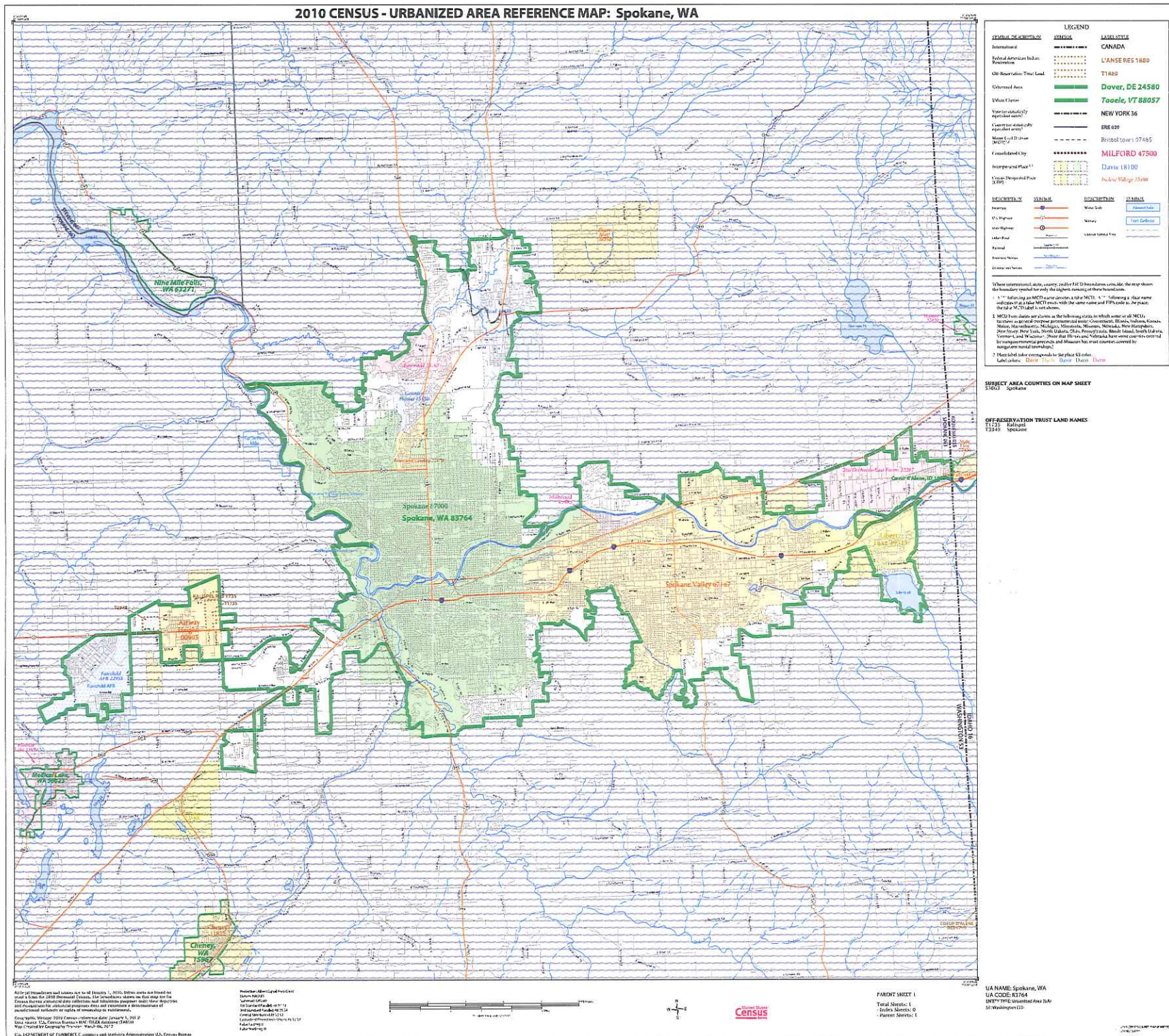
ATTACHMENT T: 5310 Application Scoring Criteria (DRAFT)

ATTACHMENT U: Logic Model Template (DRAFT)

ATTACHMENT V: Logic Model (SAMPLE)

ATTACHMENT W: Subrecipient Agreement Templates (SAMPLE)

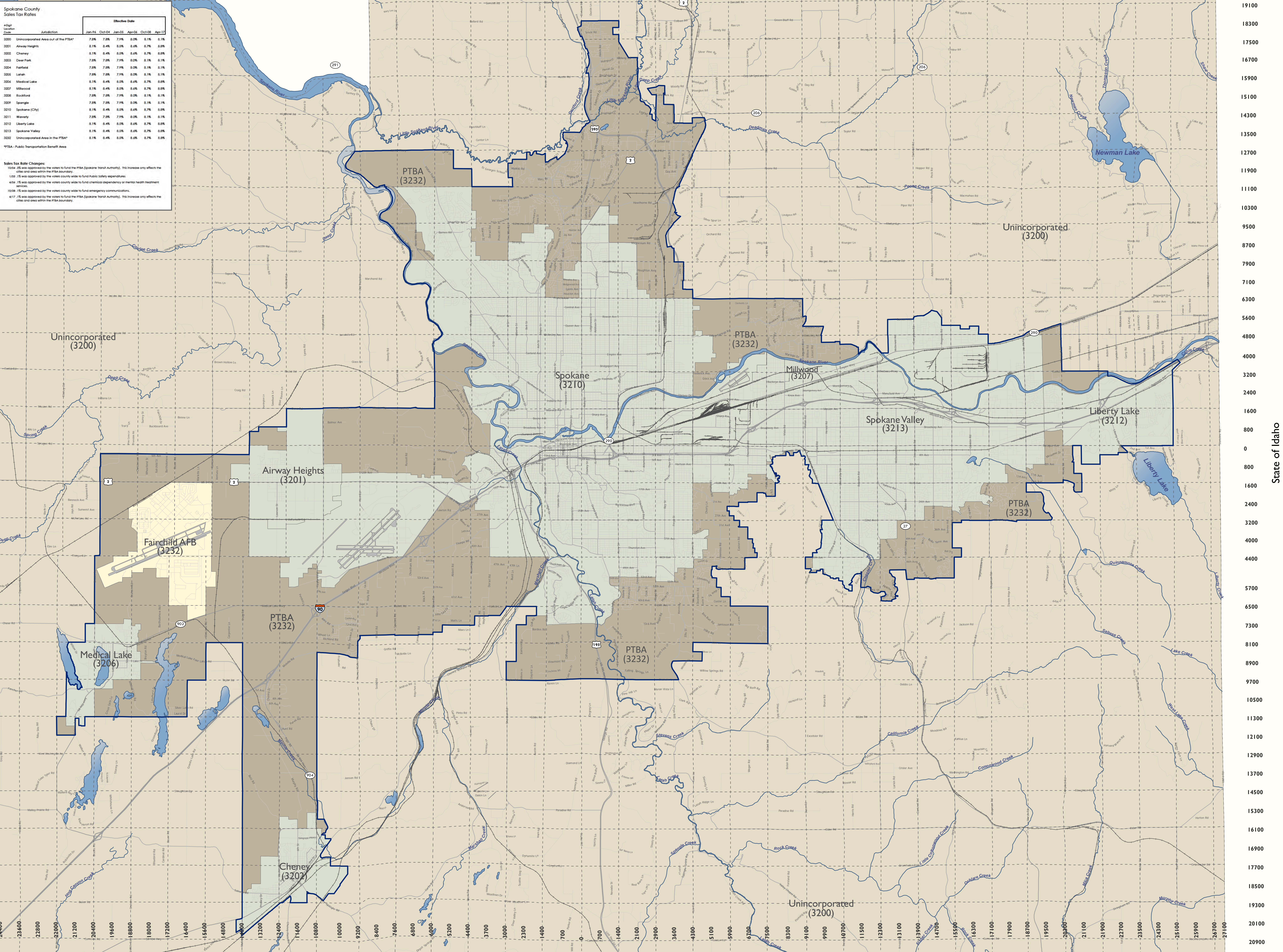
ATTACHMENT X: PMP Public Comment



Spokane County Sales Tax Rates		Effective Date					
4-Digit Location Code	Jurisdiction	Jan-76	Oct-04	Jan-05	Apr-06	Oct-08	Apr-17
3200	Unincorporated Area out of the PTBA*	7.8%	7.8%	7.9%	8.0%	8.1%	8.1%
3201	Airway Heights	8.1%	8.4%	8.5%	8.6%	8.7%	8.8%
3202	Cheney	8.1%	8.4%	8.5%	8.6%	8.7%	8.8%
3203	Deer Park	7.8%	7.8%	7.9%	8.0%	8.1%	8.1%
3204	Fairfield	7.8%	7.8%	7.9%	8.0%	8.1%	8.1%
3205	Latah	7.8%	7.8%	7.9%	8.0%	8.1%	8.1%
3206	Medical Lake	8.1%	8.4%	8.5%	8.6%	8.7%	8.8%
3207	Millwood	8.1%	8.4%	8.5%	8.6%	8.7%	8.8%
3208	Rockford	7.8%	7.8%	7.9%	8.0%	8.1%	8.1%
3209	Spangle	7.8%	7.8%	7.9%	8.0%	8.1%	8.1%
3210	Spokane (City)	8.1%	8.4%	8.5%	8.6%	8.7%	8.8%
3211	Waverly	7.8%	7.8%	7.9%	8.0%	8.1%	8.1%
3212	Liberty Lake	8.1%	8.4%	8.5%	8.6%	8.7%	8.8%
3213	Spokane Valley	8.1%	8.4%	8.5%	8.6%	8.7%	8.8%
3232	Unincorporated Area in the PTBA*	8.1%	8.4%	8.5%	8.6%	8.7%	8.8%

*PTBA - Public Transportation Benefit Area

Sales Tax Rate Changes:
10/04 - 0.5% was approved by the voters to fund the PTBA (Spokane Transit Authority). This increase only affects the cities and area within the PTBA boundary.
1/05 - 0.5% was approved by the voters county wide to fund public safety expenditures.
4/06 - 0.5% was approved by the voters county wide to fund criminal dependency or mental health treatment services.
10/08 - 0.5% was approved by the voters county wide to fund emergency communications.
4/17 - 0.5% was approved by the voters to fund the PTBA (Spokane Transit Authority). This increase only affects the cities and area within the PTBA boundary.



Spokane Public Transportation Benefit Area

NC

JW

CHRISTINE O. GREGOIRE
Governor



STATE OF WASHINGTON
OFFICE OF THE GOVERNOR

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December 20, 2012

Mr. Richard Krochalis
Regional Administrator
Federal Transit Administration
Jackson Federal Building
915 Second Avenue, Suite 342
Seattle, WA 98174-1002

Dear Mr. Krochalis:

In accordance with the Federal Transit Act [49 USC Section 5302(4)], this letter identifies the Spokane Transit Authority as the designated recipient of FTA Section 5310 funds, for the Spokane urbanized area. This designation follows the concurrence of the Spokane Regional Transportation Council as the federally designated Metropolitan Planning Organization for Spokane County.

Sincerely,

Christine O. Gregoire
Governor

cc: E. Susan Meyer, CEO, Spokane Transit Authority
Kevin Wallace, Executive Director, Spokane Regional Transportation Council
Paula Hammond, Secretary, Washington State Department of Transportation

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Federal Transit Administration 2021 Section 5310 REVISED Call for Projects Informational Meeting July 1, 2021

CONTACT INFORMATION

Madeline Arredondo

Assistant Transit Planner

marredondo@spokanetransit.com

Agenda

- Program Introduction
- Funding Summary
- Timeline
- FTA Requirements
- Eligible projects
- Applications requirements
- Procurement Requirements
- Project Scoring Criteria
- Subrecipient Requirements
- 5310 Project Examples
- Questions

Program Introduction

- What is Section 5310 funding?
 - Federal Transit Administration (FTA) allocates funding to the Spokane region annually
 - STA is a designated recipient of these funds and works with non-profits and other agencies
 - Non-profits and other agencies apply for funding for projects that provide access to or expand transportation options for seniors and individuals with disabilities

Section 5310 Funding Summary

- Available Funds approximately \$683,500
 - \$230,685 of the FY21 Section 5310 Apportionment must be spent on “Traditional” projects
 - The remaining \$470,086 may be spent on “Other” projects

Year	Funding Source	Federal Match Percent	Amount Available	STA Local Match Contribution
2021	2021 Section 5310 Apportionment	100%	\$419,427	\$0
2021	Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSAA)	100%	\$71,213	\$0
2021	America Rescue Plan Act of 2021 (ARPA)	100%	\$71,214	\$0
2019 & 2018	Returned Funds	50% or 80%	\$96,974	\$24,672
Total			\$658,828	\$24,672
Total Funding Available			\$683,500	

5310 REVISED Call for Projects Timeline

Date	Action
June, 25, 2021	Issued Call for Projects (Posted on STA/SRTC websites, published in paper, direct emails to eligible applicants)
July 1, 2021	Informational meeting for interested applicants
July 15, 2021	Project applications due
September 1, 2021	Present to Planning and Development Committee for recommendation of prioritized list for funding
September 16, 2021	STA Board takes action on recommended project applications.
November 2021	Application to FTA
December 2021	FTA approval and funds obligated

FTA 5310 Requirements

- Projects must be identified in the Spokane Regional Transportation Council Human Services Coordinated Transportation Plan
- Projects must be targeted for seniors and people with disabilities
- Projects must begin or end in the Spokane urbanized area
- Must have measurable benefit

Eligible Traditional/Capital Projects

- Purchase New ADA Accessible Vehicle
- ADA Improvements such as, sidewalks, curb ramps, signage, etc.
 - Typically done by a city or county
- Support for Mobility Management and Coordination Programs
 - Mobility Management programs consist of short-range planning, management activities, and projects for improving coordination among public transportation service providers.

Eligible Other/Operating Projects

- Paid or Volunteer driver programs that provide transportation to seniors and/or people with disabilities.
- Travel Training programs for riding fixed-route public transit, aimed at seniors or disabled individuals who currently rely on Paratransit or similar transportation services.
- Pay operating expenses for transportation for seniors and individuals with disabilities

Application Requirements

- Complete Application Form
- Non-profit Status Documentation
 - IRS determination letter
- Most recent financial audit report
- Title VI Plan (current subrecipients)
- Signed Certifications
- Budget Narrative (Worksheet provided)
- Risk Assessment Questionnaire
 - Policies
- Logic Model (Sample and description provided)

Procurement Requirements

7. VEHICLES

- A. Procurement. To assist the Subrecipient in complying with all procurement regulations required under the Grant, STA will procure the vehicle on behalf of the Subrecipient. STA shall work with the Subrecipient to select the appropriate vehicle, including necessary options and/or equipment, to meet the needs of the Subrecipient. Prior to placing any vehicle order, the Subrecipient shall provide STA with written approval of the configuration and options selected for the Vehicle.

7. PROCUREMENT

The Subrecipient shall make purchases of any incidental goods or supplies essential to this Agreement through procurement procedures approved in advance by STA and consistent with the following provisions:

- A. General Procurement Requirements. The Subrecipient shall comply with third-party procurement requirements of 49 USC chapter 53 and other applicable Federal laws in effect now or as subsequently enacted; with the DOT third-party procurement regulations of 2 CFR Part 200 and 2 CFR part 1201; and other applicable Federal regulations pertaining to third-party procurements and subsequent amendments thereto. The Subrecipient shall also comply with the provisions of FTA Circular 4220.1F, *Third Party Contracting Guidance*, March 18, 2013 and any later revision thereto, except to the extent FTA determines otherwise in writing, which by this reference are incorporated herein; and any reference therein to "Grantee" shall mean Subrecipient.
- B. Full and Open Competition. In accordance with 49 USC § 5325(a), the Subrecipient agrees to conduct all procurement transactions in a manner that provides full and open competition as determined by FTA.
- C. Preference for United States Products and Services. To the extent applicable, the Subrecipient agrees to comply with the following U.S. preference requirements:
 - 1) Buy America. The Subrecipient agrees to comply with 49 USC § 5323(j), with FTA regulations, *Buy America Requirements*, 49 CFR Part 661, and any later amendments thereto.

Procurement Requirements Continued

- 2) Cargo Preference - Use of United States-Flag Vessels. The Subrecipient agrees to comply with 46 USC § 55305 and U.S. Maritime Administration regulations, *Cargo Preference - U.S.-Flag Vessels*, 46 CFR Part 381, to the extent those regulations apply to the Project.
- 3) Fly America. The Subrecipient understands and agrees that the Federal Government will not participate in the costs of international air transportation of any persons involved in or property acquired for the Project unless that air transportation is provided by U.S.-flag air carriers to the extent service by U.S.-flag air carriers is available, in accordance with the International Air Transportation Fair Competitive Practices Act of 1974, as amended, 49 USC § 40118, and with GSA regulations, *Use of United States Flag Air Carriers*, 41 CFR §§ 301-10.131 through 301-10.143.
- D. Preference for Recycled Products. To the extent applicable, the Subrecipient agrees to comply with EPA *Comprehensive Procurement Guideline for Products Containing Recovered Materials*, 40 CFR Part 247, which implements section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act of 1976, as amended, 42 USC § 6962. Accordingly, the Subrecipient agrees to provide a competitive preference for products and services that conserve natural resources, protect the environment, and are energy efficient, except to the extent that the Federal Government determines otherwise in writing.
- E. Geographic Restrictions. The Subrecipient agrees to not use any state or local geographic preference, except those expressly mandated or encouraged by federal statute or as permitted by FTA.
- F. Government Orders. In case any lawful government authority shall make any order with respect to the Project or Project Equipment, or any part thereof, or the Parties hereto or either Party, the Subrecipient shall cooperate with STA in carrying out such order and will arrange its operation and business so as to enable STA to comply with the terms of the order.

Project Scoring Criteria

Section 5310 Grant Application Scoring Criteria

Category	Points Possible	Points Awarded
Risk Assessment (Scored separately by staff)	10	
Applications Completeness (Scored by staff)	10	
Proposed Service Improvements	25	
Regional Transportation Needs	10	
Performance Measures	20	
Management	10	
Financials	15	
Total	100	

Subrecipient Requirements

- Quarterly Reports
- Accounting Records
- COVID-19 Special Provisions
- Title VI Plan Updated every 3 years
- Cost allocation plans must be submitted annually
- Current Audit and update annually
- Backup detail for all invoices including methodology (Billing SOP)
- Project Closeout

5310 Project Examples

SNAP Traditional Project- Vehicle Purchase



COAST Traditional Project- Vehicle Purchase



SNAP Other Project- Operating Ride-to-Health. SNAP driver, Susan, getting ready to transport a client.

QUESTIONS?

Presentation slides and application materials can be found at:
<https://www.spokanetransit.com/about-sta/5310-informational-meeting>



Thank You!

CONTACT INFORMATION

Madeline Arredondo

Assistant Transit Planner

marredondo@spokanetransit.com

509.325.6059



Spokane Transit Authority
Application for Federal Transit Administration Section 5310 Enhanced Mobility
for Seniors and Individuals with Disabilities Funding

Project Title:

Important: *FTA funds require a large degree of dedication to detail and reporting, along with very specific requirements. Please review the documents associated with this call for projects to determine if your agency is able and willing to accept the terms and conditions provided.*

*Applications are due by **5:00 PM on July 15, 2021**; late applications will not be accepted.
Please send the application and copies of the required documents to:*

Spokane Transit Authority
Attn: Madeline Arredondo
1230 W Boone Ave
Spokane, WA 99201
or electronically to:
marredondo@spokanetransit.com

2021 Call for Project Details

Spokane Transit Authority (STA) is issuing a call for projects that will be funded with Federal Transit Administration (FTA) Section 5310 (Enhanced Mobility for Seniors and Individuals with Disabilities) Program funding. There is approximately **\$683,500** in Section 5310 federal funds available for this call for projects (see table below for specific grant sources and amounts).

Projects that are selected to receive funding must primarily benefit seniors and individuals with disabilities and support strategies currently identified in the Spokane County Coordinated Public Transit-Human Services Transportation Plan (<https://www.srtc.org/human-services-transportation-plan/>). **See Attachment A for a complete list of eligible capital projects.**

Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSAA) and American Rescue Plan Act of 2021 (ARPA) funds are not subject to the 55% minimum requirement for funds to be spent on capital projects and will primarily be spent on operating projects. Of the total 2021 apportionment funds available under Section 5310, a minimum of 55% must be spent on capital projects and maximum of 45% of funds can be spent on operating projects. STA may certify to FTA that there are no eligible applicants available to provide services, which would allow Spokane Transit to allocate available 5310 funds to complementary STA paratransit capital projects.

2021 Call for Projects Funding Table

Year	Funding Source	Federal Match Percent	Amount Available	STA Local Match Contribution
2021	2021 Section 5310 Apportionment	100%	\$419,427	\$0
2021	Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (CRRSAA)	100%	\$71,213	\$0
2021	America Rescue Plan Act of 2021 (ARPA)	100%	\$71,214	\$0
2019 & 2018	Returned Funds	50% or 80%	\$96,974	\$24,672
Total			\$658,828	\$24,672
Total Funding Available			\$683,500	

Note: Recipients of CRRSAA and ARPA funds must execute the COVID-19 Special Provisions & Certification attached to this application.

Project applications are due by **Thursday, July 15, 2021, at 5:00 PM. Applications received after this date and time will not be considered.** Applications may be sent via USPS, UPS, or FedEx to: Madeline Arredondo, Spokane Transit, 1230 West Boone Avenue, Spokane, WA 99201 or submitted electronically to

marredondo@spokanetransit.com. Mailed applications must be postmarked on or before **July 15, 2021**. Applications sent by fax will not be accepted.

An informational meeting will be held on Thursday, July 1, 2021 (2pm-3pm) via WebEx to provide applicants the opportunity to ask questions about program and project eligibility requirements. Meeting information will be posted on the Spokane Transit Authority website at <https://www.spokanetransit.com/about-sta/public-notices> on or before May 1, 2021. Persons requesting accommodations are encouraged to contact Emily Arneson, Community Ombudsman and Accessibility Officer at (509) 325-6094 at least 48 hours in advance of the meeting.

Eligible project applicants can be either private, non-profit organizations, local governments, or other providers of public transportation that provide transportation services for seniors and individuals with disabilities. To be considered a provider of public transportation, an agency must provide "shared-ride" transportation, which means that it may transport two or more passengers in the same vehicle who are otherwise not travelling together (as opposed to exclusive-ride taxi services). Providers of public transportation can be either public or private agencies.

STA staff will evaluate projects and recommended projects will be forwarded to the STA Board of Directors for approval. More information on project scoring and evaluation criteria can be found in STA's Program Management Plan for Section 5310, https://www.spokanetransit.com/files/content/STA_Section_5310_Program_Management_Plan.pdf.

Spokane Transit assures nondiscrimination in accordance with Title VI of the Civil Rights Act of 1964. For more information, visit www.spokanetransit.com. Upon request, alternative formats of this information will be produced for individuals who are disabled. For accommodations, please call 325-6094 (TTY Relay 711) at least forty-eight (48) hours in advance.

Non-Discrimination Notice

If information is needed in another language, contact (509) 325-6094.

Si necesita información en otro idioma, comuníquese al (509) 325-6094.

Для получения информации на другом языке звоните по тел. (509) 325-6094.

Nếu quý vị cần thông tin bằng một ngôn ngữ khác, xin vui lòng gọi số (509) 325-6094.

Section I: Agency Contact Information and Project Summary

Legal Name of Agency:	
Address:	
Federal Tax ID Number	
DUNS Number (Data Universal Numbering System):	
WA UBI Number (Unified Business Identifier)	
Contact Person (for questions related to the application):	
Phone Number:	
E-mail Address:	

Please identify your agency:

- ☐ Local Government/Municipal Corporation
- ☐ Operator of public transportation services (private or publicly owned)
- ☐ Private, non-profit organization

1. Type of Application:

- ☐ Traditional Project
- ☐ Other Project

2. What is the total cost of this project?

3. Please indicate how much Section 5310 funding you are requesting for this project:

Section II: Project Information and Levels of Service

- Please provide a detailed description of your project, and the population it will serve.
- How will this specific project improve transportation access to seniors and/or individuals with disabilities. Please identify barriers in providing transportation this projects seeks to overcome.

3. Please identify the needs and/or strategies listed in the Spokane County Coordinated Transit-Human Services Transportation Plan that your project supports.
4. How many seniors and/or individuals with disabilities will be served as a result of this specific project. Describe the methodology used to calculate this number which will also be used in your logic model.
5. Is this project contingent upon other funding commitments?

For Traditional Projects

For a complete list of eligible capital projects, see Attachment A.

Check the appropriate project type and describe the project:

- ☐ Purchase New ADA Accessible Vehicle (please complete sections below)
 - Size of vehicle
 - Fuel type
 - Vehicle make and model
- ☐ Acquisition of transportation services under a contract, including operating projects
- ☐ ADA Improvements such as, sidewalks, curbramps, signage, etc.
- ☐ Support for Mobility Management and Coordination Programs
- ☐ Other eligible capital project, please list:

Briefly describe the project:

For Other Projects

Below are examples of eligible other projects. Projects must not duplicate existing service provided by Spokane Transit.

Check the appropriate project type and briefly describe:

- ☐ Support for paid or Volunteer driver programs that provide transportation to seniors and/or people with disabilities.
- ☐ Travel Training programs for riding fixed-route public transit, aimed at seniors or disabled individuals who currently rely on Paratransit or similar transportation services.
- ☐ Other eligible operating project, please list:
- ☐ Capital or operating project that is implemented by a jurisdiction.

- ☐ Purchase New ADA Accessible Vehicle (please complete sections below)
- Size of vehicle
 - Fuel type
 - Vehicle make and model
- ☐ Acquisition of transportation services under a contract, including operating projects
- ☐ ADA Improvements such as, sidewalks, curb ramps, signage, etc.
- ☐ Support for Mobility Management and Coordination Programs*

Briefly Describe Project:

Does your agency intend on using a cost allocation plan or de minimis rate?

- ☐ No
- ☐ Yes (if yes, please identify the rate and total expenditure in the budget table below)

Budget Table

Funding Budget			
Source	Source Description	Amount	Source Status
Funding Sources Breakdown			
FTA Grant	STA Section 5310 Funds		Application Submitted
Funding Sources Total		\$ -	
In-Kind Contributions			
Volunteer hours			
Milage Reimbursement			
In-Kind Total		\$ -	
Funding Sources Grand Total		\$ -	

Project Budget

Line Item	Description	5310 Amount	Other Amount	Other Source
Administrative Cost Breakdown				
Payroll/Benefits				
Insurance, services, or supplies (IT, rent, supplies, telecommunications, etc.)				
Other				
Other				
Total		\$ -	\$ -	
Admin. Cost Total		\$ -		
Operation Costs Breakdown				
Contracted services				
Materials and supplies				
Fuel, Maintenance (oil change, tire rotation, lift maint., etc.)				
Payroll/Benefits (Position, Direct/Contracted staff, FTE, etc.)				
Occupancy				
Phone/Internet				
Other				
Other				
Total		\$ -	\$ -	
Operation Costs Total		\$ -		
Capital Costs Breakdown				
Software/Hardware				
Equipment				
Vehicle Purchase(s)				

Other				
Other				
Total		\$ -	\$ -	
Capital Costs Total		\$ -		
Construction Costs Breakdown				
Other				
Other				
Total		\$ -	\$ -	
Construction Costs Total		\$ -		
Total Project Cost				
5310/Other Total		\$ -	\$ -	
Project Cost Grand Total		\$ -		

Applicants must provide a budget narrative to reflect line items in the Project Budget Table.

Project Quarterly Performance Measures:

For Section 5310 capital projects, as part of federal regulations, agencies are required to report the number of seniors or individuals with disabilities that will benefit from projects or services financed by federal funds. For example, the number of rides (one-way trips) that would be provided annually on vehicles and/or services financed by Section 5310 funds. Applicants applying for ADA improvements must report what additions or changes will be made to the physical infrastructure (transportation facilities, sidewalks, etc.) because of this project. Depending on the project different measures may be applied.

6. How does your agency plan to gather this data?

Section III: Agency Experience and Levels of Service

1. Briefly describe your agency and the experience it has providing passenger transportation services?
2. What is the agency's plan to continue the project after the Section 5310 funding expires?

Section VI: Finishing Up

Attachments Checklist: (Applications without required attachments will not be accepted)

Please include the following items with your grant application.

- ☐ Complete Application Form
- ☐ Non-profit Status Documentation (IRS determination letter or articles of incorporation)
- ☐ Most recent financial audit report
- ☐ Current Title VI Plan
- ☐ Signed Certifications
- ☐ Budget Narrative (Worksheet provided)
- ☐ Risk Assessment Questionnaire and policies
- ☐ Logic Model (Sample and description provided)

Application Authority

- ☐ I certify, to the best of my knowledge, that the information in this application is true and accurate and that this organization has the necessary fiscal, data collection, and managerial capability to implement and manage the projects associated with this application.
- ☐ My agency agrees to follow STA and federal procurement and grant management requirements of 49 USC 5310.
- ☐ I understand that a signed 5310 Subrecipient Agreement with STA will be required as a condition of receiving funds.
- ☐ My agency agrees to develop and submit a Title VI Plan that meets the general requirements as described in FTA Circular 47.021B. The Title VI Plan must be submitted to STA within 90 days of an executed agreement. Funds cannot be reimbursed until Title VI Plan is deemed in compliance.
- ☐ I certify that my agency will submit quarterly and annual reports as required by the 5310 Subrecipient Agreement. The quarterly reports are due 20 days following the end of each quarter, as follows, Quarter 1 report is due April 20th, Quarter 2 is due July 20th, Quarter 3 is due October 20th, and Quarter 3 and the annual report are due January 20th.
- ☐ Your project will follow all applicable STA and federal procurement requirements, a copy of the requirements will be available at the informational meeting.

All six boxes above must be checked.

Applicant Certification

The Applicant affirms the individual executing this application has been granted the authority to do so, and by their signature affirms the Applicant will comply with the terms and conditions of this application.

Authorized Signature

Date

Printed Name

Title

The application must be signed by an individual authorized to legally bind the Applicant.

Attachment A

List of Eligible Capital Projects for Section 5310 Funding

The projects listed are all the types of public transportation capital projects eligible for funding under the Section 5310 grant program. Please note that, in order to be eligible for Section 5310 funding, capital projects must target the needs of seniors or individuals with disabilities. This definition is from 49 USC 5302.

The term “capital project” means a project for:

- Acquiring, constructing, supervising, or inspecting equipment or a facility for use in public transportation, expenses incidental to the acquisition or construction (including designing, engineering, location surveying, mapping, and acquiring rights-of-way), payments of the capital portions of rail trackage rights agreements, transit-related intelligent transportation systems, relocation assistance, acquiring replacement housing sites, and acquiring, constructing, relocating, and rehabilitating replacement housing;
- Rehabilitating a bus;
- Remanufacturing a bus;
- Overhauling rail rolling stock;
- Preventative maintenance;
- Leasing equipment or a facility for use in public transportation, subject to regulations that the Secretary (of Transportation) prescribes limiting the leasing arrangements to those that are more cost-effective than purchase or construction;
- A public transportation improvement that enhances economic development or incorporates private investment, including commercial and residential development, pedestrian and bicycle access to a public transportation facility, construction, renovation, and improvement of intercity bus and intercity rail stations and terminals, and the renovation and improvement of historic transportation facilities
- The introduction of a new technology, through innovative and improved products, into public transportation;
- The provision of non-fixed route paratransit transportation services in accordance with Section 223 of the Americans with Disabilities Act (ADA) (42 USC 12143), but only for grant recipients that are in compliance with applicable requirements of that Act, including both fixed route and demand responsive service, and only for amounts not to exceed 10 percent of such recipient’s annual formula apportionment under 49 USC Sections 5307 and 5311;
- Crime prevention and security including:
 - Projects to refine and develop security and emergency response plans;
 - Projects aimed at detecting chemical and biological agents in public transportation;
 - The conduct of emergency response drills with public transportation agencies and local first response agencies; and
 - Security training for public transportation employees; but
 - Excluding all expenses related to operations, other than such expenses incurred conducting activities described above;
- Establishing a debt service reserve, made up of deposits with a bondholder’s trustee, to ensure the timely payment of principal interest on bonds issued by a grant recipient to finance an eligible project under this chapter; or
- Mobility management:
 - Consisting of short-range planning and management activities and projects for improving coordination among public transportation and other transportation service providers carried out by a recipient or subrecipient through an agreement entered into with a person, including a government entity, under this chapter (other than 49 USC Section 5309); but Excluding operating public transportation service

List of Eligible Operating Projects for Section 5310 Funding

- Public transportation projects (capital only) planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable;
- Public transportation projects (capital and operating) that exceed the requirements of ADA
 - Enhancing paratransit beyond minimum requirements of ADA
 - Expansion of current service parameters, expansion of current hours of operation for ADA paratransit services, incremental cost of providing same day service
 - Acquisition of vehicles and equipment designed to accommodate mobility aids that exceed the dimensions and weight ratings established for wheelchairs under ADA regulations...
 - Installation of additional securement locations in public buses beyond what is required by ADA
 - Feeder services (transit service that provides access) to commuter rail, commuter bus, intercity rail, and intercity bus stations for which complementary paratransit service is not required under ADA
- Public transportation projects (capital and operating) that improve accessibility to fixed-route services and decrease reliance on paratransit service
 - Making accessibility improvements to transit and intermodal stations not designated as key stations
 - Travel training programs for individual users on awareness, knowledge, and skills of public transportation and alternative transportation options available in their communities. Includes travel instruction and travel training services
- Public transportation alternatives that assist seniors and individuals with disabilities with transportation
 - Purchasing vehicles to support accessible taxi, ride-sharing, and/or vanpooling programs
 - Supporting administration and expenses related to voucher programs for transportation services offered by human service providers
 - Supporting volunteer driver and aide programs—costs associated with administration, management of driver recruitment, safety, background checks, scheduling, coordination with passengers, other related program functions, mileage reimbursement, and insurance associated with volunteer driver programs

LOBBYING RESTRICTION CERTIFICATION

Certification for Contracts, Grants, Loans and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form--LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions [as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, *et seq.*)]
3. The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

[Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The Applicant, _____, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31 U.S.C. A 3801, *et seq.*, apply to this certification and disclosure, if any.

Applicant Name: _____

Authorized Signature: _____ Date: _____

Printed Name and Title: _____

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION IN A LOWER TIER COVERED TRANSACTION

The Applicant shall comply and facilitate compliance with US DOT regulations, "Nonprocurement Suspension and Debarment", 2 CFR part 1200, which adopts and supplements the U.S. Office of Management and Budget (US OMB) "Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement)", 2 CFR part 180. These provisions apply to each contract at any tier of \$25,000 or more, and to each contract at any tier for a federally required audit (irrespective of the contract amount), and to each contract at any tier that must be approved by an FTA official irrespective of the contract amount. As such, the Applicant shall verify that its principals, affiliates, and subcontractors are eligible to participate in this federally funded Contract and are not presently declared by any Federal department or agency to be:

- a) Debarred from participation in any federally assisted Award;
- b) Suspended from participation in any federally assisted Award;
- c) Proposed for debarment from participation in any federally assisted Award;
- d) Declared ineligible to participate in any federally assisted Award;
- e) Voluntarily excluded from participation in any federally assisted Award; or
- f) Disqualified from participation in any federally assisted Award.

By signing below and submitting its application, the Applicant certifies as follows:

The certification in this clause is a material representation of fact relied upon by STA. If it is later determined by STA that the Bidder knowingly rendered an erroneous certification, in addition to remedies available to STA, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment. The Applicant agrees to comply with the requirements of 2 CFR part 180, subpart C, as supplemented by 2 CFR part 1200, while its Application is valid and throughout the period of any Contract that may arise from its Application. The Applicant further agrees to include a provision requiring such compliance in its lower tier covered transactions.

Applicant Name: _____

Applicant Address: _____

Telephone: _____ Fax: _____

Authorized Signature: _____ Date: _____

Printed Name and Title: _____

DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION

DBE PARTICIPATION. STA is committed to ensuring that all firms regardless of race, color, sex or national origin have equal opportunity to participate in STA contracts. Therefore, STA has established an annual agency goal for DBE participation in its contracting opportunities. It shall be understood that no specific goal has been assigned to this contract; however, contractors and subcontractors are required to comply with the following:

1. **Non-discrimination Assurances.** The Applicant shall not discriminate on the basis of race, color, national origin or sex in the performance of this Contract. The Applicant shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of this Contract. Failure by the Applicant to carry out these requirements is a material breach of this Contract, which may result in the termination of this Contract or such other remedy as STA deems appropriate. Each subcontract the Applicant signs with a subcontractor must include the assurance in this paragraph (see 49 CFR 26.13(b)). Violation of these requirements is a material breach of this contract, which may result in the termination of this contract or other such remedy, as STA deems appropriate.
2. **Prompt Payment.** The Applicant is required to pay its subcontractors performing work related to this Contract for satisfactory performance of that work no later than thirty (30) days after the Applicant's receipt of payment for that work from STA. In addition, the Applicant may not hold retainage from its subcontractors.
3. **DBE Participant List.** As required by 49 CFR Part 26.11, STA is required to create and maintain a bidders list of all firms bidding on prime contracts and bidding or quoting subcontracts on Department of Transportation, Federal Transit Administration-assisted contracts. STA is also committed to providing equal access to small business concerns in bidding on STA's contracting opportunities. The U.S. Small Business Administration (SBA) defines a "small business" in terms of the number of employees over the past year or the average annual receipts over the past three years. This standard varies by industry. STA will use size standards established by the SBA to determine small business eligibility.

To comply with this requirement, STA requests the Applicant provide the information required by the Federal Transit Administration on page two of this certification. **This information is not used in determining award of contract or in evaluating your Proposal in any way. Providing this information is voluntary.**

A copy of 49 CFR Part 26 may be found at www.ecfr.gov or by contacting:

Jacque Tjards
DBE Liaison
Spokane Transit Authority
1230 W. Boone Ave.
Spokane, WA 99201
(509) 325-6032
jtjards@spokanetransit.com

APPLICANT DBE INFORMATION

Applicant Name: _____

Applicant Address: _____

North American Industry Classification System (NAICS) Code: _____

To determine your industry NAICS code go to www.census.gov/eos/www/naics and enter a keyword of your business classification in the box directly above the **2012** NAICS Search on the left side of the page and choose from the selection of codes that best matches your business classification.

Type of Business: _____

Telephone Number: _____ Email Address: _____

Authorized Signature: _____ Date: _____

Printed Name and Title: _____

- Is your firm a Disadvantaged Business Enterprise (DBE) registered with the State of Washington Office of Minority and Women's Business Enterprises?

☐ Yes ☐ No

- How long has your firm been in business? _____

- Please check the box that describes your total gross annual receipts:

<input type="checkbox"/> less than \$500,000	<input type="checkbox"/> \$3,000,001 - \$3,500,000
<input type="checkbox"/> \$500,000 - \$1,000,000	<input type="checkbox"/> \$3,500,001 - \$4,000,000
<input type="checkbox"/> \$1,000,001 - \$1,500,000	<input type="checkbox"/> \$4,000,001 - \$4,500,000
<input type="checkbox"/> \$1,500,001 - \$2,000,000	<input type="checkbox"/> \$4,500,001 - \$5,000,000
<input type="checkbox"/> \$2,000,001 - \$2,500,000	<input type="checkbox"/> \$5,000,001 - \$5,500,000
<input type="checkbox"/> \$2,500,001 - \$3,000,000	<input type="checkbox"/> greater than \$5,500,000

- Is your business a small business as defined by the SBA's definition of a small business concern? To determine if your business is considered a small business by SBA go to www.sba.gov/size-standards-tool, enter your six- digit NAICS Code and follow the 3-step process.

☐ Yes ☐ No

DBE SUBCONTRACTORS

Name, Address, UBI of DBE Subcontractor	Portion of Work to be performed.	\$ Amount

Authorized Signature: _____

Date: _____

Printed Name and Title: _____

COVID-19 SPECIAL PROVISIONS & CERTIFICATION

This 2021 Call for Projects is subject to funding authorized by the Coronavirus Response and Relief Supplemental Appropriations Act of 2021 ("CRRSAA") and the American Rescue Plan Act of 2021 ("ARP"). By executing this certification, the Applicant certifies it shall comply with the following if awarded funds under the 2021 Call for Projects:

- A. Compliance with CDC Mask Order. The Centers for Disease Control and Prevention ("CDC") Order of January 29, 2021, titled *Requirement for Persons to Wear Masks While on Conveyances and at Transportation Hubs* ("CDC Mask Order"), is within the meaning of "Federal Requirement" as that term is defined in the FTA Master Agreement. One of the objectives of the CDC Mask Order is "[m]aintaining a safe and operating transportation system". The Subrecipient agrees that it will comply, and will require all third-party participants to comply, with the CDC Mask Order.
- 1) Enforcement for Non-Compliance. The Subrecipient agrees that STA or the FTA may take enforcement action for non-compliance with the CDC Mask Order, including:
- a) Enforcement actions authorized by 49 USC § 5329(g);
 - b) Referring the Subrecipient to the CDC or other Federal authority for enforcement action;
 - c) Enforcement actions authorized by 2 CFR §§ 200.339 - .340; and
 - d) Any other enforcement action authorized by Federal law or regulation.
- B. CRRSAA and ARP provides funding for eligible programs at 100% federal share, with no local match required, subject to the following Subrecipient certifications (select one only):
- ☐ The Subrecipient certifies that it, and its subrecipients and contractors that are providers of public transportation, have not furloughed any employees since March 27, 2020; or
- ☐ The Subrecipient certifies that it and any subrecipient or contractor that is a provider of public transportation: (a) are currently not furloughing any employees; (b) have, to the maximum extent possible, brought back any employees previously furloughed as a direct result of financial challenges caused by the COVID-19 public health emergency; or (c) have rehired, or posted to rehire, any positions of employees who were laid off as a result of financial challenges caused by the COVID-19 public health emergency; or
- ☐ The Subrecipient certifies that it and any subrecipient or contractor that is a provider of public transportation: (a) intend, to the maximum extent possible, to use CRRSAA or ARPA funds to bring back any employees previously furloughed as a direct result of financial difficulties caused by the COVID-19 public health emergency; (b) intend to use CRRSAA or ARPA funds to rehire any positions of employees who were laid off as a direct result of financial challenges caused by the COVID-19 public health emergency; and (c) will explain how they have spent CRRSAA or ARPA funds on payroll, operations, or payroll and expenses of private providers of public transportation "to the maximum extent possible".
- C. The Subrecipient agrees that if it receives Federal funding from the Federal Emergency Management Agency (FEMA) or through a pass-through entity through the Robert T. Stafford Disaster Relief and Emergency Assistance Act, a different Federal agency, or insurance proceeds for any portion of a project activity approved for FTA funding under this Grant Agreement, it will provide written notification to FTA, and reimburse FTA for any Federal share that duplicates funding provided by FEMA, another Federal agency, or an insurance company.

Applicant Name: _____

Authorized Signature: _____ Date: _____

Printed Name and Title: _____

Revision #:	Initial
Implementation Date:	11/1/2020
Last Revision Date:	N/A

Spokane Transit Authority Subrecipient Oversight & Monitoring Procedures

Purpose

The purpose of these standard operating procedures is to ensure that grant funding allocated to eligible Section 5310 subrecipients are used for authorized purposes and in a manner consistent with applicable laws, regulations, and policies.

Scope

Intended for use by STA staff directly involved in administering the FTA Section 5310 program. The order of priority shall follow the outline in this document (Grant Application Review, Grant Application Scoring, Grant Agreement, etc.).

Prerequisites

- FTA C Circular 5010.1E – Award Management Requirements
- 2 CFR Part 200 – Uniform Administrative Requirements
- Spokane Transit Section 5310 Program Management Plan, as amended
- Spokane Transit Title VI Plan, as amended
- Spokane Transit Procurement Resolution (702-13, May 2019)

Responsibilities

- Assistant Transit Planner: will use this document as a guide to conduct daily activities to include reviewing applications for eligibility and compliance, processing invoices, preparing program and financial reports, providing technical assistance to subrecipients, conducting on-site monitoring reviews, and other duties as assigned.
- Principal Transit Planner: will keep this SOP up-to-date and current for use, provide general oversight for grant program deliverables, review and approve reimbursement requests, and provide training and support to the Assistant Transit Planner.
- Director of Planning and Development: Review and approve revisions to the SOP prior to implementation.
- Contract Compliance Specialist: will draft subrecipient agreements and amendments that meet standards outlined in 2 CFR Part 200.331 (a).
- Accounting/Finance Manager: will review all requests for payment to confirm that appropriate documentation is provided prior to reimbursement, including the local share (match) stipulated in the agreement(s) between Spokane Transit and its subrecipients.

Grant Application Review Procedures

The Section 5310 Call for Project(s) procedures are defined in the 'Section 5310 Program Management Plan.' Once applications are received, the Assistant Transit Planner will document that the following items were incorporated:

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Implementation Date:	11/1/2020
Last Revision Date:	N/A

- DUNS/EIN number,
- Suspension/Debarment, DBE, and Title VI certifications,
- Buy America certification (for construction and vehicle procurement projects only),
- Documentation signed by the organization's authorizing official (e.g. CEO or Board member) certifying the amount and funding source for the local share (match) commitment to include a clear description of any in-kind match contribution,
- Completed budget with sufficient narrative explanations for calculations used to determine the appropriate federal and local share of all project costs (by project type),
- Copy of the organization's federally approved indirect cost allocation plan (if such costs are included in the budget),
- Copy of the organization's most recent single audit (or audited financial statements, as applicable), including any management letters.

The Assistant Transit Planner shall provide a signed checklist to the Principal Transit Planner that includes a YES/NO response for each requirement listed above. The checklist will also be signed by the Principal Transit Planner and filed in the Section 5310 folder in share point. ****Only applications that meet these requirements will be forwarded to the scoring committee.***

If an application is not selected for consideration, the Principal Transit Planner will forward a letter to the organization listing the reason(s) for denial and the appeal process.

Grant Application Scoring Procedures

Applications will be scored in accordance with criteria listed in Spokane Transit's Section 5310 Program Management Plan. Two scoring checklists will be completed:

- 1) Project Application Checklist – which shall be completed by the Scoring Committee, and
- 2) Risk Assessment Checklist – which shall be completed by the Assistant Transit Planner and certified by the Principal Transit Planner.

Both checklists shall be completed prior to the Spokane Transit Planning & Development Committee meeting where Section 5310 funding recommendations are considered. Both checklists will be filed in the Section 5310 folder in share point.

Grant Agreement Procedures

- 1.) The Assistant Planner shall submit the agreement template request to the Contract Compliance Specialist when:
 - A FAIN (Federal Award Identification Number) has been assigned in TrAMS to that fiscal year's allocation, and
 - Funding recommendations have been approved by the STA Board.
- 2.) This request will be forwarded to the Principal Transit Planner with the following documentation: a screenshot from the System of Award Management (SAM) website that verifies that the

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subrecipient is not suspended or debarred. The screenshot will include the organization's name and/or EIN number, the website address, and date.

- 3.) The Assistant Planner will respond to and provide any information needed to complete the agreement template to include: funding award, fiscal year federal appropriation, organization contact information, project description, project type, etc. as required under 2 CFR Part 200.331(a).
- 4.) The final draft agreement shall be reviewed by the Principal Transit Planner before it is transmitted to the subrecipient for signature.
- 5.) The Assistant Transit Planner shall be responsible for updating the Section 5310 project tracking sheet(s) located in the Section 5310 folder in share point.

Subrecipient Notice Procedures

The Assistant Transit Planner shall be responsible for coordinating communication with Section 5310 subrecipients and internal departments. This correspondence will include, but is not limited to, award letters, agreements, monitoring reviews, monthly invoices, procurement documentation, and quarterly reporting. All communication will be filed in the Section 5310 folder in share point in the subrecipient's project file.

Requests or inquiries related to any grant agreement terms and/or deliverables shall be forwarded to the Principal Transit Planner for response.

Execution of Grant Agreement

The Contract Compliance Specialist shall be responsible for obtaining the necessary agreement signatures (via DocuSign) and sending executed copies to the distribution list.

The Assistant Transit Planner shall enter the project information into the Federal Funding Accountability and Transparency Act Subaward Reporting System (FSRS) after the agreement is executed. This shall occur ***no later than the last day of the month following the date of agreement execution.***

EXAMPLE: Agreement execution date - October 14, 2020
FSRS deadline – November 30, 2020

A screenshot shall be filed in the subrecipient's project file in share point and entered on the Section 5310 tracking sheet(s).

Subrecipient Deliverables

Subrecipients are subject to the same terms and conditions specified in the FTA – Spokane Transit Agreement. This includes all applicable federal regulations and requirements – including Title VI. These terms and conditions are specified, or incorporated by reference, in the subrecipient agreement.

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The Assistant Planner will send a request for any project deliverables **within 90 days of when the agreement is executed**. This will include, but is not limited to:

- The organization's Title VI Program Plan/Procedures, or
 - Certification from the subrecipient's authorizing official stating that the organization has adopted STA's Title VI Plan. Any modifications to this plan will be approved in advance.
- Also-
- Quarterly Reporting Schedule, template, and instructions
 - Monitoring Schedule

Invoices

Requests for reimbursement will be directed to the Assistant Transit Planner for eligibility review and internal processing. Reimbursement requests shall include appropriate and sufficient documentation to verify that the expenses are both allowable and allocable. Any questions or concerns should be forwarded to the Principal Transit Planner for response.

Monitoring Reviews

A monitoring schedule (and tracking sheet) shall be prepared and maintained by the Assistant Transit Planner. This tracking sheet shall include the dates, scope (vehicle records, financial, program performance), review status (open/closed), and contact information for each subrecipient.

Monitoring review summary letters shall be sent to subrecipients **no later than 30 days** after the monitoring review. These letters will include the date of the review, scope, and any findings or recommendations. These letters shall be signed by the Principal Transit Planner.

Grant Closeout & Reporting

The Principal Transit Planner will review the Section 5310 tracking sheets and financial reports each quarter to determine the timing of each project year grant closeout. The Principal Transit Planner shall consult with the Accounting/Finance Manager to reconcile project and program financial grant balances, as needed.

The Assistant Transit Planner will be responsible for preparing the annual Section 5310 reports that are submitted to the FTA by the Principal Transit Planner in TrAMS.

The Assistant Transit Planner and the Principal Transit Planner will conduct a desk audit to see if any program or project deliverables are pending prior to closing out the grant in TrAMS.

Spokane Transit Authority

Section 5310 Subrecipient Billing

Standard Operating Procedures

Purpose

In accordance with 2 CFR Part §200.305, the purpose of these procedures is to ensure that only costs that are *reasonable, allowable, and allocable* to a Federal award shall be charged to that award directly or indirectly. Specifically, these procedures shall apply to the preparation and submission of billings submitted for reimbursement by Section 5310 subrecipients.

Scope

Intended for use by STA staff directly involved in administering the FTA Section 5310 program. The order of priority shall follow the outline in this document (Billing Procedures, Reasonableness Criteria, Allowable Use of Funds, Criteria for Allowability, Billing Documentation, etc.).

Prerequisites

- FTA C Circular 5010.1E – Award Management Requirements
- 2 CFR Part 200 – (Specifically, Subpart E – Cost Principles)
- Spokane Transit Section 5310 Program Management Plan, as amended

Responsibilities

- Assistant Transit Planner: will use this document as a guide to conduct daily activities to include reviewing billing invoices for eligibility, processing invoices, providing technical assistance to subrecipients, and other duties as assigned.
- Principal Transit Planner: will keep this SOP up-to-date and current for use, review and approve reimbursement requests, and provide training and support to the Assistant Transit Planner.
- Director of Planning and Development: Review and approve revisions to the SOP prior to implementation.
- Sr. Accounting/Finance Manager: will periodically review requests for payment to confirm that appropriate documentation has been provided prior to requesting reimbursement from the grant(s). This will include verifying the local share (match) contribution stipulated in the agreement(s) between Spokane Transit and its subrecipients.

Billing Procedures

The following policies shall apply to the preparation and submission of billings by Section 5310 subrecipients:

1. Reimbursements shall be requested after the expenditures have been incurred.

2. To ensure timely spend down of grant funding, reimbursements shall be made on a monthly basis, *unless prior written approval is provided by the Spokane Transit Authority.*
3. Requests for reimbursement shall be submitted using the 'Section 5310 Project Billing Workbook' provided to the subrecipient by Spokane Transit Authority (see Billing Documentation Section below for details).
4. Requests for reimbursement will include actual amounts posted to the subrecipient's general ledger (as the primary source for all invoice amounts).
5. Requests for reimbursement shall clearly delineate the amount (and source) of all matching funds.

Reasonableness Criteria

It is the policy of the Spokane Transit Authority to only reimburse subrecipient expenses that have been determined to be reasonable per 2 CFR Part 200.404 as follows:

"...In determining reasonableness of a given cost, consideration will be given to:

(a) Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the non-Federal entity or the proper and efficient performance of the Federal award.

(b) The restraints or requirements imposed by such factors as: sound business practices; arm's-length bargaining; Federal, state, local, tribal, and other laws, and regulations; and terms and conditions of the Federal award.

(c) Market prices for comparable goods or services for the geographic area.

(d) Whether the individuals concerned acted with prudence in the circumstances considering their responsibilities to the non-Federal entity, its employees, where applicable its students or membership, the public at large, and the Federal Government.

(e) Whether the non-Federal entity significantly deviates from its established practices and policies regarding the incurrence of costs, which may unjustifiably increase the Federal award's cost..."

Subrecipients who have questions regarding reasonableness of project costs are encouraged to contact STA *prior* to incurring the cost. Costs that are considered unreasonable will not be reimbursed.

Allowable Use of Funds

Segregating Unallowable from Allowable Costs

The following steps shall be taken to identify and segregate costs that are allowable and unallowable for each Section 5310 subrecipient agreement.

Prior to the first disbursement, the Assistant Planner will:

1. Review the executed agreement and the Section 5310 Project Billing Workbook (specifically, the Budget Narrative) for costs that are eligible for reimbursement.
2. Be familiar with the allowability of cost provisions of 2 CFR Part 200 Subpart E – Cost Principles, particularly:
 - a. The list of specifically unallowable costs such as alcoholic beverages, bad debts, contributions, fines, and penalties, lobbying, etc.
 - b. Any costs requiring advance approval from the FTA in order to be allowable in accordance with §200.407.

Prior to entering invoices into the STA accounting system (Tyler MUNIS), the Assistant Planner shall:

1. Verify that the expenses have been determined to be allowable under the terms of the executed agreement and/or 2 CFR Part 200 Subpart E – Cost Principles (see Criteria for Allowability below).
2. Verify that the reimbursement directly supports activities listed in the Scope of Work of the executed agreement and the progress report.
3. Verify that the invoices included in the reimbursement request are for specific line items included in the approved Section 5310 Invoice and Budget Reporting Workbook and Budget Narrative.
4. Verify that a general ledger account has been established in the subrecipient's chart of accounts to reflect the categories of allowable costs identified in the executed agreement.
5. Verify that any items of miscellaneous income or credits (including the subsequent write-offs of uncashed checks, rebates, refunds, and similar items) shall be reflected as reductions in allowable expenditures - if the credit relates to charges that were previously reimbursed.
6. Verify match contributions are correct and correspond with prior written confirmation (source and amount).
7. Determine if there are significant variances between actual and budgeted expenditures (greater or less than 10%). *These variances will be discussed with and resolved by the Principal Transit Planner prior to entering the invoice into MUNIS.*
8. Verify that the billing is reconciled and then entered in the Section 5310 Project Billing Ledger.
9. Prepare an Approval Routing Form for a Supervisor's signature. This form shall include:
 - a. FTA Award Number
 - b. STA Grant Agreement Number
 - c. Term of Agreement
 - d. Section 5310 Project Billing Workbook Budget Narrative Monthly Reimbursement page signed by the Agency Official
 - e. Section 5310 Project Billing Ledger
 - f. A description of the Indirect Cost Rate (if used) and STA approval date
 - g. Supporting Documentation (see below)
10. Combine the Approval Routing Form, Invoice & Budget Reporting Workbook, invoice, supporting documentation, and billing ledger.
11. Include verifications, received date stamp, certification stamp, and project string on the billing packet.
12. Route the billing packet via email for electronic signature by the Principal Transit Planner, or their absence, the Director of Planning and Development.

Criteria for Allowability

It is the policy of STA to only reimburse expenses that have been determined to be allowable per executed agreements and 2 CFR Part 200 Subpart E – Cost Principles, General Provisions for Selected Items of Cost §200.420 - §200.476.

Billing Documentation

Requests for reimbursement shall be signed by an authorized official of the subrecipient organization using the Section 5310 Invoice and Budget Reporting Workbook provided to the subrecipient by Spokane Transit Authority. Subrecipients will be required to submit a written explanation to address any line items in the Invoice & Budget Reporting Workbook that are not within 10% of the month's variance. This explanation shall be submitted along with the reimbursement request for the month that the variance occurs. The applicable page (for the month) shall be submitted electronically to Section5310@spokanetransit.com and will include supporting documentation as follows:

Salaries and Benefits – Time sheets and personnel activity reports shall serve as the basis for charging salaries and benefits directly to the Section 5310 project award.

Subrecipients are required to submit copies of time sheets and accompanying personnel activity reports with billing requests which reflect all project/program(s) directly benefitting from their time and effort. These time sheets shall be signed by both the employee and the employee's supervisor.

Mileage – Copies of mileage sheets which detail the date, purpose, miles driven, and unique participant identifier shall be submitted with each request for reimbursement. Mileage will be reimbursed at the applicable Federal rate.

Equipment – Copies of invoices.

Equipment purchased for exclusive use on the federal award and reimbursed by STA shall be accounted for as a direct cost of that award (i.e., such equipment shall not be capitalized and depreciated).

Other Costs – Other project costs (e.g., office supplies, marketing expenses, rent, utilities, etc.) must be identified in the executed agreement and/or project budget. Copies of invoices.

Subrecipients will be required to submit a Monthly Beneficiary Data Report on the 20th day of each month. This report will be required to process the reimbursement requests.

(Local) Cost Sharing and Matching Funds Requirements

Any shared costs (matching funds), including cash and third-party in-kind contributions, will be accepted as part of the Section 5310 subrecipient's (local) cost share or matching requirement when such contributions meet all the following criteria:

1. They are verifiable through written confirmation from the awarding entity.
2. They are necessary and reasonable for accomplishment of the STA Section 5310 project objectives.
3. They are allowable under 2 CFR Part 200, Subpart E – Cost Principles.
4. They are not paid by the Federal government under another Federal award, except where authorized by Federal statute to be used for cost sharing or matching.
5. They are accounted for in the Section 5310 project application (and/or budget) approved in advance by STA.
6. They conform to all other provisions of 2 CFR Part 200.

It is the policy of STA to value contributed services and property that are to be used to meet a (local) cost share or matching requirement at its fair market value at the time of contribution unless the executed agreement (or FTA regulations) identify specific values to be used. The value of donated space will not exceed the local fair market rental value of comparable space as established by an independent appraisal of comparable space and facilities.

Contributed volunteer services furnished by third parties used for (local) cost sharing or matching purposes shall be valued at rates consistent with rates paid for similar work in the Spokane area labor market. Reimbursement for contributed volunteer expenses (e.g., mileage) shall be documented in a manner acceptable to STA.

Subrecipient Invoice Processing & Notices

Requests for reimbursement will be directed to the Assistant Transit Planner for eligibility review and internal processing. Payment requests shall be submitted by the 20th of the month – unless prior written approval is provided by STA. Subrecipient billing requests shall be reviewed in a timely manner (within five (5) business days of receipt) and entered into STA's financial management system (MUNIS), *provided all required documentation has been submitted by the subrecipient.*

The Assistant Transit Planner will notify the subrecipient, in writing, of any discrepancies within five (5) business days of submittal by subrecipient. Invoices will be tracked (date of submittal, payment, notices, etc.) in the Section 5310 Invoice Tracking Sheet by Fiscal Year/Subrecipient/STA Grant Agreement.

Any questions or concerns regarding these procedures will be forwarded to the Principal Transit Planner for response.

Attachments (Incorporated by Reference):

Spokane Transit Approval Routing Form (Draft)
 Section 5310 Project Billing Ledger (Sample)
 Section 5310 Invoice Tracking Sheet (Sample)
 Section 5310 Invoice & Budget Reporting Workbook (Sample)

Spokane Transit Authority
 Section 5310 Subrecipient Invoice
 Approval Routing Form

Submitting Department: Planning and Development
 Contact Person: Principal Transit Planner
 STA Agreement #:
 Project/Program Title:

Date:

CONTRACT INFORMATION:

	<i>(To be completed with 1st Disbursement)</i>	Staff Initials	Date
Contract Term:			
FTA Award # (FAIN):			
Project Type:			
Required Local Match %:			
Indirect Cost Rate (ICR) %:			
ICR Approval Date:			
General Ledger Verified			

INVOICE BACKGROUND:

	Yes	No	N/A	Staff Initials	Date
Allowable Costs					
Approved Line Items as listed in Section 5310 Project Billing Workbook dated:					
Approved Line Items					
Monthly Beneficiary Data Report Included					
Credits Included					
Match Contribution Verified					
Budget Variances < 10%					
Supporting Documentation Attached (<i>required</i>)					
Project Billing Ledger Attached (<i>required</i>)					

SUMMARY:

Requested Action:

Review Signatures:

 Assistant Transit Planner

 Date

 Principal Transit Planner

 Date

FTA Section 5310

Agency Name

Grant FAIN

Agency Name					
Agreement #					
		Federal Match Ratio (%)		\$10,000	Local Match Ratio (%) \$0
Invoice #	Date	Federal Match	Local Match	Total Expenses	Comments
20001	8/6/2021	\$ 500.00	\$ -	\$ 500.00	March 2021
20002	8/6/2021	\$ 500.00	\$ -	\$ 500.00	April 2021
20003	8/6/2021	\$ 1,000.00	\$ -	\$ 1,000.00	May 2021
20004	8/13/2021	\$ 1,000.00	\$ -	\$ 1,000.00	June 2021
20005	8/27/2021	\$ 1,500.00	\$ -	\$ 1,500.00	July 2021
20006	10/5/2021	\$ 1,500.00	\$ -	\$ 1,500.00	August 2021
Total		\$ 6,000.00	\$ -	\$ 6,000.00	
Remaining Grant Balance		\$4,000.00	\$0.00	\$6,000.00	

FY22 (October 1, 2021 - September 30, 2022)
Section 5310 Invoice Tracking Sheet

WA-2018-067**AGENCY**

Agency Name

1. Date Packet Received (Stamped)
2. Date of Deficiency Notice Email
3. Date Entered in MUNIS
4. Date Paid in MUNIS

Days to Process**PROJECT STA AGREEMENT # CONTRACT START DATE**

Project Name Agreement Number 3/3/2019

CONTRACT END DATE

12/1/2021

October	November	December	January	February	March	April	May	June	July	August	September
1/11/2022	1/19/2022										
1/11/2022	NA										
1/21/2022	1/21/2022										
1/28/2022	1/28/2022										
10	2	0	0	0	0	0	0	0	0	0	0

Agency Name

Project Name Agreement Number 1/10/2019

12/1/2021

1. Date Packet Received (Stamped)
2. Date of Deficiency Notice Email
3. Date Entered in MUNIS
4. Date Paid in MUNIS

Days to Process

11/15/2021	12/13/2021	1/14/2022	2/14/2022								
11/18/2021	12/14/2021	1/20/2022	2/14/2022								
11/22/2021	12/15/2021	1/21/2022	2/23/2022								
12/3/2021	12/22/2021	1/28/2022	3/1/2022								
7	2	7	9	0	0	0	0	0	0	0	0

WA-2021-023**AGENCY**

Agency Name

1. Date Packet Received (Stamped)
2. Date of Deficiency Notice Email
3. Date Entered in MUNIS
4. Date Paid in MUNIS

Days to Process**PROJECT STA AGREEMENT # CONTRACT START DATE**

Project Name Agreement Number 4/1/2021

3/31/2023

11/18/2021	12/13/2021	1/14/2022	2/18/2022								
	NA	12/13/2021	1/14/2022	2/21/2022							
11/19/2021	12/14/2021	1/28/2022	2/23/2022								
11/26/2021	12/22/2021	2/4/2022	3/1/2022								
1	1	14	5	0	0	0	0	0	0	0	0

Agency Name

Project Name Agreement Number 12/1/2020

12/31/2022

1. Date Packet Received (Stamped)
2. Date of Deficiency Notice Email
3. Date Entered in MUNIS
4. Date Paid in MUNIS

Days to Process

12/15/2021	12/30/2021	2/1/2022									
12/15/2021	1/7/2022	2/3/2022									
12/27/2021	2/9/2022	2/9/2022									
12/29/2021											
12	41	8	0	0	0	0	0	0	0	0	0

WA-2021-029**AGENCY**

Agency Name

1. Date Packet Received (Stamped)
2. Date of Deficiency Notice Email
3. Date Entered in MUNIS
4. Date Paid in MUNIS

Days to Process**PROJECT STA AGREEMENT # CONTRACT START DATE**

Project Name Agreement Number 3/1/2021

8/31/2022

11/16/2021	12/13/2021	1/14/2022	2/18/2022								
11/18/2021	12/13/2021	1/14/2022	2/21/2022								
11/19/2021	12/14/2021	2/1/2022	2/23/2022								
11/26/2021	12/22/2021	2/4/2022	3/1/2022								
3	1	18	5	0	0	0	0	0	0	0	0

SECTION 5310 REQUEST FOR REIMBURSEMENT
(& MONTHLY REPORT OF ACCRUED EXPENDITURES/BUDGET BALANCE)



SUBRECIPIENT:
STA Agreement #:
FAIN #:
FTA Match Ratio:

Month:
10% Budget Variance

Dec-20
86.40%

LINE ITEM	BUDGET	PRIOR MONTH TO DATE	MONTH	CURRENT TO DATE	BALANCE REMAINING	% BUDGET REMAINING
A. DIRECT PERSONNEL (Salaries)						
Director	\$ 90,334.00		\$ 870.20	\$ 870.20	\$ 89,463.80	99.04%
Supervisor	\$ 3,826.00		\$ 145.64	\$ 145.64	\$ 3,680.36	96.19%
DIRECT PERSONNEL (Benefits)	\$ 30,243.00		\$ 938.62	\$ 938.62	\$ 29,304.38	96.90%
SUBTOTAL	\$ 124,403.00		\$ 1,954.46	\$ 1,954.46	\$ 122,448.54	98.43%
B. OPERATING EXPENSES						
Local Travel	\$ 2,618.00			\$ -	\$ 2,618.00	100.00%
Communications	\$ 1,200.00		\$ 20.64	\$ 20.64	\$ 1,179.36	98.28%
Computer (Supplies)	\$ 1,875.00			\$ -	\$ 1,875.00	100.00%
Office Supplies	\$ 600.00			\$ -	\$ 600.00	100.00%
Marketing	\$ 6,780.00		\$ 719.33	\$ 719.33	\$ 6,060.67	89.39%
Seminars & Conference Travel Expenses	\$ 6,000.00			\$ -	\$ 6,000.00	100.00%
Dues & Subscriptions	\$ 888.00			\$ -	\$ 888.00	100.00%
Community Workshops (Supplies)	\$ 3,000.00			\$ -	\$ 3,000.00	100.00%
Website Development	\$ 3,400.00			\$ -	\$ 3,400.00	100.00%
SUBTOTAL	\$ 26,361.00		\$ 739.97	\$ 739.97	\$ 25,621.03	97.19%
C. TOTAL BUDGET	\$ 150,764.00		\$ 2,694.43	\$ 2,694.43	\$ 148,069.57	98.21%

Agency Name is requesting reimbursement in the amount of:

\$ 2,694.43

I CERTIFY UNDER PENALTY OF PERJURY, THAT THE ABOVE REPORT IS A TRUE AND COMPLETE REPRESENTATION OF THE INFORMATION CONTAINED IN OUR SOURCE RECORDS AND THAT I AM AUTHORIZED TO AUTHENTICATE AND CERTIFY TO SAID CLAIM.

X

Authorized Signer
Title

Spokane Transit Authority
Section 5310 Subrecipient Invoice
Approval Routing Form

Submitting Department: Planning and Development
 Contact Person: Principal Transit Planner
 STA Agreement #:
 Project/Program Title:

Date:

CONTRACT INFORMATION:

	<i>(To be completed with 1st Disbursement)</i>	Staff Initials	Date
Contract Term:			
FTA Award # (FAIN):			
Project Type:			
Required Local Match %:			
Indirect Cost Rate (ICR) %:			
ICR Approval Date:			
General Ledger Verified			

INVOICE BACKGROUND:

	Yes	No	N/A	Staff Initials	Date
Allowable Costs					
Approved Line Items as listed in Section 5310 Project Billing Workbook dated:					
Approved Line Items					
Monthly Beneficiary Data Report Included					
Credits Included					
Match Contribution Verified					
Budget Variances < 10%					
Supporting Documentation Attached (<i>required</i>)					
Project Billing Ledger Attached (<i>required</i>)					

SUMMARY:

Requested Action:

Review Signatures:

 Assistant Transit Planner

 Date

 Principal Transit Planner

 Date

FTA Section 5310

Agency Name

Grant FAIN

Agency Name					
Agreement #					
		Federal Match Ratio (%)		\$10,000	Local Match Ratio (%) \$0
Invoice #	Date	Federal Match	Local Match	Total Expenses	Comments
20001	8/6/2021	\$ 500.00	\$ -	\$ 500.00	March 2021
20002	8/6/2021	\$ 500.00	\$ -	\$ 500.00	April 2021
20003	8/6/2021	\$ 1,000.00	\$ -	\$ 1,000.00	May 2021
20004	8/13/2021	\$ 1,000.00	\$ -	\$ 1,000.00	June 2021
20005	8/27/2021	\$ 1,500.00	\$ -	\$ 1,500.00	July 2021
20006	10/5/2021	\$ 1,500.00	\$ -	\$ 1,500.00	August 2021
Total		\$ 6,000.00	\$ -	\$ 6,000.00	
Remaining Grant Balance		\$4,000.00	\$0.00	\$6,000.00	

FY22 (October 1, 2021 - September 30, 2022)
Section 5310 Invoice Tracking Sheet

WA-2018-067**AGENCY**

Agency Name

1. Date Packet Received (Stamped)
2. Date of Deficiency Notice Email
3. Date Entered in MUNIS
4. Date Paid in MUNIS

Days to Process**PROJECT STA AGREEMENT # CONTRACT START DATE**

Project Name Agreement Number 3/3/2019

CONTRACT END DATE

12/1/2021

October	November	December	January	February	March	April	May	June	July	August	September
1/11/2022	1/19/2022										
1/11/2022	NA										
1/21/2022	1/21/2022										
1/28/2022	1/28/2022										
10	2	0	0	0	0	0	0	0	0	0	0

Agency Name

Project Name Agreement Number 1/10/2019

12/1/2021

1. Date Packet Received (Stamped)
2. Date of Deficiency Notice Email
3. Date Entered in MUNIS
4. Date Paid in MUNIS

Days to Process

11/15/2021	12/13/2021	1/14/2022	2/14/2022								
11/18/2021	12/14/2021	1/20/2022	2/14/2022								
11/22/2021	12/15/2021	1/21/2022	2/23/2022								
12/3/2021	12/22/2021	1/28/2022	3/1/2022								
7	2	7	9	0	0	0	0	0	0	0	0

WA-2021-023**AGENCY**

Agency Name

1. Date Packet Received (Stamped)
2. Date of Deficiency Notice Email
3. Date Entered in MUNIS
4. Date Paid in MUNIS

Days to Process**PROJECT STA AGREEMENT # CONTRACT START DATE**

Project Name Agreement Number 4/1/2021

3/31/2023

11/18/2021	12/13/2021	1/14/2022	2/18/2022								
	NA	12/13/2021	1/14/2022	2/21/2022							
11/19/2021	12/14/2021	1/28/2022	2/23/2022								
11/26/2021	12/22/2021	2/4/2022	3/1/2022								
1	1	14	5	0	0	0	0	0	0	0	0

Agency Name

Project Name Agreement Number 12/1/2020

12/31/2022

1. Date Packet Received (Stamped)
2. Date of Deficiency Notice Email
3. Date Entered in MUNIS
4. Date Paid in MUNIS

Days to Process

12/15/2021	12/30/2021	2/1/2022									
12/15/2021	1/7/2022	2/3/2022									
12/27/2021	2/9/2022	2/9/2022									
12/29/2021											
12	41	8	0	0	0	0	0	0	0	0	0

WA-2021-029**AGENCY**

Agency Name

1. Date Packet Received (Stamped)
2. Date of Deficiency Notice Email
3. Date Entered in MUNIS
4. Date Paid in MUNIS

Days to Process**PROJECT STA AGREEMENT # CONTRACT START DATE**

Project Name Agreement Number 3/1/2021

8/31/2022

11/16/2021	12/13/2021	1/14/2022	2/18/2022								
11/18/2021	12/13/2021	1/14/2022	2/21/2022								
11/19/2021	12/14/2021	2/1/2022	2/23/2022								
11/26/2021	12/22/2021	2/4/2022	3/1/2022								
3	1	18	5	0	0	0	0	0	0	0	0

SECTION 5310 REQUEST FOR REIMBURSEMENT
(& MONTHLY REPORT OF ACCRUED EXPENDITURES/BUDGET BALANCE)



SUBRECIPIENT:
STA Agreement #:
FAIN #:
FTA Match Ratio:

Month:
10% Budget Variance

Dec-20
86.40%

LINE ITEM	BUDGET	PRIOR MONTH TO DATE	MONTH	CURRENT TO DATE	BALANCE REMAINING	% BUDGET REMAINING
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SUBTOTAL	\$ 124,403.00		\$ 1,954.46	\$ 1,954.46	\$ 122,448.54	98.43%
B. OPERATING EXPENSES						
Local Travel	\$ 2,618.00			\$ -	\$ 2,618.00	100.00%
Communications	\$ 1,200.00		\$ 20.64	\$ 20.64	\$ 1,179.36	98.28%
Computer (Supplies)	\$ 1,875.00			\$ -	\$ 1,875.00	100.00%
Office Supplies	\$ 600.00			\$ -	\$ 600.00	100.00%
Marketing	\$ 6,780.00		\$ 719.33	\$ 719.33	\$ 6,060.67	89.39%
Seminars & Conference Travel Expenses	\$ 6,000.00			\$ -	\$ 6,000.00	100.00%
Dues & Subscriptions	\$ 888.00			\$ -	\$ 888.00	100.00%
Community Workshops (Supplies)	\$ 3,000.00			\$ -	\$ 3,000.00	100.00%
Website Development	\$ 3,400.00			\$ -	\$ 3,400.00	100.00%
SUBTOTAL	\$ 26,361.00		\$ 739.97	\$ 739.97	\$ 25,621.03	97.19%
C. TOTAL BUDGET	\$ 150,764.00		\$ 2,694.43	\$ 2,694.43	\$ 148,069.57	98.21%

Agency Name is requesting reimbursement in the amount of:

\$ 2,694.43

I CERTIFY UNDER PENALTY OF PERJURY, THAT THE ABOVE REPORT IS A TRUE AND COMPLETE REPRESENTATION OF THE INFORMATION CONTAINED IN OUR SOURCE RECORDS AND THAT I AM AUTHORIZED TO AUTHENTICATE AND CERTIFY TO SAID CLAIM.

X

Authorized Signer
Title



SECTION 5310 FY2022 PROJECT CLOSEOUT MONITORING CHECKLIST

A subrecipient is a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a federal award. As the pass-through entity (Spokane Transit) is ultimately responsible for the subrecipient's performance and compliance with federal and state regulations and requirements.

Name of Subrecipient (Agency):

Project Contacts:

Phone/Email:**Address:**

Project Name:

FAIN or Grant #:**STA Contract #:**

Reviewer(s):

Date of Title VI Monitoring Review:

SUBRECIPIENT AGREEMENT INFORMATION

Award Date:

Award Type:

STA Board Award Date:	
-----------------------	--

Agreement Execution Date:

Comments:

SUBRECIPIENT INVOICE INFORMATION (Invoice information to be completed at end of project.)

[illegible]



SUBRECIPIENT PROJECT CLOSEOUT CHECKLIST	YES	NO	N/A
Does the agreement have federal clauses?			
<i>Comments:</i>			
Did the subrecipient provide a DUNS #, CAGE, etc.			
<i>Comments:</i>			
Audited subrecipient was not debarred (SAM)			
<i>Comments:</i>			
Review Risk Assessment			
<i>Comments:</i>			
Report subaward in FSRS (STA Responsible)			
<i>Comments:</i>			
Reviewed subrecipient has adequate local match			
<i>Comments:</i>			
Reviewed subrecipient has technical capacity			
<i>Comments:</i>			
Subrecipient signed Suspension & Debarment Certification			
<i>Comments:</i>			
Subrecipient signed Lobbying Certification			
<i>Comments:</i>			
Subrecipient signed DBE Certification			
<i>Comments:</i>			
Subrecipient signed Buy America Certification (if applicable)			
<i>Comments:</i>			
If Construction Contract complete Construction Checklist			
<i>Comments:</i>			
If subrecipient contracting with DBE complete DBE Checklist			
<i>Comments:</i>			
Audit subrecipient's Title VI program using Title VI Checklist			
<i>Comments:</i>			
Does subrecipient plan to use indirect costs? De minimis or cost allocation plan/proposal?			
<i>Comments:</i>			
Did subrecipient expend over \$750,000 in federal funds? If so, then Subrecipient must have independent audit report – for verification			
<i>Comments:</i>			
Is an EEO program or abbreviated EEO plan required? (FTAC 4704.1A page 1-3)			
<i>Comments:</i>			
Were Quarterly reports submitted on-time?			
<i>Comments:</i>			
Were reimbursement requests accurate with adequate supporting documentation?			
<i>Comments:</i>			
Date project is complete			



<i>Comments:</i>			
Date of site visit(s)/desk reviews			
<i>Comments:</i>			

Signature (STA Staff): _____

Date: _____

Supervisor Approved: _____

Date: _____

DRAFT

**Spokane Transit Authority
FY22 Section 5310 Monitoring Plan & Timeline**

This monitoring plan and timeline was developed using the following information:

- Results of Performance & Fiscal Monitoring Reviews conducted in 2020/2021
- Risk Assessment Checklists completed during the 2021 Call for Projects (checklists located in each Project File in Share Point)

Based on this information, monitoring reviews with current (low risk) subrecipients will be conducted in the first three months of 2022 (FY21 Q2). As of this date (November 8, 2021), there are no subrecipients that were determined to be “high-risk”. “Moderate risk” subrecipient reviews will be completed between April and June 2022 (FY Q3), and the remaining (“low risk”) 2021 project monitoring reviews will be completed between July and September 2022 (FY21 Q4).

FY21 Quarter 2 Monitoring Reviews (January– March)

1. Arc Operating (2020-10531) – Low risk subrecipient. 9 months into project.
2. SNAP Operating (2020-10534) – Low risk subrecipient. 10 months into project.
3. SMS Mobility Management (2020-10532) – Low risk subrecipient. 1 year into project.
4. Arc Capital (2019-10429) – Low risk subrecipient. 1 year into project.

Task	Timeline
Schedule monitoring reviews with subrecipient	January 17 – 19, 2022
Fill out section I & II in monitoring checklists and Title VI checklist	January 20 – 25, 2022
Confirm monitoring reviews, send checklists, and request documents to review	January 26 – 28, 2022
Conduct monitoring reviews	January 31 – February 3, 2022
Provide follow-up emails	February 7 – 11, 2022
Complete monitoring checklists	February 14 – 22, 2022
Draft reports to Kristine	February 23 – 25, 2022
Provide monitoring reports and complete checklists to subrecipient	March 2 – 4, 2022
Recommendations and requirements due date	March 16 – 18, 2022
Draft monitoring closeout and revised monitoring checklist to Kristine	March 23 – 25, 2022
Monitoring closeout letters to subrecipient	March 30 – April 1, 2022
Monitoring complete	April 1, 2022

FY21 Q3 Monitoring Reviews (April – June)

1. Cancer Can't Operating (term start 1/1/2022) – Moderate risk subrecipient. New subrecipient. Desk review
2. SSCC Capital (2020-10539) – Moderate risk subrecipient. New subrecipient. Desk Review
3. SMS Spokane Shopper (pending agreement) – Low risk subrecipient. Desk review.
4. SMS Mobility Training (pending agreement) – Low risk subrecipient. Desk review.
5. SNAP Operating (pending agreement) – Low risk subrecipient. Desk review.
6. SNAP Capital (2020-10533) – Low risk subrecipient. Desk review.

Task	Timeline
Schedule monitoring reviews with subrecipient	April 11 – 12, 2022
Fill out section I & II in monitoring checklists and Title VI checklist	April 13 – 15, 2022
Confirm monitoring reviews, send checklists, and request documents to review	April 18 – 19, 2022
Conduct monitoring reviews	April 20 – 27, 2022
Provide follow-up emails	April 28 – May 4, 2022
Complete monitoring checklists	May 5 – 12, 2022
Draft reports to Kristine	May 13 – 19, 2022
Provide monitoring reports and complete checklists to subrecipient	May 20 – 27, 2022
Recommendations and requirements due date	June 3 – 10, 2022
Draft monitoring closeout and revised monitoring checklist to Kristine	June 13 – 17, 2022
Monitoring closeout letters to subrecipient	June 20 – 24, 2022
Monitoring complete	June 24, 2022

FY21 Q4 Monitoring Reviews (July – September)

1. Arc of Spokane Capital (2016-00784) – Low risk subrecipient. Vehicle inspection closed in April 2021 with continued monitoring for disposition. Desk review.
2. COAST Capital (2018-10257) – Low risk subrecipient. Vehicle inspection closed February 2021 and all requirements were met. Vehicle inspection.
3. SNAP Capital (2018-10217) – Low risk subrecipient. Vehicle inspection completed April 2021 and all requirements were met. Vehicle inspection.
4. City of Spokane Valley Construction (pending agreement) – Low risk subrecipient. Desk review.
5. Volunteers of America Spokane Capital (pending agreement) – Moderate risk subrecipient. Desk review.
6. COAST Operating (pending agreement) – Low risk subrecipient. Project term will begin in April 2022. Fiscal/performance review.

Task	Timeline
Schedule monitoring reviews with subrecipient	July 5 – 7, 2022
Fill out section I & II in monitoring checklists and Title VI checklist	July 8 – 13, 2022
Confirm monitoring reviews, send checklists, and request documents to review	July 14 – 18, 2022
Conduct monitoring reviews	July 19 – July 25, 2022
Provide follow-up emails	July 26 – August 1, 2022
Complete monitoring checklists	August 2 – 8, 2021
Draft reports to Kristine	August 11 – 17, 2022
Provide monitoring reports and complete checklists to subrecipient	August 18 – 24, 2022
Recommendations and requirements due date	September 1 – 7, 2022
Draft monitoring closeout and revised monitoring checklist to Kristine	September 14 – 20, 2022
Monitoring closeout letters to subrecipient	September 21 – 27, 2022
Monitoring complete	September 27, 2022



SECTION 5310 FY2022 SUBRECIPIENT FINANCIAL MONITORING CHECKLIST

A subrecipient is a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal award. As the pass-through entity (Spokane Transit) is ultimately responsible for the subrecipient's performance and compliance with federal and state regulations and requirements.

Name of Subrecipient (Agency):

Project Contact(s):

Phone/Email:

Address:

Project Name:

FAIN or Grant #:

STA Contract #:

Reviewer(s):

In person or Virtual:

Date of Financial Monitoring Review:

SECTION 1: SUBRECIPIENT INFORMATION

(Section 1 to be completed by STA staff prior to Monitoring Review)

	YES	NO	N/A
Local Match Secured			
Date and Source (or Comment):			
Current Audit (within 2 years)			
Date and Source (or Comment):			
Single Audit (\$750,000 in Federal Awards)			
Date and Source (or Comment):			
Cost Allocation Plan Approved by STA			
Date and Source (or Comment):			
FSRS Report on File:			
Date and Source (or Comment):			
Is there a written subaward document with the agency? (Date of STA Award Letter):			
If no or N/A, explain:			
Does a subaward document describe the type of work or product that will be performed or delivered by the subrecipient? (Document name and date executed):			
If no or N/A, explain:			
Does a subaward document include a scope of work which specifies a deadline for each major service component or product identified in the subaward? (Document name and date executed):			
If no or N/A, explain:			
Does a subaward document contain a detailed budget to compare budgeted costs with actual costs? (Document name and date executed):			
If no or N/A, explain:			


INVOICE/REIMBURSEMENT CHECKLIST (A Sample will be selected 2 days prior to Monitoring Review)

INVOICE #	INVOICE DATE:	5310 AMOUNTS REQUESTED	LOCAL MATCH AMOUNT	DEFICIENCIES (Y/N) if yes, list type and resolution

Scope of Review: Ensure costs claimed are allowable, reasonable, and allocable in accordance with 2CFR 200.403, 2 CFR 200.404, 2 CFR 200.405

Signature (STA Staff): _____

Date: _____

Supervisor Approved: _____

Date: _____

SECTION 2: SUBRECIPIENT MONITORING (Financial Management System):	YES	NO	N/A
What type of financial management system does the subrecipient utilize?			
How are Federal funds identified and tracked in the accounting system?			
How is the project budget developed and monitored by the subrecipient organization?			
Are sources of non-federal funds identified and tracked separately in the accounting system?			
Does the subrecipient use a Chart of Accounts and Accounting Manual?			



Does the accounting manual describe the criteria for an obligation?			
Are accounting records supported by source documentation?			
Does the system provide for prompt and timely recording and reporting of all financial transactions?			
Does the subrecipient have written policy and procedures to adequately administer federal grant programs?			
Accounting Policy/Cash Management (2 CFR 200.302):			
Internal Controls (2 CFR 200.303):			
Travel Policy (2 CFR 200.474):			
Procurement Policy (2 CFR 200.318):			
Compensation (2 CFR 200.430):			
Conflict of Interest Policy (2 CFR 200.112):			
Equipment and Inventory Records (2 CFR 200.313)			
Are there sufficient internal controls in place to protect against waste, fraud, and abuse of Federal funds (segregation of duties, etc.)?			
Does the organization use the same policy and procedures for accounting and expending federal funds as it does for other agency funds?			
What procedures does the subrecipient use to identify and account for federal property purchased with grant funds?			
Does the subrecipient have adequate safeguards for preventing loss, damage, or theft of property held (inventory control, etc.)?			

SECTION 3: SUBRECIPIENT MONITORING (Cash Management):	YES	NO	N/A
Is the cash receipt(s) function performed by someone other than the person who is responsible for signing checks, reconciling bank accounts, or maintaining non-cash accounting records (i.e., ledgers or journals)?			
Are payment vouchers or supporting documents identified by grant number, date(s) and expense classification?			
Are all disbursements controlled by check registers?			
Do supporting documents accompany checks when they are submitted for signature?			
Are supporting documents canceled to prevent reuse?			
Are invoices or vouchers approved in advance by authorized officials?			



Are the requests for reimbursement from the pass-through entity based on supporting documentation from the accounting system?			
What is the process for paying project invoices? (Describe)			
How is the amount of award funds to draw down determined? (Describe)			

SECTION 4: SUBRECIPIENT MONITORING (Record Retention & Access):	YES	NO	N/A
At a minimum, are the subrecipient's record retention practices in compliance with the federal requirements?			
Do the entity's policies meet or exceed the Federal retention requirements?			
Has the subrecipient retained all records related to pending litigations, claims negotiations, audits or other actions involving records beyond the regular record retention requirements?			

SECTION 5: SUBRECIPIENT MONITORING (Audit Requirements):	YES	NO	N/A
Is the subrecipient required to obtain an audit under Subpart F for its most recently completed fiscal year?			
If yes, did the subrecipient submit the required audit report?			
Did the audit report contain any findings or questioned costs?			
If yes, has the subrecipient assigned someone the responsibility for resolving the findings or questioned costs?			
Did the subrecipient submit a timely response to the audit, including a plan for correcting any conditions reported in sustained findings?			

SECTION 6: SUBRECIPIENT MONITORING (Miscellaneous):	YES	NO	N/A
If program income will be generated by the subrecipient, have provisions been made to ensure that it is used in accordance with federal agency rules?			
Was technical assistance/training provided to the subrecipients during the project period?			
Are financial and progress reports submitted timely by the subrecipient?			
How is the amount to be charged to the award for an employee's salary and fringe benefit cost, including those employees whose hours may be allocated to more than one cost center, determined? (Describe)			



COMMENTS

For any issues identified during the monitoring review, provide clarification as necessary and specify corrective actions the subrecipient must undertake to resolve the issues and the deadline for the corrective action plan. Describe the nature of any technical assistance provided during the review. Also describe any necessary follow-up actions that should be provided by Spokane Transit staff.

SECTION 7: SUBRECIPIENT MONITORING (Post Review Activities):	YES	NO	N/A
Do monitoring checklists document areas monitored, conclusions reached, and necessary corrective action(s)?			
Is sufficient time given to subrecipients to respond to recommendations? (As outlined in the FY2022 5310 Monitoring Plan):			
Are monitoring results communicated on a timely basis to subrecipients? (Date of Monitoring Review Letter):			
Do results (listed in Monitoring Review Letter) include expected corrective actions and dates for resolution? If NO or N/A explain:			

Signature (STA Staff): _____

Date: _____

Supervisor Approved: _____

Date: _____



SECTION 5310 FY2022 SUBRECIPIENT PERFORMANCE MONITORING CHECKLIST

A subrecipient is a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a federal award. As the pass-through entity (Spokane Transit) is ultimately responsible for the subrecipient's performance and compliance with federal and state regulations and requirements.

Name of Subrecipient (Agency):

Project Contact(s):

Phone/Email:

Address:

Project Name:

FAIN or Grant #:

STA Contract #:

Reviewer(s):

In person or Virtual:

Date of Performance Monitoring Review:

SECTION 1: SUBRECIPIENT MONITORING, APPLICATION CHECKLIST

(Section 1 to be completed by STA staff prior to Monitoring Review)

	YES	NO	N/A
Application Signed and Dated by Authorized Official			
Date and Source (or Comment):			
Suspension/Debarment Certification			
Date and Source (or Comment):			
Lobbying Certification			
Date and Source (or Comment):			
DBE (DISADVANTAGED BUSINESS ENTERPRISE) Certification			
Date and Source (or Comment):			
Buy America (if applicable)			
Date and Source (or Comment):			
Title VI Plan Submitted			
Date and Source (or Comment):			
Title VI Plan Reviewed & Approved			
Date and Source (or Comment):			
Title VI Board Resolution or Approval			
Date and Source (or Comment):			



SECTION 2: SUBRECIPIENT MONITORING, SUBRECIPIENT AGREEMENT INFORMATION <i>(Section 2 to be completed by STA staff prior to Monitoring Review)</i>		YES	NO	N/A
Award Date				
Date and Source (or Comment):				
Award Type				
Date and Source (or Comment):				
STA Agreement Execution Date				
Date and Source (or Comment):				
Federal Clauses Attached				
Date and Source (or Comment):				
DUNS # Confirmed				
Date and Source (or Comment):				
SAM (System of Award Management) Clearance of File:				
Date and Source (or Comment):				
Quarterly Reports Received				
List Quarter(s) received:				
Quarterly Reports Complete				
If NO, list all missing information:				
Quarterly Reports Confirm Benefit Provided to 5310 Beneficiaries (Seniors &/or Person's w/Disabilities)				
(If NO, describe deficiency and steps taken to address)				
Number of Persons Proposed to Service in Application:				
Percentage Served (Total Served/Total Proposed):				
Number of Months Remaining in Contract:				
Percentage Completed (Total Months Remaining/Total Months in Contract):				

SECTION 3: ON-SITE/VIRTUAL MONITORING REVIEW QUESTIONS, PROJECT PERFORMANCE:	YES	NO	N/A
Has the project staffing changed since the application was submitted and the grant funds were awarded?			
Discuss the staffing levels, areas of expertise (or licenses required), and training provided to employees:			



Describe any community outreach activities to include program marketing:
Describe any steps taken to make the project accessible to persons with disabilities.
What mechanisms are in place (or plans being made) for sustaining the project beyond the life of this project agreement?
Where are the organization's nondiscrimination policies posted? (Obtain pictures) Are these policies posted on the organization's primary website?
Is the project on schedule? If not, provide explanation for delays and any proactive steps being taken to mitigate these challenges.
Are there any terms and/or conditions of the project agreement that the subrecipient would like to receive technical assistance?

Signature (STA Staff): _____

Date: _____

Supervisor Approved: _____

Date: _____



SECTION 5310 FY2022 VEHICLE INSPECTION MONITORING CHECKLIST

A subrecipient is a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a federal award. As the pass-through entity (Spokane Transit) is ultimately responsible for the subrecipient's performance and compliance with federal and state regulations and requirements.

Name of Subrecipient (Agency):

Project Contacts:

Phone/Email:

Address:

Project Name:

FAIN or Grant #:

STA Contract #:

Reviewer(s):

Date of Title VI Monitoring Review:

SUBRECIPIENT MONITORING, VEHICLE INSPECTION, GENERAL INFORMATION

Vehicle Make/Model:

VIN #:

Odometer Reading:

SUBRECIPIENT MONITORING, VEHICLE INSPECTION

YES

NO

N/A

Insurance in vehicle

Comments:

Registration in vehicle

Comments:

Title VI Public Notice in vehicle (FTA C4702.1BIII-4 Section 5 pg. 24)

Comments:

Maintenance Plan

Comments:

Warranties

Comments:

Pre-trip inspection checklist

Comments:

Milage/Trip record

Comments:

Visual inspection of vehicle exterior (photos)

Comments:



Vehicle cleanliness			
<i>Comments:</i>			
ADA lifts/ramps/securements			
<i>Comments:</i>			
Collisions			
<i>Comments:</i>			
Repairs needed			
<i>Comments:</i>			
Repairs completed			
<i>Comments:</i>			
Useful life remining			
<i>Comments:</i>			
Financial Audit (trips, eligibility, costs)			
<i>Comments:</i>			
Interior Lighting			
<i>Comments:</i>			
Exterior Lighting			
<i>Comments:</i>			
Chassis / Frame (Inspect for leaks, damage)			
<i>Comments:</i>			
Electrical (where applicable, including battery)			
<i>Comments:</i>			
Engine (ensure vehicle starts, note any noises)			
<i>Comments:</i>			
HVAC (Run heater, AC, fan)			
<i>Comments:</i>			
Safety (First aid kit, fire extinguisher, etc.)			
<i>Comments:</i>			
Written policies/procedures to prevent loss/damage/theft (covering FTA-funded vehicles)			
<i>Comments:</i>			

Signature (STA Staff): _____

Date: _____

Supervisor Approved: _____

Date: _____



SECTION 5310 FY2022 DBE MONITORING CHECKLIST

A subrecipient is a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a federal award. As the pass-through entity (Spokane Transit) is ultimately responsible for the subrecipient's performance and compliance with federal and state regulations and requirements.

Name of Subrecipient (Agency):

Project Contacts:

Phone/Email:

Address:

Project Name:

FAIN or Grant #:

STA Contract #:

Reviewer(s):

Date of Title VI Monitoring Review:

SUBRECIPIENT PROJECT CLOSEOUT CHECKLIST	YES	NO	N/A
Did subrecipient sign DBE certificate?			
<i>Comments:</i>			
Did subrecipient identify and report to STA contracted DBE firms?			
<i>Comments:</i>			
Did DBE subcontractors/Prime sign DBE certificate?			
<i>Comments:</i>			
Did Subrecipient provide STA with dates that DBE Firm was Working?			
<i>Comments:</i>			
Did STA confirm work was done by DBE?			
<i>Comments:</i>			
Did STA confirm prompt pay of DBE?			
<i>Comments:</i>			

Signature (STA Staff): _____

Date: _____

Supervisor Approved: _____

Date: _____



SECTION 5310 FY2022 CONSTRUCTION MONITORING CHECKLIST

A subrecipient is a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a Federal award. As the pass-through entity (Spokane Transit) is ultimately responsible for the subrecipient's performance and compliance with federal and state regulations and requirements.

Name of Subrecipient (Agency):

Project Contact(s):

Phone/Email:

Address:

Project Name:

FAIN or Grant #:

STA Contract #:

Reviewer(s):

In person or Virtual:

Date of Financial Monitoring Review:

CONSTRUCTION MONITORING CHECKLIST	YES	NO	N/A
Was NEPA satisfied?			
Comments:			
Did STA review RFP/IFB?			
Comments:			
Did subrecipient provide STA with bid table?			
Comments:			
Did Subrecipient provide Prime Contractor/Subcontractor names - see table below			
Comments:			
Did Subrecipient have prime and subcontractor sign applicable certifications – see table below			
Comments:			
Reviewed documentation that subrecipient confirmed contractor/subcontractor are licensed in the State of Washington			
Comments:			
Reviewed documentation that subrecipient confirmed the contractor/subcontractor are in good standing and current with the Department of Revenue			
Comments:			
Reviewed documentation that subrecipient confirmed that the contractor/subcontractor have Workers Compensation coverage			
Comments:			
Reviewed documentation that subrecipient confirmed contractor/subcontractor are not debarred in State of Washington and with federal government (SAM)			
Comments:			



Subrecipient identifies and reports any DBE contractors & includes DBE provision in contract(s) (FTAC 4220.1F Appendix D-4)			
Comments:			
Reviewed contract provisions of the subrecipient, prime and all subcontractors to verify federal language requirements for Civil Rights (Title VI, ADA, EEO) & (Special DOL EEO Clause if > 10,000 Appendix D-4 FTAC 4220.1F)			
Comments:			
Reviewed that Subrecipient verified state and federal wages rates based on bid date.			
Comments:			
Reviewed that the contractor has filed the Intent to Pay Prevailing Wage/Davis Bacon (49 U.S.C. 5333(a)) and verifies which wages (state or federal) is higher			
Comments:			
Subrecipient reviewed and verified wages for employees by job classification on weekly certified payrolls for all contractors performing work.			
Comments:			
Subrecipient, upon application of payment, verified complete certified payroll records for all contractors who have performed work for that period.			
Comments:			
Reviewed that Subrecipient ensured that the Prime Contractor follows "Prompt Pay Provisions". Verification of prompt pay is done by random selection. Emphasis will be placed on DBE subcontractors to ensure that "Prompt Pay Provisions" are followed.			
Comments:			
Reviewed that subrecipient reviewed and verified accurate Affidavit of Wages Paid.			
Comments:			
Reviewed that documentation was received in order to pay retainage. Subrecipient may allow Prime to have a retainage bond.			
Comments:			
Review construction documents to ensure ADA requirements are met.			
Comments:			
Review selected construction documents to verify Buy America compliance (if contract is over \$150,000 FTAC 4220.1F Appendix D-4)			
Comments:			
Conduct Site visits to verify plans meet specifications.			
Comments:			
Subrecipient notifies STA of sent notice of completion DOR, LNI, & ESD			
Comments:			

Bid Opening Date:				
Prime Contractor	Subcontractor	Discipline	Contract Amount	DBE (Yes/No)



Signed Certificates					
Name	Prime or Subcontractor	Suspension & Debarment	Lobbying	DBE	Buy America

Signature (STA Staff): _____

Date: _____

Supervisor Approved: _____

Date: _____



SECTION 5310 FY2022 SUBRECIPIENT TITLE VI MONITORING CHECKLIST

A subrecipient is a non-Federal entity that receives a subaward from a pass-through entity to carry out part of a federal award. As the pass-through entity (Spokane Transit) is ultimately responsible for the subrecipient's performance and compliance with federal and state regulations and requirements.

Name of Subrecipient (Agency):

Project Contacts:

Phone/Email:

Address:

Project Name:

FAIN or Grant #:

STA Contract #:

Reviewer(s):

Date of Title VI Monitoring Review:

SUBRECIPIENT MONITORING, TITLE VI	YES	NO	N/A
Did the subrecipient provide a Title IV Non-Discrimination Notice to the General Public. Notice must include Safe Harbor Languages.			
<i>Comments:</i>			
Did the subrecipient provide list of locations where the notice is posted? Must be posted in reception area of office and on website (may be posted in newspaper).			
<i>Comments:</i>			
Did subrecipient provide Complaint Procedures (i.e., instructions to the public regarding how to file a Title VI Discrimination complaint?)			
<i>Comments:</i>			
Did subrecipient provide a Title VI Complaint form?			
<i>Comments:</i>			
Did the subrecipient receive Title VI investigation, complaint, or lawsuit? If yes, please list the date, summarize the incident, and provide an update on the incident status.			
<i>Comments:</i>			
Did subrecipient use most recent census data to identify demographics of service area? Information on minority, language spoken at home and income are required.			
<i>Comments:</i>			
Did subrecipient provide a Public Participation Plan?			
<i>Comments:</i>			
Does the public participation plan include including info on outreach methods to engage minority and limited English proficient populations?			
<i>Comments:</i>			
Did subrecipient summarize outreach efforts since last Title VI Program submission, particularly to low-income, LEP and minority populations?			
<i>Comments:</i>			



Did subrecipient provide a Language Assistance Plan (LAP) for persons with limited English proficiency?			
<i>Comments:</i>			
Is LAP based on the four-factor analysis?			
<i>Comments:</i>			
Does LAP address how language assistance is provided, how notice that language assistance is provided, and that language assistance plan is monitored and updated?			
<i>Comments:</i>			
Does LAP identify how employees are trained to provide timely and reasonable language assistance?			
<i>Comments:</i>			
A table depicting the membership of transit-related non-elected committees and councils, the membership of which is selected by the recipient, broken down by race?			
<i>Comments:</i>			
Did the subrecipient provide a description of the process the agency uses to encourage the participation of minorities on non-elected transit related committees/boards/councils.			
<i>Comments:</i>			
Is the subrecipient planning a new facility that would require a Title VI equity analysis?			
<i>Comments:</i>			
A copy of board meeting minutes, resolution, or other appropriate documentation showing the board of directors or appropriate governing entity or official(s) responsible for policy decisions reviewed and approved the Title VI Program.			
<i>Comments:</i>			
Is the Title VI Plan sufficient, accurate, and/or in compliance with provisions of the Circular 4702.1B?			
<i>Comments:</i>			

COMMENTS

For any issues identified during the monitoring review, provide clarification as necessary and specify corrective actions the subrecipient must undertake to resolve the issues and the deadline for the corrective action plan. Describe the nature of any technical assistance provided during the review. Also describe any necessary follow-up actions that should be provided by Spokane Transit staff.

Signature (STA Staff): _____

Date: _____

Supervisor Approved: _____

Date: _____

2021 Section 5310 Budget Narrative Worksheet

Purpose

The Budget Detail Worksheet will be used to assist applicants in the preparation of the budget and budget narrative to ensure that only costs that are allowable be charged to the federal award.

Applicants must complete and submit a detailed budget narrative that reflects the amounts included in the Project Budget table of the application. The budget narrative must provide justification, in detail, the total amount needed to implement the project your organization is proposing.

All funds requested must support participants directly served by this project. Projects that receive Section 5310 funding will be required to provide sufficient documentation (established through billing invoices and/or quarterly progress reports) to establish direct benefit to seniors and persons with disabilities.

For each line item listed with a dollar figure provide a brief narrative detailing: (a) how the item relates to the proposed service and (b) the method used to determine the cost. The budget narrative should reflect the budget table in the application and provide information regarding the basis of estimation for each line item, including reference to sources used to substantiate the cost estimate (e.g., organization's policy, payroll document, and vendor quotes, etc.).

Personnel

List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position

Computation

Cost

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

Note: Personnel costs are only allowable for direct management and administration of the grant award, i.e., service delivery and preparation of mandatory post-award reports.

TOTAL _____

Fringe Benefits

Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category and only for the percentage of time devoted to the project (based on approved time records/sheets).

Fringe Category	Rate
Payroll Taxes	X%
401(k)	X%
Retirement	X%
FICA	X%

Insurance	X%
Social Security	X%
Workman's Comp	X%
Total	X%

Name/PositionComputationCost

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

TOTAL _____

Mileage/Travel

Itemize mileage and travel expenses of project personnel by purpose (e.g., staff/volunteer mileage reimbursement, employee training, community meeting etc.). Show the basis of computation (e.g., two employees to 3-day (specify) training at \$X airfare, \$X lodging, \$X subsistence). Identify the location of travel and purpose (to include specific conference agendas, fees, relevance), if known.

Purpose of TravelLocationItemComputationCost

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

TOTAL _____

Equipment

List equipment and supplies (including rolling stock) items that are to be purchased. Rolling stock describes equipment that is used to transport passengers and includes buses, vans, and cars. Light duty vehicles, such as vans, sedans, and pick-up trucks, employed in administrative and maintenance purposes are considered equipment. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

ItemComputationCost

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

TOTAL _____

Supplies

List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply ItemsComputationCost

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

TOTAL _____

Other Costs

List items (e.g., construction costs, rent, telephone) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

Description**Computation****Cost**

Budget Narrative: Provide a narrative budget justification for each of the budget items identified.

Important Note: If applicable to the project, construction costs should be included in this section of the Budget Detail Worksheet.

TOTAL _____

Budget Summary

When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal funds requested and the amount of non-Federal funds that will support the project. *Under Section F list any cost not captured or categorized in Sections A-E.*

Budget Category	Federal Amount Requested	Non-Federal Amount (support)
A. Personnel	_____	_____
B. Fringe Benefits	_____	_____
C. Travel	_____	_____
D. Equipment	_____	_____
E. Supplies	_____	_____
F. Other	_____	_____
Total Direct Costs	_____	_____
* TOTAL PROJECT COSTS	_____	_____
Federal Request	_____	
Non-Federal Amount	_____	

RISK ASSESSMENT QUESTIONNAIRE

Organization Name: _____

I. GENERAL ASSESMENT

1. Organization Experience with Similar Project(s):

Response (X)

5 + years	
3-5 years	
0-3 years	

Comments: If applicable, were the projects completed on time and within budget?

2. Organization experience with State or Federal Funds:

5 + years	
3-5 years	
0-3 years	

Comments:

3. Organization experience with FTA Grant program(s):

5 + years	
3-5 years	
0-3 years	

Comments:

4. Management or staff turnover or reorganization that affects this program:

No turnover or reorganization	
Little turnover or reorganization	
Significant turnover or reorganization	

Comments:

5. Average experience of project staff and management in the current position:

5+ years	
2-5 years	
Less than 2 years	

Comments:

6. Experience of staff and management with the FTA program(s):

5+ years	
2-5 years	
Less than 2 years	

Comments: Please list specific experience.

7. Familiarity with the program:

Have managed/conducted many similar programs in the past (5+ years' experience)	
Have managed/conducted a few similar programs	
Have minimal or no experience with this type of program	

Comments:

8. Effective written procedures and controls for this program:

Accounting Policy/Cash Management (2 CFR 200.302):	
Internal Controls (2 CFR 200.303):	
Travel Policy (2 CFR 200.474):	
Procurement Policy (2 CFR 200.318):	
Compensation (2 CFR 200.430):	
Conflict of Interest Policy (2 CFR 200.112):	
Equipment and Inventory Records (2 CFR 200.313):	
Formal/written and distributed to employees	
Informal policies and controls	
No policies or controls	

Comments: please attach written procedures.

III. LEGAL ASSESSMENT**1. Does the organization have or previously had any suit(s) filed against them within the last 5 years? (such as EEO, DBE, contractor suing for payment)**

No previous or current suits	
Has previously had a lawsuit	
Has a lawsuit	

Comments: Please provide an explanation of each historical and/or active suit, the finding(s) of the suit, and the prevailing party(ies).

2. Organization staff that have been arrested, convicted of a felony or are currently under criminal investigation:

No staff arrested, convicted or currently under criminal investigation	
Has staff that has been arrested, convicted or is currently under criminal investigation	

Comments:

3. Does the organization have any violations of Federal criminal law involving fraud, bribery or gratuity violations potentially affecting the Federal award?

No	
Yes	

Comments: If yes, provide supporting documentation.

IV. MONITORING/AUDIT ASSESSMENT

1. Past Audit findings from the A-133 Audit or any Internal Audits:

No material findings	
Some findings, not material	
Has material findings	

Comments: If applicable, please discuss how corrective actions were handled for finding(s).
Include timeline taken to get findings closed.

2. Have there been any previous audit findings (i.e. other comprehensive audit, Internal Audit)?

No material findings	
Some findings, not material	
Has material findings	

Comments:

3. When was the last on-site monitoring visit?

NA or Less than two years has passed since on-site visit	
Two years have passed since on-site visit	
More than two years have passed since on-site visit	

Comments: Provide the year of visit and provide details about the funding agency and project. List specific findings for each visit and provide details on how the findings were resolved.

V. FINANCIAL SYSTEMS ASSESSMENT**1. Does the organization have a financial management system in place to track and record program expenditures (Examples: QuickBooks, Visual Bookkeeper, Peachtree, or a Customer Proprietary System)?**

Yes, has financial management system in place	
No financial management system in place	

Comments: Please list the system used and length of time in use.

2. Does the accounting system identify the receipts and expenditures of program funds separately for each award?

Accounting system identifies receipts and expenditures of program funds separately for each award	
Accounting system identifies receipts and expenditures of program funds but does not separate for each award	
Accounting system does not identify receipts and expenditures of program funds	

Comments:

3. Does the organization have a time and accounting system to track time and expenditures by budget category?

Yes, Organization has a time and accounting system to track time and expenditures by cost objective	
Organization has a time and accounting system but does not track time and expenditures by cost objective	

Organization does not have a time and accounting system to track time and expenditures

Comments:

- 4. Does the organization maintain appropriate internal controls? (Reconciliation checks and balances are in place, duties are segregated, the final approval for payment is made by a different individual than the check/warrant signer)**

Yes	
No	

Comments:

V. CAPITAL ASSET TRACKING

- 1. Has the organization leased any FTA funded equipment to private operators, other public entities, or non-profit organizations?**

No	
Yes, with prior written approval from FTA	
Yes, without prior written approval from FTA	

- 2. Explain the organization's control system to prevent and investigate loss, damage, or theft of property.**

Comments: If applicable, please attach written policy

RISK ASSESSMENT SCORE CARD

Organization Name: _____

Once column B is completed
STA staff will calculate the
risk assessment

I. GENERAL ASSESMENT

1. Organization Experience with Similar Project(s):	Response (X)	Complete this section using the score in column C that corresponds to answer	Applicant Score	STA Staff Notes	STA Staff Score
5 + years		5			
3-5 years		3			
0-3 years		1			

Comments: If applicable, were the projects completed on time and within budget?

2. Organization experience with State or Federal Funds:	Response (X)	Complete this section using the score in column C that corresponds to answer	Applicant Score	STA Staff Notes	STA Staff Score
5 + years		5			
3-5 years		3			
0-3 years		1			

Comments:

3. Organization experience with FTA Grant program(s):	Response (X)	Complete this section using the score in column C that corresponds to answer	Applicant Score	STA Staff Notes	STA Staff Score
5 + years		5			
3-5 years		3			
0-3 years		1			

Comments:

4. Management or staff turnover or reorganization that affects this program:	Response (X)	Complete this section using the score in column C that corresponds to answer	Applicant Score	STA Staff Notes	STA Staff Score
No turnover or reorganization		5			
Little turnover or reorganization		3			
Significant turnover or reorganization		1			

Comments:

5. Average experience of project staff and management in the current position:	Response (X)	Complete this section using the score in column C that corresponds to answer	Applicant Score	STA Staff Notes	STA Staff Score
5+ years		5			
2-5 years		3			
Less than 2 years		1			

Comments:

6. Experience of staff and management with the FTA program(s):	Response (X)	Complete this section using the score in column C that corresponds to answer	Applicant Score	STA Staff Notes	STA Staff Score
5+ years		5			
2-5 years		3			
Less than 2 years		1			

Comments: Please list specific experience.

7. Familiarity with the program: _____

Have managed/conducted many similar programs in the past (5+ years' experience)		5				
Have managed/conducted a few similar programs		3				
Have minimal or no experience with this type of program		1				

Comments:

8. Effective written procedures and controls for this program:

Accounting Policy/Cash Management (2 CFR 200.302):						
Internal Controls (2 CFR 200.303):						
Travel Policy (2 CFR 200.474):						
Procurement Policy (2 CFR 200.318):						
Compensation (2 CFR 200.430):						
Conflict of Interest Policy (2 CFR 200.112):						
Equipment and Inventory Records (2 CFR 200.313):						
Formal/written and distributed to employees		5				
Informal policies and controls		3				
No policies or controls		1				

Comments: please attach written procedures.

III. LEGAL ASSESSMENT**1. Does the organization have or previously had any suit(s) filed against them within the last 5 years? (such as EEO, DBE, contractor suing for payment)**

No previous or current suits		5				
Has previously had a lawsuit		3				
Has a lawsuit		1				

Comments: Please provide an explanation of each historical and/or active suit, the finding(s) of the suit, and the prevailing party(ies).

2. Organization staff that have been arrested, convicted of a felony or are currently under criminal investigation:

No staff arrested, convicted or currently under criminal investigation		5				
Has staff that has been arrested, convicted or is currently under criminal investigation		1				

Comments:

3. Does the organization have any violations of Federal criminal law involving fraud, bribery or gratuity violations potentially affecting the Federal award?

No		5				
Yes		1				

Comments: If yes, provide supporting documentation.

IV. MONITORING/AUDIT ASSESSMENT**1. Past Audit findings from the A-133 Audit or any Internal Audits:**

No material findings		5				
Some findings, not material		3				
Has material findings		1				

Comments: If applicable, please discuss how corrective actions were handled for finding(s).
Include timeline taken to get findings closed.

2. Have there been any previous audit findings (i.e. other comprehensive audit, Internal Audit)?

No material findings		5				
Some findings, not material		3				
Has material findings		1				

Comments:

3. When was the last on-site monitoring visit?

NA or Less than two years has passed since on-site visit		5				
Two years have passed since on-site visit		3				
More than two years have passed since on-site visit		1				

Comments: Provide the year of visit and provide details about the funding agency and project. List specific findings for each visit and provide details on how the findings were resolved.

V. FINANCIAL SYSTEMS ASSESSMENT

1. Does the organization have a financial management system in place to track and record program expenditures (Examples: QuickBooks, Visual Bookkeeper, Peachtree, or a Customer Proprietary System)?

Yes, has financial management system in place		5				
No financial management system in place		1				

Comments: Please list the system used and length of time in use.

2. Does the accounting system identify the receipts and expenditures of program funds separately for each award?

Accounting system identifies receipts and expenditures of program funds separately for each award		5				
Accounting system identifies receipts and expenditures of program funds but does not separate for each award		3				
Accounting system does not identify receipts and expenditures of program funds		1				

Comments:

3. Does the organization have a time and accounting system to track time and expenditures by budget category?

Yes, Organization has a time and accounting system to track time and expenditures by cost objective		5				
Organization has a time and accounting system but does not track time and expenditures by cost objective		3				
Organization does not have a time and accounting system to track time and expenditures		1				

Comments:

4. Does the organization maintain appropriate internal controls? (Reconciliation checks and balances are in place, duties are segregated, the final approval for payment is made by a different individual than the check/warrant signer)

Yes		5			
No		1			

Comments:

V. CAPITAL ASSET TRACKING

1. Has the organization leased any FTA funded equipment to private operators, other public entities, or non-profit organizations?

No		5			
Yes, with prior written approval from FTA		3			
Yes, without prior written approval from FTA		1			

2. Explain the organization's control system to prevent and investigate loss, damage, or theft of property.

Comments: If applicable, please attach written policy

Total Score	0	0
--------------------	----------	----------

Risk Level	Range	Action	Range out of 10 Points
Lowest Risk	75-95	Regular Monitoring Requirements	8-10
Moderate Risk	45-74	Detailed Back Up Documentation, Quarterly Desk Audits	5-7
Highest Risk	19-44	Quarterly Desk Audits, Detailed Back Up Documentation	2-4



5310 Subrecipient

Quarterly Progress Report

Reports are due on the 20th day of the following month

Agency Name: _____ Project Name: _____

Grant ID/FAIN #: _____ Agreement #: _____

Report for quarter ending: ☐ March ☐ June ☐ September ☐ December
 Year: ☐ 2021 ☐ 2022 ☐ 2023

1. Progress Narrative (Please provide descriptions of project-related work during the quarter.)

A. Describe project activities for seniors and people with disabilities in Spokane County and the nature and size of unmet transportation needs for this population.

B. Include the geographic area served, total number served (unduplicated), total number of rides provided, total number of hours driven, total number of miles, total number of volunteer drivers utilized, total number of volunteer mileage reimbursed in the quarter (as applicable), total number of Seniors served, and total number of Individuals with Disabilities served.

Geographic Area Served	
Total Number Served (Unduplicated)	
Total Number of Rides Provided	
Total Number of Hours	
Total Number of Miles	
Total Number of Volunteer Drivers Utilized	
Total Number of Volunteer Miles Reimbursed	
Total Number of Seniors Served	
Total Number of Individuals with Disabilities Served	

C. Describe project efforts to address unmet transportation needs.
D. Describe current coordination efforts and activities to identify new transportation resources.
E. Describe service improvements and their impacts to the community, seniors and/or citizens with disabilities. <i>Examples could include increases or enhancements related to geographic coverage, service quality, and/or service times that impact availability of transportation services for seniors and individuals with disabilities.</i>
F. Describe any challenges encountered and any significant changes to the project you foresee as a result.
G. Describe any physical improvements: additions or changes to physical infrastructure (e.g., transportation facilities, sidewalks, etc.), technology, and vehicles as applicable.
H. Describe your outreach efforts to Limited English Proficiency (LEP), minority and low-income populations as it relates to this project.



**5310 Subrecipient
Quarterly Progress Report**

Reports are due on the 20th day of the following month

2. Complaints & Lobbying

A. Report EEO complaints, Title VI complaints, and ADA complaints. Describe complaint(s), investigation activities, and resolution.

B. For awards over \$100,000, describe lobbying activities conducted during the quarter and if there has been an SF-LLL form submitted in record of these activities. Please attach documentation to this report. This is applicable to all 5310 projects.

Any lobbying activities this quarter? ☐ Y ☐ N

SF-LLL form submitted? ☐ Y ☐ N

3. Vehicle Records

A. Attach records for each vehicle (if applicable) including regularly scheduled oil changes, tires, lift/ramp maintenance, accessibility features maintenance, damages, and warranty claims.

Vehicle maintenance records? ☐ Y ☐ N

Warranty claims? ☐ Y ☐ N

Applicable? ☐ Y ☐ N

4. Project Manager Certification

(Completion of this section certifies that the above information is true and accurate to the best of your knowledge.)

**Project
Manager:**

Email:

Title:

Phone:

**Signature of Authorized
Person Completing
Form:**

Date:

Please submit this quarterly report to Section5310@spokanetransit.com.

**5310 Subrecipient****Monthly Beneficiary Report**

Reports are due with invoices on the 20th day of each month.

Agency Name: _____ **Project Name:** _____

Grant ID/FAIN #: _____ **Agreement #:** _____

Month/Year of Report: _____

1. Monthly Project Activity Narrative (Please provide descriptions of project-related work during month.)

Describe the month's project activities for transportation of seniors and people with disabilities in Spokane County. Please include information regarding the activities of positions paid by the 5310 program, community outreach, marketing activities, and ride referrals (if applicable).

DRAFT

**5310 Subrecipient****Monthly Beneficiary Report**

Reports are due with invoices on the 20th day of each month.

2. Monthly Beneficiary Data

Include the total number served (unduplicated), total number of one-way rides provided, total number of Seniors served, and total number of Individuals with Disabilities served.

Total Number Served (unduplicated)	
Total number of one-way rides provided	
Total number of Seniors served	
Total number of Individuals with Disabilities served	

3. Project Manager Certification

(Completion of this section certifies that the above information is true and accurate to the best of your knowledge.)

**Project
Manager:**

Email:

Title:

Phone:

**Signature of Authorized
Person Completing
Form:**

Date:

Please submit this monthly report to Section5310@spokanetransit.com.

Section 5310 Grant Application Scoring Criteria

Category	Points Possible	Points Awarded
Risk Assessment (Scored separately by staff)	10	
Applications Completeness (Scored by staff)	10	
Proposed Service Improvements	25	
Regional Transportation Needs	10	
Performance Measures	20	
Management	10	
Financials	15	
Total	100	

Project Title:

Applicant:

Name of Committee Scorer:

FY21 Section 5310 Grant Application Scoring Form

Instructions: Please provide a score for each question using the scoring criteria provided (listed under the "Score" column) beginning with **Category: Proposed Services Improvements (25 points)**.

Category: Application Completeness (10 points) *(STA Staff to score this section before Scoring Committee review). If this section is blank, please contact Madeline Arredondo at marredondo@spokanetransit.com.*

Is the application complete with all required information needed to score?

Criteria	Comments	Score
To what extent are agency responses included for each application questions? Are any items missing or needing more relevant information? <i>3 points</i>		0 points if any questions missed or incomplete. 3 points if all responses provided and complete. _____
What required attachments did the agency submit for review/approval? Were any items missing or lacking information? <i>2 points</i>		0 points if any items missing or incomplete. 2 points if all attachments provided and complete. _____
What population will the project serve? <i>5 points</i>		1-3 points for seniors or individuals with disabilities served exclusively. 4-5 points if the project serves seniors and/or individuals with disabilities that have medical conditions or other needs that are considered high risk. _____
Total Score <i>Out of 10 possible points</i>		

Category: Proposed Service Improvements (25 points)

Does the project description include a direct benefit to seniors and/or persons with disabilities? Does this description also address a need not being met in the community?

Criteria	Comments	Score
<p>Does the proposed project provide a service that directly benefits seniors and/or persons with disabilities? <i>5 points</i></p>		<p>0 points if the proposed project does not clearly demonstrate that it will provide a direct benefit to seniors and/or persons with disabilities.</p> <p>1-3 points if the proposed project will provide a direct benefit to seniors and/or persons with disabilities.</p> <p>4-5 points if the proposed project provides a direct benefit to seniors and/or persons with disabilities and fills a transportation gap not currently provided in the community.</p> <p>_____</p>
<p>What barriers will this project seek to overcome in providing transportation options to seniors and individuals with disabilities? <i>10 points</i></p>		<p>0 points if the barriers are not identified.</p> <p>1-6 points if barriers are identified and the project provides the needed resources.</p> <p>7-10 points if the project addresses unique or significant barriers by providing tailored and/or specialized transportation options for seniors and individuals with disabilities.</p> <p>_____</p>
<p>Based on the methodology and/or information provided will the project provide a significant benefit to seniors and individuals with disabilities? <i>10 points</i></p>		<p>0 points if the estimate for the number to be served by the project is not supported by current data.</p> <p>For operating/rolling stock projects:</p> <p>1-6 points if the estimate for the number to be served by the project is supported by current data.</p> <p>7-10 points if the estimate for the number to be served by the project is supported by current data and primarily benefits seniors and/or individuals with disabilities (75% or greater) with more points weighted to projects that serve more people overall.</p> <p>For construction projects:</p> <p>1-6 points if the project is located in a census tract with a percentage of the population that are seniors and/or households with a disability that is higher than the county average.</p> <p>7-10 points for projects that directly improve accessibility for destinations, activity centers and transportation facilities that have a demonstrably higher rate of use by those that are seniors or individuals with</p>

		disabilities, with more points weighted to locations with higher demand. _____
Total Score <i>Out of 25 possible points</i>		

Category: Regional Transportation Needs (10 points)

Does the project identify gaps and unmet needs in the context of the regional transportation system?

Criteria	Comments	Score
What specific needs/strategies from the <i>Spokane County Coordinated Public Transit-Human Services Transportation Plan</i> will this project meet? <i>10 points</i>		1-6 points if needs/strategies identified. 7-10 points if more than 5 needs and strategies identified and how the project will meet them. _____
Total Score <i>Out of 10 possible points</i>		

Category: Performance Measures (20 points)

How does the applicant intend to measure the benefit provided by the project, according to the performance measures described in the logic model?

Criteria	Comments	Score
Does the proposed project increase or enhance the availability of transportation services for seniors and/or individuals with disabilities? <i>10 points</i>		0 points if the project does not increase or enhance transportation services. 1-6 points if the project increases OR enhances transportation services. 7-10 points if the project increases AND enhances transportation services. _____
What methodology will be used to gather data regarding one-way trips provided quarterly for seniors and individuals with disabilities? <i>10 points</i>		0 points if the methodology is not provided or wholly inadequate. 1-6 points if the methodology proposed is relatively clear but is questionable in its reliability or the applicant's ability to gather the data. 7-10 points if the methodology proposed is clear, appears reliable and/or the applicant is able to gather the data. _____
Total Score <i>Out of 20 possible points</i>		

Category: Management (10 points)

Based on information provided in the application, does the applicant demonstrate the capacity to administer a federal transportation project?

Criteria	Comments	Score
What qualifications/experience does the management team describe? <i>5 points</i>		0 points if no experience. 1-3 points if management team has experience/qualifications providing transportation services. 4-5 points if management team has experience/qualifications providing transportation services using federal funding. _____
How will the agency continue this project or sustain (for capital projects) services after project expiration? <i>5 points</i>		0 points if project will not continue. 1-3 points if project will continue with 5310 funding. 4-5 points if project will continue without 5310 funding. _____
Total Score <i>Out of 10 possible points</i>		

Category: Financials (15 points)

Based on the budget information provided in the application, does this project have a high potential for success?

Criteria	Comments	Score
What other funding sources have been committed to this project? <i>5 points</i>		0 points if no response provided. 1-3 points for at least one funding commitment that may include in-kind contribution. 4-5 points at least two funding commitments including grant and/or donations. _____
Is this project contingent upon other funding commitments? Indicate, if applicable, any interrelated projects that are seeking funding, either through the current call for projects or other funding sources, that are necessary to implement the requested project? <i>5 points</i>		1-3 points if the project is contingent on other funds. 4-5 points if the project is not contingent on other funds. _____
Is the project feasible to implement with less funds than requested? If so, what changes		0 points if project is not scalable. 1-2 points if project is scalable and provides a description of changes.

would be made to address a lower award amount than requested? <i>2 points</i>		_____
Are line items in the budget table clearly described in the budget narrative, including the basis for each cost (cost estimates, quotes, actual data, etc.)? <i>3 points</i>		0 points if unclear. 1-3 points if budget line items are clearly described and supported by documentation. _____
Total Score <i>Out of 15 possible points</i>		
Total Project Score Out of possible 100 points		

Signed:

Name, Title

Date

Program: _____ (name) _____ Logic Model

Situation: _____

Inputs <i>What we Invest</i>	Outputs		Outcomes -- Impact		
	<i>Activities</i>	<i>Participation</i>	<i>Short</i>	<i>Medium</i>	<i>Long</i>

Assumptions

External Factors

Program: (Sample) Non-profit 5310 Vehicle Purchase **Logic Model**

Situation: Inadequate equipment and resources to meet transportation needs of clients

Inputs <i>What we invest</i>	Outputs		Outcomes -- Impact		
	<i>Activities</i>	<i>Participation</i>	<i>Short</i>	<i>Medium</i>	<i>Long</i>
Funding	Driver Training	Seniors	"X" rides provided	Increase ridership of target population	Promote mobility of target population
Technology	Program outreach	Individuals with Disabilities	"X" target population served	Increased awareness of transportation resource	Increased access to transportation options
Staff	Ride scheduling	Health care providers	"X" drivers trained	Increased community partners	Meet program goals
Volunteers	Trip data gathered	Community Partners	"X" outreach activities		
Technical Assistance		Volunteers	Maintenance completed		

Assumptions

Drivers/Volunteers available, funding will be adequate

External Factors

Continued need for transportation for target population

Logic Model Descriptions

Situation

This is a description of a challenge, issue, or an opportunity the program's resources and activities will be addressing. The situation will be used as a basis to explain activity direction and the overall goal seeking to be achieved by the program.

Inputs

These are resources that contribute to the program's activities. There are human resources (i.e. faculty, staff, drivers, etc.) and financial resources (i.e. federal, state and local government, private funding, etc.). These are programmatic investments available to support the program.

Output Activities

These are the integrated efforts to address the situation and to highlighting those activities that were instrumental in the achievement of the program's goals. This is critical to the full evaluation of the program, because it provides an answer to the situation and explains the outcomes.

Output Participants

Participants, clients, organizations, agencies, decision-makers, and/or customers reached by the activities.

Outcomes Short

This occurs when there is a change in knowledge, awareness, skills, attitudes, opinions and intent. This also occurs when services are provided, and metrics are recorded.

Outcomes Medium

This occurs when there is a change in behaviors, decision-making and actions. These changes demonstrate how the knowledge gained or increased has been used.

Outcomes Long

This occurs when there is a change in conditions and experiences that have been a result of the changed behaviors and services provided.

Assumptions

These are beliefs about the program, people involved and how the program is perceived to work. Assumptions include ideas about the program or situation; the resources and staff; the external environment; the knowledge base; and the internal environment.

External Factors

These are aspects external to the program that influence the way the program operates, and are influenced by the program. Elements that affect the program over which there is little control.

5310 SUBRECIPIENT OPERATING AGREEMENT

DESIGNATED RECIPIENT		SUBRECIPIENT	
Spokane Transit Authority 1230 W Boone Avenue Spokane, WA 99201 P: (509) 325-6000		Company Address City, ST Zip P: (XXX) XXX-XXXX	
Contact: Kristine Williams Principal Transit Planner E: kwilliams@spokanetransit.com P: (509) 325-6058		Contact: Name Title E: XXX P: (XXX) XXX-XXXX	
Federal Tax ID #:	91-1151502	Federal Tax ID #:	XXX
STA Agreement #:	XXXX-XXXXX	DUNS #:	XXX

FEDERAL AWARD SUMMARY			
Awarding Agency:	FTA	R&D Award:	Choose an item.
CFDA #:	XXX	CFDA Name:	XXX
FAIN #:	XXX	FAIN #:	XXX
FAIN Award Date:	Click or tap to enter a date.	FAIN Award Date:	Click or tap to enter a date.
Designated Recipient FAIN Total Award:	\$ XXX,XXX	Designated Recipient FAIN Total Award:	\$ XXX,XXX
Subrecipient FAIN Total Project Award:	\$ XXX,XXX	Subrecipient FAIN Total Project Award:	\$ XXX,XXX
Subrecipient Aggregate Federal Funds Awarded:		\$ XXX,XXX	

PROJECT SUMMARY							
Project Start Date:		Click or tap to enter a date.		Project End Date:		Click or tap to enter a date.	
FAIN #:		XXX		FAIN #:		XXX	
Funding Source	Match	Amount	Funding Source	Match	Amount		
Federal	XX %	\$ XXX,XXX	Federal	XX %	\$ XXX,XXX		
Subrecipient	XX %	\$ XXX,XXX	Subrecipient	XX %	\$ XXX,XXX		
FAIN Total		\$ XXX,XXX	FAIN Total		\$ XXX,XXX		
Federal Total Funds:	\$ XXX,XXX	Subrecipient Total Funds:	\$ XXX,XXX	Project Total:	\$ XXX,XXX		
Project Description:		XXX					
Project Service Area:		XXX					

This 5310 Subrecipient Operating Agreement (“Agreement”) is entered into by and between the **Spokane Transit Authority**, a municipal corporation of the State of Washington (“STA” or “Designated Recipient”), and **XXX**, a XXX organization (“Subrecipient”); each individually referred to as “Party” and collectively as “Parties”.

WHEREAS, Federal funding is authorized under the Moving Ahead for Progress in the 21st Century Act (“MAP-21”), Enacted as Public Law 112-141, July 6, 2012; or other Federal laws the Federal Transit Administration (“FTA”) administers to the extent FTA so determines; and the Highway and Transportation Funding Act of 2014, Pub. L. 113-159, August 8, 2014; and

WHEREAS, funding is authorized under 49 USC § 5310 / MAP-21 for Enhanced Mobility of Seniors and Individuals with Disabilities Program, and any subsequent amendments and resolutions thereto; and

WHEREAS, STA is the Designated Recipient of FTA Section 5310 grant funding awarded under 49 USC § 5310; and

WHEREAS, through a local review and selection process, the Subrecipient has been selected as a subrecipient of a FTA Enhanced Mobility of Seniors and Individuals with Disabilities Grant, authorized under 49 USC Chapter 53, and specifically, grants awarded under 49 USC § 5310, and any subsequent amendments and resolutions thereto; and

WHEREAS, STA, as the Designated Recipient, is responsible for the administration and management of Subrecipient’s use of Grant funds pursuant to 49 USC § 5310, and will reimburse Subrecipient for eligible costs incurred in its performance of this Agreement; and

WHEREAS, Subrecipient shall at all times comply with the requirements of 49 USC § 5310, and all applicable FTA regulations, policies, procedures, and directives, including those listed herein or by reference, as they may be amended or promulgated from time to time during the term of this Agreement, and shall require compliance of these regulations by any third-party contractor or lower tier recipient of Grant funds, who is hired by Subrecipient to implement this Agreement; and

WHEREAS, Subrecipient shall sign all applicable federal certifications as required by the FTA and STA, to ensure compliance with FTA regulations, policies, procedures, and directives. These certifications may include compliance with government-wide Suspension and Debarment, Disadvantaged Business Enterprises, Buy America, and lobbying laws, rules, and regulations.

NOW, THEREFORE, in consideration of the terms, conditions, performances, and mutual covenants herein set forth and the attached Exhibit A, *Scope of Work and Budget*, which are incorporated and made a part hereof, it is mutually agreed as follows:

1. PURPOSE OF AGREEMENT

- A. The purpose of this Agreement is to facilitate STA’s provision of grant management services to the Subrecipient for the implementation of XXX, hereinafter known as the “Project”.
- B. In addition to the provisions of this Agreement, the Subrecipient will also comply with all requirements imposed by, or pursuant to, 49 USC chapter 53, all other applicable federal laws, regulations and requirements, and the requirements set forth in Exhibit B, *Federal Provisions*, a copy of which is attached hereto and by this reference incorporated into this Agreement.

2. DEFINITIONS

The following capitalized terms shall be defined as follows throughout this Agreement.

Term	Definition
ADA	Americans with Disabilities Act of 1990, as amended.
CFR	Code of Federal Regulations
DBE	Disadvantaged Business Enterprises
DOJ	United States Department of Justice
DOL	United States Department of Labor
DOT	United States Department of Transportation
EEO	Equal Employment Opportunity
EEOC	Equal Employment Opportunity Commission
EPA	United States Environmental Protection Agency
FAIN	Federal Award Identification Number
FTA	Federal Transit Administration
Grant	Funding allocated under FAIN.
GSA	United States General Services Administration
OMB	United States Office of Management and Budget
RCW	Revised Code of Washington
USC	United States Code

3. SCOPE OF PROJECT

The Subrecipient shall undertake and complete the Project described and detailed in Exhibit A, *Scope of Work and Budget*, and operate the service within the area described in the caption space header titled *Project Service Area*, in accordance with the terms and conditions of this Agreement. The caption space header titled *Project Service Area* and all caption space headers are by this reference incorporated herein as if fully set out in this Agreement.

4. TERM OF AGREEMENT

The Subrecipient shall commence, perform, and complete the Project within the dates provided in the caption space header titled *Project Start Date* and *Project End Date* in this Agreement regardless of the date of signature and execution of this Agreement, unless terminated as provided herein.

5. GENERAL COMPLIANCE ASSURANCE

The Subrecipient agrees to comply with all applicable requirements, rules, and regulations of the Grant and guidance provided by STA.

The Subrecipient agrees that STA, and/or any authorized STA representative, shall have not only the right to monitor the compliance of the Subrecipient with respect to the provisions of this Agreement, but also have the right to seek judicial enforcement with regard to any matter arising under this Agreement.

6. PROJECT COST

- A. Total Project Cost. The projected “Total Project Cost” amount is detailed in the table titled *Total Project Cost* in Exhibit A, *Scope of Work and Budget*. The Subrecipient agrees to expend eligible funds, together with any “Subrecipient Funds” detailed in the caption space header titled *Subrecipient Funds*, allocated for the Project, in an amount sufficient to complete the Project as detailed in Exhibit A, *Scope of Work and Budget*. The Subrecipient further agrees that there shall be no reduction in the amount specified as Subrecipient Funds unless there is a concurrent proportional reduction in the “Federal Funds”, or STA pre-approves the reduction in writing. If at any time the Subrecipient becomes aware that the cost which it expects to incur in the performance of this Agreement will exceed or be less than the Total Project Cost, the Subrecipient shall notify STA in writing within thirty (30) days of making that determination.
- B. Minimum Match. The Subrecipient is required to provide a minimum match of funds for the Project, identified as Subrecipient Funds in the table titled, *Total Project Costs*. Any reduction in Subrecipient Funds will result in a proportional reduction in Federal Funds.
- C. The Subrecipient shall pay from Subrecipient Funds, and be solely responsible for, all charges, late fees and fines, as well as any permits and/or inspection fees, and taxes which may be imposed with respect to the Project.

7. PAYMENT

- A. For Subrecipient expenses incurred under this Agreement, Federal Funds shall be used to reimburse the Subrecipient for allowable expenses incurred in completing the Project. Allowable Project expenses shall be determined by STA. In no event shall the total amount reimbursed by STA exceed the amount of Federal Funds identified in the table titled *Total Project Costs*.
- B. Payment will be made by STA on a reimbursable basis for actual net Project costs incurred within the timeframe in the caption space titled *Project Start Date* and *Project End Date*. STA shall make no payments for costs incurred prior to the beginning or after the ending dates shown in the caption space titled *Project Start Date and Project End Date*. The Subrecipient shall submit an invoice detailing and supporting the costs incurred. Such invoices may be submitted no more than once per month and no less than once per calendar quarter. If approved by STA, said invoices shall be paid by STA within thirty (30) days. Payment is subject to the submission to and approval by STA of appropriate invoices, reports, and financial summaries. Any financial summaries submitted to STA must include a record of the actual costs.

8. ASSIGNMENTS & SUBCONTRACTS

- A. Unless otherwise authorized in advance and in writing by STA, the Subrecipient shall not assign any portion of the Project or execute any contract, amendment, or change order thereto, or obligate itself in any manner with any third-party with respect to its rights and responsibilities under this Agreement.
- B. The Subrecipient agrees to include Sections 5, 8, 9, 11, 13 through 19, 23 through 25, 34 through 36, and 38 of this Agreement in each subcontract and in all contracts it enters into for the employment of any individuals, procurement of any incidental goods or supplies, or the performance of any work to be accomplished under this Agreement. It is further agreed that those clauses shall not be modified in any such subcontract, except to identify the subcontractor or other person or entity that will be subject to its provisions. In addition, the following provision shall be included in any advertisement or invitation to bid for any procurement by the Subrecipient under this Agreement:

“Statement of Financial Assistance: This Agreement is subject to the appropriations of the Federal Transit Administration.”

- C. The Subrecipient also agrees to incorporate Exhibit B, *Federal Provisions*, into each contract, subcontract or agreement it enters into in the performance of its obligations under this Agreement.

9. NO OBLIGATION BY STA

No contract between the Subrecipient and its subcontractors shall create any obligation or liability for STA with regard to this Agreement without STA’s specific written consent, notwithstanding its concurrence in, or approval of, the award of any contract or subcontract or the solicitations thereof.

10. REPORTS

- 11. The Subrecipient shall prepare quarterly reports regarding the Project pursuant to this Agreement, or as requested by STA. Any required quarterly progress reports shall be submitted for the duration of this Agreement period regardless of whether the underlying funding sources have been exhausted. STA will provide a template for quarterly reports and the Subrecipient must submit all quarterly reports using the provided template.

REMEDIES FOR MISUSE OR NONCOMPLIANCE.

The Subrecipient shall not use the Project or any part thereof in a manner different from that set forth in Section 3. If STA determines that the Project has been used in a manner different from Section 3, STA may direct the Subrecipient to repay STA all funds identified under *Project Cost* which have been previously reimbursed by STA. STA may also withhold payments should it determine that the Subrecipient has failed to comply with any provision of this Agreement.

12. PROJECT CLOSEOUT

- A. The Subrecipient must submit, no later than ninety (90) calendar days after the Project End Date, all financial, performance and other reports as required by the terms and conditions of the Grant. STA may approve extensions when requested by the Subrecipient.
- B. Unless the FTA or Designated Recipient authorizes an extension, the Subrecipient must liquidate all obligations incurred under the Project not later than ninety (90) calendar days after the Project End Date.
- C. STA shall make prompt payment to Subrecipient for any remaining allowable reimbursable costs.
- D. The Subrecipient must promptly refund any balance of unobligated funds the Designated Recipient paid in advance, or paid which are not authorized to be retained by the Subrecipient for use in other projects.
- E. The Subrecipient must account for any real and personal property acquired with Grant funds or received from the Federal Government in accordance with §§200.310 *Insurance Coverage* through 200.316 *Property Trust Relationship* and §200.329 *Reporting on Real Property*.

13. ETHICS

- A. Relationships with Employees and Officers of STA. The Subrecipient shall not extend any loan, gratuity or gift of money in any form whatsoever to any employee or officer of STA, nor shall Subrecipient rent or purchase any equipment and materials from any employee or officer of STA.
- B. Employment of Former STA Employees. The Subrecipient hereby warrants that it shall not engage on a full-time, part-time, or other basis during the period of this Agreement, any professional or technical personnel who are, or have been, at any time during the period of this Agreement, in the employ of STA without written consent of STA.
- C. Anti-Kickback. No officer or employee of the Spokane Transit Authority or the Subrecipient, having the power or duty to perform an official act or action related to this Agreement, shall have or acquire any interest in the Agreement, or have solicited, accepted or granted a present or future gift, favor, service or other thing of value from or to any person involved in this Agreement.

14. COMPLIANCE WITH LAWS & REGULATIONS

The Subrecipient agrees to abide by all applicable state and federal laws and regulations including but not limited to, those concerning employment, equal opportunity employment, nondiscrimination assurances, project record keeping necessary to evidence compliance with such federal and state laws and regulations, and retention of all such records. The Subrecipient will adhere to all of the nondiscrimination provisions in chapter 49.60 RCW. Except when a federal statute or regulation preempts state or local law, no provision of this Agreement shall require the Subrecipient to observe or enforce compliance with any provision, perform any other act, or do any other thing in contravention of state or local law. If any provision or compliance with any provision of this Agreement violate state or local law, or would require the Subrecipient to violate state or local law, the Subrecipient agrees to notify STA immediately in writing. Should this occur, STA and the Subrecipient agree to make appropriate arrangements to proceed with or, if necessary, expeditiously, terminate the Project.

15. ENVIRONMENTAL REQUIREMENTS

The Subrecipient agrees to comply with all applicable requirements of chapter 43.21C RCW *State Environmental Policy Act* ("SEPA").

16. ACCOUNTING RECORDS

- A. Project Accounts. The Subrecipient agrees to establish and maintain for the Project either a separate set of accounts or separate accounts within the framework of an established accounting system that can be identified with the Project. The Subrecipient agrees that all checks, payrolls, invoices, contracts, vouchers, orders, or other accounting documents pertaining in whole or in part to the Project shall be clearly identified, readily accessible and available to STA upon request, and, to the extent feasible, kept separate from documents not pertaining to the Project.
- B. Documentation of Project Costs and Program Income. The Subrecipient agrees to support all allowable costs charged to the Project, including any approved services contributed by the Subrecipient or others, with properly executed payrolls, time records, invoices, contracts, or vouchers describing in detail the nature and propriety of the charges. The Subrecipient also agrees to maintain accurate records of all program income derived from implementing the Project.

17. AUDITS, INSPECTION & RECORDS RETENTION

- A. Submission of Proceedings, Contracts, Agreements, and Other Documents. During the term of the Project and for six (6) years thereafter, the Subrecipient agrees to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to the Project as STA may require. Project closeout does not alter these recording and record-keeping requirements. Should an audit, enforcement, or litigation process be commenced, but not completed, during the aforementioned six-year period then the Subrecipient's obligations hereunder shall be extended until the conclusion of that pending audit, enforcement, or litigation process.
- B. General Audit Requirements. The Subrecipient agrees to obtain any other audits required by STA at Subrecipient's expense. Project closeout will not alter the Subrecipient's audit responsibilities.
- C. Inspection. The Subrecipient agrees to permit STA and the State Auditor, or their authorized representatives, to inspect all Project work materials, payrolls, and other data, and to audit the books, records, and accounts of the Subrecipient and its subcontractors pertaining to the Project. The Subrecipient agrees to require each third-party to permit STA, and the State Auditor or their duly authorized representatives, to inspect all work, materials, payrolls, and other data and records involving that third-party contract, and to audit the books, records, and accounts involving that third-party contract as it affects the Project.

18. LABOR PROVISIONS

No Subrecipient or subcontractor contracting for any part of the Project work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty (40) hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty (40) hours in such workweek. Subrecipient will comply with Title 49 RCW, Labor Regulations.

19. CHANGED CONDITIONS AFFECTING PERFORMANCE

The Subrecipient hereby agrees to immediately notify STA of any change in conditions or law, or of any other event, which may affect its ability to perform the Project in accordance with the provisions of this Agreement.

20. COVID-19 SPECIAL PROVISIONS

- A. Compliance with CDC Mask Order. The Centers for Disease Control and Prevention ("CDC") Order of January 29, 2021, titled Requirement for Persons to Wear Masks While on Conveyances and at Transportation Hubs ("CDC Mask Order"), is within the meaning of "Federal Requirement" as that term is defined in the FTA Master Agreement (28) dated February 9, 2021. One of the objectives of the CDC Mask Order is "[m]aintaining a safe and operating transportation system". The Subrecipient agrees that it will comply, and will require all third-party participants to comply, with the CDC Mask Order.
 - 1) Enforcement for Non-Compliance. The Subrecipient agrees that STA or the FTA may take enforcement action for non-compliance with the CDC Mask Order, including:
 - a) Enforcement actions authorized by 49 USC § 5329(g);
 - b) Referring the Subrecipient to the CDC or other Federal authority for enforcement action;

- c) Enforcement actions authorized by 2 CFR §§ 200.339 - .340; and
 - d) Any other enforcement action authorized by Federal law or regulation.
- B. Coronavirus Response and Relief Supplemental Appropriations Act of 2021 and American Rescue Plan Act of 2021. The Coronavirus Response and Relief Supplemental Appropriations Act of 2021 (“CRRSAA”) and the American Rescue Plan Act of 2021 (“ARPA”) provides supplemental funding at 100% federal share, with no local match required, subject to the following Subrecipient certification (select one only):
- ☐ The Subrecipient certifies that it, and its subrecipients and contractors that are providers of public transportation, have not furloughed any employees since March 27, 2020; or
 - ☐ The Subrecipient certifies that it and any subrecipient or contractor that is a provider of public transportation: (a) are currently not furloughing any employees; (b) have, to the maximum extent possible, brought back any employees previously furloughed as a direct result of financial challenges caused by the COVID-19 public health emergency; or (c) have rehired, or posted to rehire, any positions of employees who were laid off as a result of financial challenges caused by the COVID-19 public health emergency; or
 - ☐ The Subrecipient certifies that it and any subrecipient or contractor that is a provider of public transportation: (a) intend, to the maximum extent possible, to use CRRSAA or ARPA funds to bring back any employees previously furloughed as a direct result of financial difficulties caused by the COVID-19 public health emergency; (b) intend to use CRRSAA or ARPA funds to rehire any positions of employees who were laid off as a direct result of financial challenges caused by the COVID-19 public health emergency; and (c) will explain how they have spent CRRSAA or ARPA funds on payroll, operations, or payroll and expenses of private providers of public transportation “to the maximum extent possible”.
- C. The Subrecipient agrees that if it receives Federal funding from the Federal Emergency Management Agency (FEMA) or through a pass-through entity through the Robert T. Stafford Disaster Relief and Emergency Assistance Act, a different Federal agency, or insurance proceeds for any portion of a project activity approved for FTA funding under this Grant Agreement, it will provide written notification to FTA, and reimburse FTA for any Federal share that duplicates funding provided by FEMA, another Federal agency, or an insurance company.

21. NOTICES

All notices, requests, claims, demands and other communications shall be in writing and shall be signed by a person duly authorized to provide such notice. Notices permitted or requested to be given hereunder shall be deemed sufficient if given (1) in person; (2) by registered or certified mail, postage prepaid, return receipt requested; (3) by regular mail, postage prepaid; or (4) by facsimile or email, addressed to the respective contact of the Parties as set forth below, or as may be revised by like notice from time to time.

All notices shall be deemed to have been duly given (1) when delivered in person; (2) upon receipt after dispatch by registered or certified mail, postage prepaid; (3) three (3) business days after the date of mailing by regular mail, postage prepaid; or (4) upon confirmation of receipt when transmitted by facsimile or a read receipt when transmitted by email.

Subrecipient	Spokane Transit Authority
Name Title Company Address City, ST ZIP E: XXX P: (XXX) XXX-XXXX F: (XXX) XXX-XXXX	Robert West Contracts Compliance Specialist Spokane Transit Authority 1230 W Boone Ave Spokane, WA 99201 E: rwest@spokanetransit.com P: (509) 325-6062 F: (509) 325-6036

22. DISPUTES

- A. Disputes. Disputes, arising in the performance of this Agreement, which are not resolved by agreement of the Parties, shall be decided in writing by STA's Contract Compliance Specialist or their designee. This decision shall be final and conclusive unless within ten (10) days from the date of Subrecipient's receipt of STA's written decision, the Subrecipient mails or otherwise furnishes a written appeal to STA's Chief Executive Officer or their designee. The Subrecipient's appeal shall be decided in writing by STA's Chief Executive Officer within thirty (30) days of receipt of the appeal by the Chief Executive Officer or their designee. The decision of STA's Chief Executive officer shall be binding upon the Subrecipient and the Subrecipient shall abide by the decision.
- B. Performance During Dispute. Unless otherwise directed by STA, Subrecipient shall continue performance under this Agreement while matters in dispute are being resolved.
- C. Claims for Damages. Should either Party to this Agreement suffer injury or damage to person, property, or right because of any act or omission of the other Party or any of that Party's employees, agents or others for whose acts it is legally liable, a claim for damages therefore shall be made in writing to such other Party within thirty (30) days after the first observance of such injury or damage.
- D. Rights and Remedies. All remedies provided in this Agreement are distinct and cumulative to any other right or remedy under this document or afforded by law or equity, and may be exercised independently, concurrently, or successively and shall not be construed to be a limitation of any duties, obligations, rights and remedies of the Parties hereto. No action or failure to act by STA or Subrecipient shall constitute a waiver of any right or duty afforded any of them under this Agreement, nor shall any such action or failure to act constitute an approval of or acquiescence in any breach thereunder, except as may be specifically agreed in writing.

23. NONCOMPLIANCE WITH GRANT TERMS

If the Subrecipient fails to comply with Federal statutes, regulations or the terms & conditions of the Grant, the FTA or Designated Recipient may impose additional conditions on the Subrecipient as described in 2 CFR § 200.207. If the FTA or Designated Recipient determines that Subrecipient noncompliance cannot be remedied by the imposition of such additional conditions, the FTA or Designated Recipient may take one or more of the following actions as it deems necessary and appropriate to the circumstances:

- A. Temporarily withhold payment to the Subrecipient cost of the activity or action that is not in compliance;
- B. Disallow the use of Federal Funds, Subrecipient Funds or both for all or part of the cost of the activity or action not in compliance;
- C. Wholly or partially terminate the Subrecipient award or Grant award;
- D. Recommend to the FTA Subrecipient suspension or debarment proceedings as authorized under 2 CFR 180 and FTA regulations;
- E. Withhold further Federal awards for the Project; or
- F. Exercise other remedies that may be legally available.

24. SUSPENSION / TERMINATION

- A. Termination for Convenience. STA and/or the Subrecipient may suspend or terminate this Agreement, in whole or in part, and all or any part of the financial assistance provided herein, at any time by written notice to the other Party. STA and the Subrecipient shall agree upon the Agreement termination provisions including, but not limited to, the settlement terms, conditions, and in the case of partial termination, the portion to be terminated. Written notification must set forth the reasons for such termination, the effective date, and in case of a partial termination, the portion to be terminated. However if, in the case of partial termination, STA determines that the remaining portion of the award will not accomplish the purposes for which the award was made, STA may terminate the award in its entirety. The Parties may terminate this Agreement for convenience for reasons including, but not limited to, the following:
 - 1) The requisite funding becomes unavailable through failure of appropriation or otherwise;
 - 2) STA determines, in its sole discretion, that the continuation of the Project would not produce beneficial results commensurate with the further expenditure of funds;
 - 3) The Subrecipient is prevented from proceeding with the Project as a direct result of an Executive Order of the President with respect to the prosecution of war or in the interest of national defense; or an Executive Order of the President or Governor of the State with respect to the preservation of energy resources;
 - 4) The Subrecipient is prevented from proceeding with the Project by reason of a temporary preliminary, special, or permanent restraining order or injunction of a court of competent jurisdiction where the issuance of such order or injunction is primarily caused by the acts or omissions of persons or agencies other than the Subrecipient; or
 - 5) In the case of termination for convenience under Sections 24.A.1) through 24.A.5), STA shall reimburse the Subrecipient for all costs payable under this Agreement that the Subrecipient properly incurred prior to termination. The Subrecipient shall promptly submit its claim for reimbursement to STA. If the Subrecipient has any property in its possession belonging to STA, the Subrecipient will account for the same, and dispose of it in the manner STA directs.
- B. Termination for Default. STA may suspend or terminate this Agreement for default, in whole or in part, and all or any part of the financial assistance provided herein, at any time by written notice

to the Subrecipient, if the Subrecipient materially breaches or fails to perform any of the requirements of this Agreement, including, but not limited to:

- 1) Takes any action pertaining to this Agreement without the approval of STA, which under the procedures of this Agreement would have required the approval of STA;
 - 2) Jeopardizes its ability to perform pursuant to this Agreement, United States of America laws, Washington state laws, or local governmental laws under which the Subrecipient operates;
 - 3) Fails to make reasonable progress on the Project or other violation of this Agreement that endangers substantial performance of the Project; or
 - 4) Fails to perform in the manner called for in this Agreement or fails, to comply with, or is in violation of, any provision of this Agreement. STA shall serve a notice of termination on the Subrecipient setting forth the manner in which the Subrecipient is in default hereunder. If it is later determined by STA that the Subrecipient had an excusable reason for not performing, such as events which are not the fault of or are beyond the control of the Subrecipient, such as a strike, fire or flood, STA may: (a) allow the Subrecipient to continue work after setting up a new delivery of performance schedule, or (b) treat the termination as a termination for convenience.
- C. STA, in its sole discretion may, in the case of a termination for breach or default, allow the Subrecipient ten (10) business days, or such longer period as determined by STA, in which to cure the defect. In such case, the notice of termination will state the time period in which cure is permitted and other appropriate conditions. If the Subrecipient fails to remedy to STA's satisfaction the breach or default within the timeframe and under the conditions set forth in the notice of termination, STA shall have the right to terminate this Agreement without any further obligation to Subrecipient. Any such termination for default shall not in any way operate to preclude STA from also pursuing all available remedies against Subrecipient and its sureties for said breach or default.
- D. In the event that STA elects to waive its remedies for any breach by Subrecipient of any covenant, term or condition of this Agreement, such waiver by STA shall not limit STA's remedies for any succeeding breach of that or of any other term, covenant, or condition of this Agreement.
- E. If this Agreement is terminated, whether for convenience or for default, before the specified end date set forth in the caption header *Project Start Date* and *Project End Date*, STA and the Subrecipient shall execute an amendment to this Agreement identifying the termination date and the reason for termination.

25. LIMITATION OF LIABILITY

- A. The Subrecipient shall indemnify and hold harmless STA, its officers, directors, agents and employees from any and all claims, demands, suits at law or equity, actions, penalties, losses, damages, or costs (collectively, "claims"), of whatsoever kind or nature brought against STA arising out of, in connection with or incident to the execution of this Agreement and/or the Subrecipient's performance or failure to perform any aspect of this Agreement. In the event that any claims, investigations, demands, suits, actions or lawsuits arise out of any of the aforesaid acts, errors, or omissions, the Subrecipient shall assume all costs of defending such claims, suits, actions or lawsuits, including legal fees incurred by STA, any penalties imposed on STA or the Subrecipient, and all judgments that may be obtained against STA, or any of its officers, agents, or employees in such suits.

This indemnity provision applies to all claims against STA, its officers, directors, agents and employees arising out of, in connection with or incident to the negligent acts or omissions of the Subrecipient, its agents, employees, officers and subcontractors. Provided, however, that nothing herein shall require the Subrecipient to indemnify and hold harmless or defend STA, its agents, employees or officers to the extent that claims are caused by the sole negligent acts or omissions of STA, its officers, directors, agents or employees; and provided further that if such claims result from the concurrent negligence of (a) the Subrecipient its employees, agents, officers or contractors and (b) STA, its officers, directors, employees or authorized agents, or involves those actions covered by RCW 4.24.115, the indemnity provisions provided herein shall be valid and enforceable only to the extent of the negligence of the Party, its employees, officers, authorized agents, and/or contractors. This indemnification and hold harmless provision shall survive termination of this Agreement.

- B. The Subrecipient shall be deemed an independent contractor for all purposes, and the employees of the Subrecipient or its subcontractors and the employees thereof, shall not in any manner be deemed to be the employees of STA.
- C. The Subrecipient specifically assumes potential liability for actions brought by Subrecipient's employees and/or subcontractors and solely for the purposes of this indemnification and defense, the Subrecipient specifically waives any immunity under the State Industrial Insurance Law, Title 51 RCW.
- D. In the event either the Subrecipient or STA incurs attorneys' fees, costs or other legal expenses to enforce the provisions of this Section of this Agreement against the other Party, all such fees, costs and expenses shall be recoverable by the prevailing Party.

26. PERSONAL LIABILITY OF PUBLIC OFFICERS

No officer or employee of STA shall be personally liable for any acts or failure to act in connection with this Agreement, it being understood that in such matters they are acting solely as agents of STA.

27. STA ADVICE

The Subrecipient bears complete responsibility for the administration and success of the Project as it is defined by this Agreement and any amendments thereto. If the Subrecipient solicits advice from STA on problems that may arise, the offering of STA advice shall not shift the responsibility of the Subrecipient for the correct administration and success of the Project, and STA shall not be held liable for offering advice to the Subrecipient.

28. SUBROGATION

- A. Prior to Subrogation. STA may require the Subrecipient to take such action as may be necessary or appropriate to preserve the Subrecipient's right to recover damages from any person or organization alleged to be legally responsible for injury to any equipment, property, or transportation program in which STA has a financial interest.
- B. Subrogation. STA may require the Subrecipient to assign to STA all right of recovery against any person or organization for loss, to the extent of STA's loss. Upon assignment, the Subrecipient shall execute, deliver, and do whatever else necessary to secure STA's rights. The Subrecipient shall do nothing after any loss to prejudice the rights of STA.

- C. Duties of the Subrecipient. If STA has exercised its right of subrogation, the Subrecipient shall cooperate with STA and, upon STA's request, assist in the prosecution of suits and enforce any right against any person or organization who may be liable to STA. The Subrecipient shall attend hearings and trials as requested by STA, assist in securing and giving evidence as requested by STA, and obtain the attendance of witnesses as requested by STA.

29. FOREBEARANCE BY STA NOT A WAIVER

Any forbearance by STA in exercising any right or remedy hereunder, or otherwise afforded by applicable law, shall not be a waiver of or preclude the exercise of any such right or remedy.

30. LACK OF WAIVER

In no event shall any STA payment of grant funds to the Subrecipient constitute or be construed as a waiver by STA of any Subrecipient breach, or default. Such payment shall in no way impair or prejudice any right or remedy available to STA with respect to any breach or default.

31. VENUE & PROCESS

In the event that either Party deems it necessary to institute legal action or proceedings to enforce any right or obligation under this Agreement, the Parties hereto agree that any such action shall be initiated in the Superior Court of the State of Washington situated in Spokane County. The Parties agree that the laws of the State of Washington shall apply.

32. ENTIRE AGREEMENT

This Agreement and its attachments constitute the entire agreement between the Parties and supersedes all prior negotiations, representations and agreements between the Parties relating to the subject matter hereof. No agent or representative of STA has authority to make, and STA shall not be bound by or be liable for, any statement, representation, promise or agreement not set forth herein or made by written amendment hereto.

33. MODIFICATION

Either Party may request changes to this Agreement. Any changes to the terms of this Agreement must be mutually agreed upon and incorporated by written amendment to this Agreement. Such written amendment to this Agreement shall not be binding or valid unless signed by the persons authorized to bind from each of the Parties. Provided, however, that changes to the federal award identification number, DUNS, project title, federal ID number, CFDA number, milestones, UPIN the contact person of either Party, or dollar amount changes that do not affect the project total cost, will not require a written amendment, but will be approved and documented by STA through an administrative revision. STA shall notify the Subrecipient of the revision in writing.

34. SEVERABILITY

If any covenant or provision of this Agreement shall be adjudged void, such adjudication shall not affect the validity or obligation of performance of any other covenant or provision, or any part thereof, which in itself is valid if such remainder conforms to the terms and requirements of applicable law and the intent of this Agreement. No controversy concerning any covenant or provision shall delay the performance of any other covenant or provision except as herein allowed.

35. TRADEMARKS & LOGOS

The Parties hereto are prohibited from using, and agree not to use, directly or indirectly, any name, trademark, or logo of the other Party without first obtaining prior written consent from the other Party.

36. PUBLIC RECORDS ACT

Each Party to this Agreement understands and acknowledges that STA is a municipal corporation of the State of Washington subject to the “Public Records Act”, RCW 42.56, *et seq.*

The Subrecipient understands and agrees that the records it obtains or produces under this Agreement may be public records under the Public Records Act, or its successor act. The Subrecipient shall cooperate in a timely manner with STA in responding to a public records request (“PRR”) related to this Agreement or the goods/services provided under this Agreement. Such cooperation shall include searching all records regarding this Agreement and producing all records that are potentially responsive to a PRR to STA. The Subrecipient shall mark and segregate all materials in its possession that may be protected by the Public Records Act to protect against inadvertent disclosure of such documents and to facilitate STA’s application of allowable Public Records Act exemptions. The Subrecipient shall not charge STA for the time spent gathering and producing records pursuant to a PRR.

37. SECTION HEADINGS

All section headings are inserted for convenience only and shall not affect any construction or interpretation of this Agreement.

38. ORDER OF PRECEDENCE

Any conflict or inconsistency in this Agreement and its attachments will be resolved by giving documents precedence in the following order:

- A. Federal law
- B. Exhibit B, *Federal Provisions*
- C. State law
- D. This Agreement
- E. Exhibit A, *Scope of Work & Budget*

39. COUNTERPARTS

This Agreement may be simultaneously executed in several counterparts, each of which shall be deemed to be an original having identical legal effect. The Subrecipient does hereby ratify and adopt all statements, representations, warranties, covenants, and agreements and their supporting materials contained and/or mentioned herein, and does hereby accept STA’s grant and agrees to all of the terms and conditions thereof.

40. ELECTRONIC SIGNATURES

A signed copy of this Agreement or any other ancillary agreement transmitted by facsimile, email or other means of electronic transmission shall be deemed to have the same legal effect as delivery of any original executed copy of this Agreement or such other ancillary agreement for all purposes.

C.

[signatures on the following page]

SAMPLE

41. SIGNATURES

The undersigned acknowledge that they are authorized to execute this Agreement and bind their respective agency(ies) and or entity(ies) to the obligations set forth herein.

IN WITNESS WHEREOF, the Parties hereto have executed this Agreement the day and year signed last below.

Subrecipient**Spokane Transit Authority**

By: XXX
Title: XXX

By: E. Susan Meyer
Title: Chief Executive Officer

Date: _____

Date: _____

Attest:

By: XXX
Title: XXX

By: Dana Infalt
Title: Clerk of the Authority

Date: _____

Date: _____

Disadvantaged Business Enterprises:

By: Jacque Tjards
Title: DBE Liaison

Date: _____

EXHIBIT A
SCOPE OF WORK & BUDGET

Scope of Work: XXX

Budget: XXX

Total Project Cost	
Federal Funds	\$ XXX,XXX
Subrecipient Funds	\$ XXX,XXX
Total Project Cost	\$ XXX,XXX

Current Funds and percentages identified reflect current total Project funds. Additional funds are subject to availability from FTA and will be added to this Agreement, subject to Subrecipient's compliance with this Agreement and after any such appropriation is enacted into law, by written amendment. If any such projected funds are not available, the provisions of Section 24.A, *Termination for Convenience*, shall apply and STA will not be financially responsible for any operating funding assistance or costs incurred by Subrecipient for the Project beyond the Current Funds appropriated.

EXHIBIT B

FEDERAL PROVISIONS

1. ASSIGNMENTS & SUBCONTRACTS

In addition to the requirements of Section 8.B of the Agreement, *Assignments & Subcontracts*, the Subrecipient agrees to include Sections 3 through 23 of this Exhibit B, *Federal Provisions*, in each subcontract and in all contracts it enters into for the employment of any individuals, procurement of any incidental goods or supplies, or the performance of any work to be accomplished under this Agreement.

2. SUBRECIPIENT'S SHARE OF PROJECT COSTS

In addition to the requirements of the Agreement, the Subrecipient agrees to comply with Federal requirements to the extent applicable:

A. Requirements Applicable On or After December 26, 2014: The following requirements apply to the Award, the accompanying Underlying Agreement, and any Amendments thereto signed by an authorized FTA official on or after December 26, 2014 as follows:

- 1) DOT regulations, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, 2 CFR part 1201, which incorporates by reference OMB regulatory guidance, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, 2 CFR part 200, and which applies to an Award, the accompanying Underlying Agreement, and any Amendments to any Underlying Agreement with a state, local government, Indian tribe, institution of higher education (IHE), or nonprofit organization; and
- 2) Except as FTA determines otherwise in writing, DOT regulations, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, 2 CFR part 1201, and Subparts A through E of OMB regulatory guidance, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, 2 CFR part 200, apply to a private for-profit entity; notably, the Cost Principles of subpart 31.2 of the Federal Acquisition Regulation, which permits the payment of profits or fees for work under procurement contracts, generally will not apply to private for-profit entities.

3. PRIVACY ACT

The Subrecipient agrees to comply with, and assures the compliance of its employees with, the information restrictions and other applicable requirements of the Privacy Act of 1974, 5 USC § 552a. Among other things, the Subrecipient agrees to obtain the express consent of the Federal Government before the Subrecipient or its employees operate a system of records on behalf of the Federal Government. The Subrecipient understands that the requirements of the Privacy Act, including the civil and criminal penalties for violation of that Act, apply to those individuals involved, and that failure to comply with the terms of the Privacy Act may result in termination of the underlying Agreement.

4. REPORTS

A. In addition to the requirements of Section 10 of the Agreement, *Reports*, the Subrecipient shall collect and submit to STA, at such time as STA may require, such financial statements, data, records, contracts, and other documents related to the Project as may be deemed necessary by STA and FTA and which may include but are not limited to:

EXHIBIT B

FEDERAL PROVISIONS

- 1) Drug Abuse and Alcohol Abuse Testing compliance reports as required in the Agreement.
- 2) Goods and services purchased from DBEs.
- 3) National Transit Database. The condition of, its public transportation assets, as provided in FTA regulations, *Transit Asset Management; National Transit Database*, 49 CFR parts 625 and 630.

5. ACCOUNTING RECORDS

In addition to the requirements of Section 16 of the Agreement, *Accounting Records*, the Subrecipient shall comply with the following:

- A. Project Accounts. The Subrecipient agrees to establish and maintain for the Project either a separate set of accounts or separate accounts within the framework of an established accounting system that can be identified with the Project, in accordance with applicable federal regulations and other requirements that FTA may impose. The Subrecipient agrees that all checks, payrolls, invoices, contracts, vouchers, orders, or other accounting documents pertaining in whole or in part to the Project shall be clearly identified, readily accessible, and available to STA and FTA upon request, and, to the extent feasible, kept separate from documents not pertaining to the Project.
- B. Funds Received or Made Available for the Project. The Subrecipient agrees to deposit in a financial institution, all Project payments it receives from the Federal Government and record in the Project Account all amounts provided by the Federal Government in support of this Grant Agreement or Cooperative Agreement and all other funds provided for, accruing to, or otherwise received on account of the Project ("Project Funds") in accordance with applicable Federal regulations and other requirements FTA may impose. Use of financial institutions owned at least 50 percent (50%) by minority group members is encouraged.

6. AUDITS, INSPECTION, AND RETENTION OF RECORDS

In addition to the requirements of Section 17 of the Agreement, *Audits, Inspection & Records Retention*, the Subrecipient agrees to follow reporting and record-keeping requirements set forth in 2 CFR part 1201. The Subrecipient also agrees to perform the financial and compliance audits required by the Single Audit Act Amendments of 1996, 31 USC § 7501 *et seq.*, and applicable DOT *Single Audit* requirements of 2 CFR part 1201, which incorporate by reference 2 CFR part 200, for each Award, and any Amendments to any Underlying Agreement. The Subrecipient agrees that audits will be carried out in accordance with U.S. General Accounting Office *Government Auditing Standards*. The Subrecipient agrees to obtain any other audits required by the Federal Government or STA. Project closeout will not alter the Subrecipient's audit responsibilities.

The Subrecipient agrees to permit the United States Department of Transportation, and the Comptroller General of the United States, or their authorized representatives, to inspect all Project work materials, payrolls, and other data and records, and to audit the books, records, and accounts of the Subrecipient and its subcontractors pertaining to the Project. The Subrecipient agrees to require each third-party contractor whose contract award is not based on competitive bidding procedures as defined by the United States Department of Transportation to permit STA, the State Auditor, the United States Department of Transportation, and the Comptroller General of the United States, or their duly authorized representatives, to inspect all work, materials, payrolls, and other data and records involving that third-party contract, and to audit the books, records, and accounts involving that third-party contract as it affects the Project as required by 49 USC § 5325(g).

EXHIBIT B

FEDERAL PROVISIONS

7. PROCUREMENT

The Subrecipient shall make purchases of any incidental goods or supplies essential to this Agreement through procurement procedures approved in advance by STA and consistent with the following provisions:

- A. General Procurement Requirements. The Subrecipient shall comply with third-party procurement requirements of 49 USC chapter 53 and other applicable Federal laws in effect now or as subsequently enacted; with the DOT third-party procurement regulations of 2 CFR Part 200 and 2 CFR part 1201; and other applicable Federal regulations pertaining to third-party procurements and subsequent amendments thereto. The Subrecipient shall also comply with the provisions of FTA Circular 4220.1F, *Third Party Contracting Guidance*, March 18, 2013 and any later revision thereto, except to the extent FTA determines otherwise in writing, which by this reference are incorporated herein; and any reference therein to “Grantee” shall mean Subrecipient.
- B. Full and Open Competition. In accordance with 49 USC § 5325(a), the Subrecipient agrees to conduct all procurement transactions in a manner that provides full and open competition as determined by FTA.
- C. Preference for United States Products and Services. To the extent applicable, the Subrecipient agrees to comply with the following U.S. preference requirements:
 - 1) Buy America. The Subrecipient agrees to comply with 49 USC § 5323(j), with FTA regulations, *Buy America Requirements*, 49 CFR Part 661, and any later amendments thereto.
 - 2) Cargo Preference - Use of United States-Flag Vessels. The Subrecipient agrees to comply with 46 USC § 55305 and U.S. Maritime Administration regulations, *Cargo Preference - U.S.-Flag Vessels*, 46 CFR Part 381, to the extent those regulations apply to the Project.
 - 3) Fly America. The Subrecipient understands and agrees that the Federal Government will not participate in the costs of international air transportation of any persons involved in or property acquired for the Project unless that air transportation is provided by U.S.-flag air carriers to the extent service by U.S.-flag air carriers is available, in accordance with the International Air Transportation Fair Competitive Practices Act of 1974, as amended, 49 USC § 40118, and with GSA regulations, *Use of United States Flag Air Carriers*, 41 CFR §§ 301-10.131 through 301-10.143.
- D. Preference for Recycled Products. To the extent applicable, the Subrecipient agrees to comply with EPA *Comprehensive Procurement Guideline for Products Containing Recovered Materials*, 40 CFR Part 247, which implements section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act of 1976, as amended, 42 USC § 6962. Accordingly, the Subrecipient agrees to provide a competitive preference for products and services that conserve natural resources, protect the environment, and are energy efficient, except to the extent that the Federal Government determines otherwise in writing.
- E. Geographic Restrictions. The Subrecipient agrees to not use any state or local geographic preference, except those expressly mandated or encouraged by federal statute or as permitted by FTA.
- F. Government Orders. In case any lawful government authority shall make any order with respect to the Project or Project Equipment, or any part thereof, or the Parties hereto or either Party, the

EXHIBIT B

FEDERAL PROVISIONS

Subrecipient shall cooperate with STA in carrying out such order and will arrange its operation and business so as to enable STA to comply with the terms of the order.

8. INCORPORATION OF FEDERAL TERMS

- A. Purchasing. This Agreement's provisions include, in part, certain Standard Terms and Conditions required by FTA, whether or not expressly set forth herein. All contractual provisions required by FTA, as set forth in FTA Circular 4220.1F, as amended, are hereby incorporated by reference into this Agreement. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Agreement. The Subrecipient shall not perform any act, fail to perform any act, or refuse to comply with any STA request, which would cause STA to be in violation of any FTA term or condition.
- B. Federal Changes. The Subrecipient shall at all times comply with all applicable FTA regulations, policies, procedures and directives, whether or not they are referenced in this Agreement and include any amendments promulgated by the FTA, during the term of this Agreement. The Subrecipient's failure to so comply shall constitute a material breach of this Agreement.

9. NO OBLIGATION BY FEDERAL GOVERNMENT

- A. STA and the Subrecipient acknowledge and agree that regardless of any concurrence or approval by the Federal Government of the solicitation or award of this Agreement, the Federal Government is not a party to this Agreement unless it provides its express written consent. The Federal Government shall not be subject to any obligations or liabilities to the Subrecipient, subcontractor, lessee, or any other participant at any tier of the Project (whether or not a party to this Agreement) pertaining to any matter resulting from this Agreement.
- B. No contract between the Subrecipient and its subcontractors, lessees, or any other participant at any tier of the Project shall create any obligation or liability of STA with regard to this Agreement without STA's specific written consent, notwithstanding its concurrence in, or approval of, the award of any contract or subcontract or the solicitations thereof. The Subrecipient hereby agrees to include this provision in all contracts it enters into for the employment of any individuals, procurement of any materials, or the performance of any work to be accomplished under this Agreement.

10. TERMINATION

In addition to the requirements of Section 24 of the Agreement, *Suspension / Termination*, STA and/or the Subrecipient may suspend or terminate this Agreement, in whole or in part, and all or any part of the federal and/or state financial assistance provided herein, at any time by written notice to the other Party in accordance with 2 CFR Part 200 and 2 CFR part 1201, whichever is applicable. Also, the Federal Government may determine the purposes of the statute authorizing the Project would not be adequately served by the continuation of federal and/or state financial assistance for the Project; or terminates this Agreement due to a determination that the Subrecipient has: (a) willfully misused Federal assistance Funds by failing to make adequate progress on the Project; (b) failed to make reasonable and appropriate use of the Project real property, facilities, or equipment; or (c) failed to comply with the terms of this Agreement. In the event of a termination under this subsection, and the Federal Government exercises its right to require STA to refund any or all of the Federal Funds provided for the Project, the Subrecipient shall return all monies reimbursed to it by STA, in the amount required by the Federal Government, within sixty (60) days of its receipt of a certified letter from STA.

EXHIBIT B

FEDERAL PROVISIONS

11. ETHICS

In addition to the requirements of Section 12 of the Agreement, *Ethics*, the Subrecipient shall comply with the following:

- A. Code of Ethics. The Subrecipient agrees to maintain a written code or standards of conduct that shall govern the performance of its officers, employees, board members, or agents engaged in the award and administration of contracts, subagreements, leases, third-party contracts, or other arrangements supported by federal assistance. The code or standards shall provide that the Subrecipient's officers, employees, board members, or agents may neither solicit nor accept gratuities, favors, or anything of monetary value from any present or potential subcontractor, lessee, subrecipient, or participant at any tier of the Project, or agent thereof. The Subrecipient may set *de minimis* rules where the financial interest is not substantial, or the gift is an unsolicited item of nominal intrinsic value. These codes or standards shall prohibit the Subrecipient's officers, employees, board members, or agents from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest or personal gain. As permitted by state or local law or regulations, such code or standards shall include penalties, sanctions, or other disciplinary actions for violations by the Subrecipient's officers, employees, board members, or agents, or by subcontractors, lessees, subrecipients, other participants, or their agents. The Subrecipient must fully comply with all the requirements and obligations of chapter 42.52 RCW that govern ethics in state and local governments.
 - 1) Personal Conflict of Interest. The Subrecipient's code or standards shall prohibit the Subrecipient's employees, officers, board members, or agents from participating in the selection, award, or administration of a contract supported by Federal Funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when any of the parties set forth below has a financial or other interest in the firm or entity selected for award:
 - a) The employee, officer, board member, or agent;
 - b) Any member of his or her immediate family;
 - c) His or her partner; or
 - d) An organization that employs, or is about to employ, any of the above.
 - 2) Organizational Conflict of Interest. The Subrecipient's code or standard of conduct must include procedures for identifying and preventing real and apparent organizational conflicts of interest. An organizational conflict of interest exists when the nature of the work to be performed under a proposed third-party contract, subagreement, lease, or other arrangement at any tier may, without some restrictions on future activities, result in an unfair competitive advantage to the subrecipient, lessee, third-party contractor, or other participant at any tier of the Project or impair its objectivity in performing the work under this Agreement.
- B. Debarment and Suspension. The Subrecipient agrees to comply, and assures the compliance of each subrecipient, lessee, third-party contractor, or other participant at any tier of the Project, with the requirements of Executive Orders Numbers 12549 and 12689. Per 2 CFR § 180.220, a contract award must not be made to parties listed on the governmentwide exclusions in the System for Award Management ("SAM"), in accordance with the OMB guidelines at 2 CFR § 180 that implement Executive Orders Nos. 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), *Debarment and Suspension*. SAM contains the names of parties debarred,

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suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order No. 12549. The Subrecipient agrees to, and assures that its subrecipients, lessees, third-party contractors, and other participants at any tier of the Project will search the System for Award Management at www.sam.gov before entering into any subagreement, lease, third-party contract, or other arrangement in connection with the Project, and will include a similar term or condition in each of its lower-tier covered transactions. Subrecipient understands that a suspension, debarment, or other similar action against a third-party by Subrecipient is considered an adverse action that can result in a change in Project performance and agrees to provide immediate written notice to FTA.

- C. Bonus or Commission. The Subrecipient affirms that it has not paid, and agrees not to pay, any bonus or commission to obtain approval of its application for federal financial assistance for this Project.
- D. Restrictions on Lobbying. The Subrecipient agrees to:
- 1) Comply with Byrd Anti-Lobbying Amendment, 31 USC § 1352(a) and will not use Federal assistance to pay the costs of influencing any officer or employee of a Federal agency, Member of Congress, officer of Congress or employee of a member of Congress, in connection with making or extending the Grant Agreement or Cooperative Agreement; and
 - 2) Comply, and assure compliance by each subcontractor at any tier, each lessee at any tier and each subrecipient at any tier, with applicable requirements of DOT regulations, *New Restriction on Lobbying*, 49 CFR Part 20, modified as necessary by 31 USC § 1352; and
 - 3) Comply with federal statutory provisions to the extent applicable prohibiting the use of Federal assistance Funds for activities designed to influence Congress or a state legislature on legislation or appropriations, except through proper, official channels.
- E. Employee Political Activity. To the extent applicable, the Subrecipient agrees to comply with the provisions of the Hatch Act, 5 USC §§ 1501 through 1508, and §§ 7324 through 7326, and Office of Personnel Management regulations, *Political Activity of State or Local Officers or Employees*, 5 CFR Part 151. The Hatch Act limits the political activities of state and local agencies and their officers and employees, whose principal employment activities are financed in whole or in part with Federal Funds including a loan, grant, or cooperative agreement. Nevertheless, in accordance with 49 USC § 5307 (k)(2)(B) and 23 USC § 142(g), the Hatch Act does not apply to a non-supervisory employee of a public transportation system (or of any other agency or entity performing related functions) receiving assistance pursuant to the MAP-21 or SAFETEA-LU provisions and/or receiving FTA assistance to whom the Hatch Act does not otherwise apply.
- F. False or Fraudulent Statements or Claims. The Subrecipient acknowledges and agrees that:
- 1) Civil Fraud. The Program Fraud Civil Remedies Act of 1986, as amended, 31 USC § 3801 *et seq.*, and DOT regulations, *Program Fraud Civil Remedies*, 49 CFR Part 31, apply to its activities in connection with the Project. Accordingly, by executing this Agreement, the Subrecipient certifies or affirms the truthfulness and accuracy of each statement it has made, it makes, or it may make in connection with the Project covered by this Agreement. In addition to other penalties that may apply, the Subrecipient also acknowledges that if it makes a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government, the Federal Government reserves the right to impose the penalties of the Program

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Fraud Civil Remedies Act of 1986, as amended, on the Subrecipient to the extent the Federal Government deems appropriate.

- 2) Criminal Fraud. If the Subrecipient makes a false, fictitious, or fraudulent claim, statement, submission, certification, assurance, or representation to the Federal Government or includes a false, fictitious, or fraudulent statement or representation in any agreement in connection with this Project authorized under 49 USC Chapter 53 or any other federal law, the Federal Government reserves the right to impose on the Subrecipient the penalties of 49 USC §5323(1), 18 USC § 1001 or other applicable Federal law to the extent the Federal Government deems appropriate.
 - 3) Subrecipient understands that a false claim is considered an adverse action that can result in a change in Project performance.
- G. Trafficking in Persons. To the extent applicable, the Subrecipient agrees to comply with, and assures the compliance of each subrecipient with, the requirements of section 106(g) of the Trafficking Victims Protection Act of 2000 ("TVPA"), as amended, 22 USC § 7104(g), and the provisions of section 4(f) of the FTA Master Agreement (26) dated October 1, 2019, which by this reference is incorporated herein as if fully set out in this Agreement, and any amendments thereto consistent with OMB guidance, *Trafficking in Persons: Grants and Cooperative Agreements*, 2 CFR Part 175.

12. CIVIL RIGHTS

The Subrecipient shall comply with all applicable civil rights laws, regulations and directives, except to the extent that the Federal Government determines otherwise in writing. These include, but are not limited to, the following:

- A. Nondiscrimination in Federal Transit Programs. The Subrecipient agrees to comply, and assures compliance by each third-party contractor, lessee or other participant at any tier, with the provisions of 49 USC § 5332, which prohibits discrimination on the basis of race, color, creed, national origin, sex, disability, sexual orientation, gender identity, status as a parent, or age, and prohibits discrimination in employment or business opportunity;
- B. Nondiscrimination-Title VI of the Civil Rights Act. The Subrecipient agrees to comply, and assure compliance by each third-party contractor at any tier, with all provisions prohibiting discrimination on the basis of race, color, or national origin of Title VI of the Civil Rights Act of 1964, as amended, 42 USC § 2000d *et seq.*; and DOT regulations, *Nondiscrimination in Federally-Assisted Programs of the Department of Transportation--Effectuation of Title VI of the Civil Rights Act*, 49 CFR part 21. Except to the extent FTA determines otherwise in writing, the Subrecipient also agrees to follow all applicable provisions of the most recent edition of FTA Circular 4702.1, *Title VI Requirements and Guidelines for Federal Transit Administration Recipients*, to the extent consistent with applicable Federal laws, regulations, and guidance; and DOJ, *Guidelines for the enforcement of Title VI, Civil Rights Act of 1964*, 28 CFR § 50.3, and any other applicable Federal guidance that may be issued;
- C. Equal Employment Opportunity. The Subrecipient agrees to comply, and assures compliance by each third-party contractor, lessee or other participant at any tier of the Project, with all EEO provisions of 49 USC §5332, with requirements of Title VII of the Civil Rights Act of 1964, as amended, 42 USC § 2000e *et seq.*, and Executive Order 11246 and Executive Order 13672, FTA

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Circular 4704.1, *Equal Employment Opportunity (EEO) Requirements and Guidelines for Federal Transit Administration Recipients*, and any implementing Federal regulations and any subsequent amendments thereto. Except to the extent FTA determines otherwise in writing, the Subrecipient also agrees to comply with any applicable Federal EEO directives that may be issued. Accordingly:

- 1) The Subrecipient agrees that it will not discriminate against any employee or applicant for employment because of race, color, creed, sex, disability, sexual orientation, gender identify status as a parent, age, or national origin. The Subrecipient agrees to take affirmative action to ensure that applicants are employed and that employees are treated during employment, without regard to their race, color, creed, sex, disability, sexual orientation, gender identity, status as a parent, age, or national origin. Such action shall include, but not be limited to, employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The Subrecipient shall also comply with any implementing requirements FTA may issue.
 - 2) If the Subrecipient is required to submit and obtain Federal Government approval of its EEO program, that EEO program approved by the Federal Government is incorporated by reference and made part of this Agreement. Failure by the Subrecipient to carry out the terms of that EEO program shall be treated as a violation of this Agreement. Upon notification to the Subrecipient of its failure to carry out the approved EEO program, the Federal Government may impose such remedies, as it considers appropriate, including termination of federal financial assistance, or other measures that may affect the Subrecipient's eligibility to obtain future federal financial assistance for transportation projects.
- D. Nondiscrimination on the Basis of Sex. The Subrecipient agrees to comply with all applicable requirements of Title IX of the Education Amendments of 1972, as amended, 20 USC § 1681, *et seq.*, and with any implementing Federal regulations that prohibit discrimination on the basis of sex that may be applicable.
- E. Nondiscrimination on the Basis of Age. The Subrecipient agrees to comply with applicable requirements of:
- 1) The Age Discrimination Act of 1975, as amended, 42 USC § 6101 *et seq.*, and with implementing U.S. Health and Human Services regulations, *Nondiscrimination on the Basis of Age in Programs and Activities Receiving Federal Financial Assistance*, 45 CFR part 90, which prohibits discrimination on the basis of age.
 - 2) The Age Discrimination in Employment Act ("ADEA") 29 USC §§ 621 through 634 and with implementing EEOC regulations, *Age Discrimination in Employment Act*, 29 CFR part 1625.
- F. Disabilities-Employment. In accordance with section 102 of the Americans with Disabilities Act, as amended, 42 USC § 12112, the Subrecipient agrees that it will comply with the requirements of EEOC, *Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act*, 29 CFR part 1630, pertaining to employment of persons with disabilities. In addition, the Subrecipient agrees to comply with FTA Circular 4710.1, *Americans with Disabilities Act: Guidance*, and any implementing requirements FTA may issue.
- G. Disabilities-Access. The Subrecipient agrees to comply with all applicable requirements of section 504 of the Rehabilitation Act of 1973, as amended, 29 USC § 794, which prohibit discrimination

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on the basis of handicap; with the Americans with Disabilities Act of 1990 (ADA), as amended, 42 USC § 12101 *et seq.*, which requires the provision of accessible facilities and services to be made available to persons with disabilities; and the Architectural Barriers Act of 1968, as amended, 42 USC § 4151 *et seq.*, which requires that buildings and public accommodations be accessible to persons with disabilities and with other laws and amendments thereto pertaining to access for individuals with disabilities that may be applicable. In addition, the Recipient agrees to comply with applicable implementing Federal regulations and any later amendments thereto, and agrees to follow applicable Federal directives except to the extent FTA approves otherwise in writing. Among those regulations and directives are the following: DOT regulations, *Transportation Services for Individuals with Disabilities (ADA)*, 49 CFR part 37; DOT regulations, *Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance*, 49 CFR part 27; Joint U.S. Architectural and Transportation Barriers Compliance Board DOT regulations; *Americans with Disabilities (ADA) Accessibility Specifications for Transportation Vehicles*, 36 CFR part 1192 and 49 CFR part 38; DOJ regulations, *Nondiscrimination on the Basis of Disability in State and Local Government Services*, 28 CFR part 35; DOJ regulations, *Nondiscrimination on the Basis of Disability by Public Accommodations and in Commercial Facilities*, 28 CFR part 36; GSA regulations, *Accommodations for the Physically Handicapped*, 41 CFR subpart 101-19; EEOC, *Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act*, 29 CFR part 1630; U.S. Federal Communications Commission regulations, *Telecommunications Relay Services and Related Custom Premises Equipment for the Hearing and Speech Disabled*, 47 CFR part 64, subpart F; U.S. Architectural and Transportation Barriers Compliance Board (“ATBCB”) regulations, *Electronic and Information Technology Accessibility Standards*, 36 CFR part 1194; FTA regulations, *Transportation for Elderly and Handicapped Persons*, 49 CFR part 609; and Federal civil rights and nondiscrimination directives implementing the foregoing regulations, except to the extent the Federal Government determines otherwise in writing.

- H. Drug or Alcohol Abuse Confidentiality and Other Civil Rights Protections. The Subrecipient agrees to comply with the confidentiality and other civil rights provisions of the Drug Abuse Office and Treatment Act of 1972, as amended 21 USC § 1101 *et seq.*; with the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, as amended; 42 USC § 4541 *et seq.*; and comply with the Public Health Service Act of 1912, as amended, 42 USC § 290dd through 290dd-2, and any amendments to these laws. The Subrecipient understands the requirements of confidentiality concerning persons covered and/or receiving services and/or treatment regarding alcohol and drug abuse, as defined in the aforementioned acts as applicable, including any civil and criminal penalties for not complying with the requirements of confidentiality and that failure to comply with such requirements may result in termination of this Agreement.
- I. Access to Services for Persons with Limited English Proficiency. The Subrecipient agrees to comply with the policies of Executive Order No. 13166, *Improving Access to Services for Persons with Limited English Proficiency*, 42 USC § 2000d-1 note, and with provisions of DOT Notice *DOT Policy Guidance Concerning Recipients’ Responsibilities to Limited English Proficiency (LEP) Persons*, 70 Fed. Reg. 74087, December 14, 2005.
- J. Environmental Justice. The Subrecipient agrees to comply with the policies of Executive Order No. 12898, *Federal Actions to Address Environmental Justice in Minority populations and Low-Income Populations*, 42 USC § 4321 note; and DOT Order 5610.2, *Department of Transportation Actions to address Environmental Justice in Minority Populations and Low-Income Populations*, 62 Fed. Reg. 18377 *et seq.*, April 15, 1997, and the most recent and applicable edition of FTA

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Circular 4703.1, *Environmental Justice Policy Guidance for Federal Transit Administration Recipients*, August 15, 2012, except to the extent that the Federal Government determines otherwise in writing.

- K. Other Nondiscrimination Statutes. The Subrecipient agrees to comply with all applicable provisions of other Federal laws, regulations, and directives pertaining to and prohibiting discrimination and other nondiscrimination statute(s) that may apply to the Project including chapter 49.60 RCW.

13. PARTICIPATION OF DISADVANTAGED BUSINESS ENTERPRISES

To the extent applicable, the Subrecipient shall take the following measures to facilitate participation by DBEs in the Project:

- A. The Subrecipient agrees to comply with section 1101(b) of MAP-21, 23 USC §101 note, and DOT regulations, *Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs*, 49 CFR part 26; and Federal transit law, specifically 49 USC § 5332.
- B. The Subrecipient agrees that it shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of any third-party contract, or sub-agreement supported with federal assistance derived from the DOT or in the administration of its DBE program or the requirements of 49 CFR part 26. The Subrecipient agrees to take all necessary and reasonable steps under 49 CFR part 26 to ensure nondiscrimination in the award and administration of all third-party contracts and sub-agreements supported with federal assistance derived from the DOT and to follow all requirements specified in WSDOT's *Consolidated Grants Program Guidebook*, and any amendments thereto, referencing DBE standards and any amendments thereto. The Subrecipient's DBE program, as required by 49 CFR part 26 and approved by the DOT, is incorporated by reference and made part of this Agreement. Implementation of the DBE program is a legal obligation, and failure to carry out its terms shall be treated as violation of this Agreement. Upon notification to the Subrecipient of its failure to implement its approved DBE program, the DOT may impose sanctions as provided for under 49 CFR part 26 and may, in appropriate cases, refer the matter for enforcement under 18 USC § 1001, and/or the Program Fraud Civil Remedies Act, 31 USC § 3801 *et seq.*

14. ENERGY CONSERVATION AND ENVIRONMENTAL REQUIREMENTS

In addition to the requirements of Section 15 of the Agreement, *Environmental Requirements*, the Subrecipient shall comply with the following:

- A. Energy Conservation. The Subrecipient shall comply with the mandatory standards and policies relating to energy efficiency standards and policies within the Washington State energy conservation plan issued in compliance with the Energy Policy and Conservation Act, 42 USC § 6321 *et seq.*, and any amendments thereto.
- B. Environmental Protection. The Subrecipient agrees to comply with all applicable requirements of the National Environmental Policy Act of 1969, as amended ("NEPA"), 42 USC §§ 4321 through 4335; Executive Order No. 11514, as amended, *Protection and Enhancement of Environmental Quality*, 42 USC § 4321 note; FTA statutory requirements at 49 USC § 5324(b); U.S. Council on Environmental Quality regulations imposing requirements for compliance with the National Environmental Policy Act of 1969, as amended, 40 CFR parts 1500 through 1508; joint Federal

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Highway Administration (“FHWA”)/FTA regulations, *Environmental Impact and Related Procedures*, 23 CFR part 771 and 49 CFR part 622, and subsequent Federal environmental protection regulations that may be promulgated. The Subrecipient agrees to comply with 23 USC §§ 139 and 326 as applicable, and implement those requirements in accordance with the provisions of joint FHWA/FTA final guidance, *SAFETEA-LU Environmental Review Process (Public Law 109-59)*, 71 Fed. Reg. 66576 *et seq.*, November 15, 2006, and any applicable Federal directives that may be issued at a later date, except to the extent that FTA determines otherwise in writing.

- C. Clean Water. The recipient agrees to comply with all applicable Federal laws and regulations and follow Federal directives implementing the Clean Water Act, as amended, 33 USC §§ 1251 through 1377, 42 USC §§ 300f through 300j-6, and 42 USC § 7606, including any revisions thereto. In the event that the Federal Funds identified in the caption space header of this Agreement entitled *Project Cost*, exceed \$100,000.00 (one-hundred-thousand dollars), the Subrecipient agrees to comply with all applicable standards, orders, or regulations issued pursuant to section 508 of the Clean Water Act, as amended, 33 USC § 1368, and other applicable requirements of the Clean Water Act.
- D. Clean Air. The Subrecipient agrees to comply with all applicable Federal laws and regulations and follow Federal directives implementing the Clean Air Act, as amended, 42 USC §§ 7401 through 7671q and the Federal Water Pollution Control Act, as amended, 33 USC §§ 1251 – 1387, and any revisions thereto. In the event that the federal share, identified in *Project Cost* of this Agreement exceeds \$150,000.00 (one-hundred-fifty-thousand dollars), the Subrecipient shall comply with all applicable standards, orders or regulations issued pursuant to section 306 of the Clean Air Act, as amended, 42 USC § 7606, and other applicable provisions of the Clean Air Act.
- E. Violating Facilities. The Subrecipient agrees to:
 - 1) Refrain from using any violating facilities.
 - 2) Report each violation to STA and understands and agrees that STA will, in turn, report each violation to the FTA and to the appropriate EPA Regional Office.
 - 3) Include these requirements in each subcontract exceeding \$150,000.00 (one-hundred-fifty-thousand dollars) financed in whole or in part with federal assistance provided by FTA.
- F. Other Environmental Federal Laws. The Recipient agrees to comply or facilitate compliance and assures that its third-party participants will comply or facilitate compliance with all applicable federal laws, regulations, and requirements, and will follow applicable guidance, including, but not limited to, Wild and Scenic Rivers Act of 1968, Coastal Zone Management Act of 1972, the Endangered Species Act of 1973, Magnuson Stevens Fishery Conservation and Management Act, Resource Conservation and Recovery Act, Comprehensive Environmental Response, Compensation, and Liability Act, Executive Order No. 11990 relating to *Protection of Wetlands*, and Executive Order Nos. 11988 and 13690 relating to *Floodplain Management*.

15. PLANNING AND PRIVATE ENTERPRISE

The Subrecipient agrees to implement the Project in a manner consistent with the plans developed in compliance with the applicable planning and private enterprise provisions of 49 USC §§ 5303, 5304, 5306, and 5323(a)(1); joint FHWA/FTA regulations, *Statewide Transportation Planning: Metropolitan Transportation Planning*, 23 CFR part 450 and 49 CFR part 613, and any amendments thereto; and with FTA regulations, *Major Capital Investment Projects*, 49 CFR part 611, to the extent that these

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regulations are consistent with the SAFETEA-LU amendments to the public transportation planning and private enterprise laws, and when promulgated, any subsequent amendments to those regulations or the MAP-21 amendments, whichever is applicable according to the funding in this Agreement. To the extent feasible, the Subrecipient agrees to comply with the provisions of 49 USC § 5323(k), which afford governmental agencies and non-profit organizations that receive Federal assistance for non-emergency transportation from Federal Government sources, other than DOT, an opportunity to be included in the design, coordination, and planning of transportation services. During the implementation of the Project, the Subrecipient agrees to take into consideration the recommendations of Executive Order No. 12803, *Infrastructure Privatization*, 31 USC § 501 note, and Executive Order No 12893, *Principles for Federal Infrastructure Investments*, 31 USC § 501 note.

16. SUBSTANCE ABUSE

- A. Drug-free Workplace. To the extent applicable, the Subrecipient agrees to comply with the Federal regulations and guidance related to the Drug Free Workplace Act of 1988, 41 USC § 8103 *et seq.*, and any amendments thereto, 2 CFR Part 182, and 49 CFR Part 32, and to FTA regulations, *Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations*, 49 CFR Part 655 and 49 USC § 5331, as amended by MAP-21.
- B. Privacy Act. The Subrecipient agrees to comply with the confidentiality and other civil rights provisions pertaining to substance abuse contained in the Civil Rights clause of this Agreement.
- C. Non Compliance. The Subrecipient agrees that if FTA determines non-compliance with these laws and regulations, the FTA Administrator may bar Subrecipient from receiving all or a portion of the Federal transit assistance it would otherwise receive.

17. FEDERAL "\$1 COIN" REQUIREMENTS

To the extent required by the Federal Government, the Subrecipient agrees to comply with the provisions of section 104 of the Presidential \$1 Coin Act of 2005, 31 USC § 5112(p), so that the Subrecipient's equipment and facilities requiring the use of coins or currency will be fully capable of accepting and dispensing \$1 coins in the connection with that use. The Subrecipient also agrees to display signs and notices denoting the capability of its equipment and facilities on its premises where coins or currency are accepted or dispensed, including on each vending machine.

18. SAFE OPERATION OF MOTOR VEHICLES

As applicable, Subrecipient is encouraged to comply with the following provisions:

- A. Executive Order No. 13043, *Increasing Seat Belt Use in the United States*, 23 USC § 402 note. Subrecipient is encouraged to adopt and promote on-the-job seat belt use policies and programs for personnel that operate company-owned vehicles.
- B. Executive Order No. 13513, *Federal Leadership on Reducing Text Messaging While Driving*, October 1, 2009, 23 USC § 402 note, and DOT Order 3902.10, *Text Messaging While Driving*, December 30, 2009. Subrecipient is encouraged to adopt and enforce workplace safety policies to decrease crashes caused by distracted drivers including policies to ban text messaging while driving. Subrecipient is also encouraged to conduct workplace safety initiatives in a manner commensurate with its size.

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19. FREEDOM OF INFORMATION ACT

Subrecipient understands and agrees that the *Freedom of Information Act*, 5 USC § 552 (“FOIA”), applies to the information and documents, both paper and electronic, submitted to STA, FTA and DOT. The Subrecipient should therefore be aware that all applications and materials submitted that are related to the Project will become agency records and are subject to public release through individual FOIA or state public disclosure requests.

20. LABOR PROVISIONS

In addition to the requirements of Section 18 of the Agreement, *Labor Provisions*, the Subrecipient shall comply with the following:

- A. Contract Work Hours and Safety Standards Act. The Subrecipient shall comply with, and shall require the compliance by each subcontractor at any tier, any applicable employee protection requirements for non-construction employees as defined by the Contract Work Hours and Safety Standards Act, as amended, 40 USC § 3701 *et seq.*, and specifically, the wage and hour requirements of section 102 of that Act at 40 USC § 3702 and DOL regulations, *Labor Standards Provisions Applicable to Contracts Governing Federally Financed and Assisted Construction (also Labor Standards Provisions Applicable to Non-construction Contracts Subject to the Contract Work Hours and Safety Standards Act)* at 29 CFR part 5; and the safety requirements of section 107 of that Act at 40 USC § 3704, and implementing DOL regulations, *Safety and Health Regulations for Construction*, 29 CFR part 1926.
- B. Fair Labor Standards Act. The Subrecipient agrees that the minimum wage and overtime provisions of the Fair Labor Standards Act, as amended, 29 USC § 201 *et seq.*, apply to employees performing work involving commerce, and apply to any local government employees that are public transit authority employees. The Subrecipient shall comply with the Fair Labor Standards Act’s minimum wage and overtime requirements for employees performing work in connection with the Project.
- C. Payrolls and Basic Records. Payrolls and basic records relating thereto shall be maintained by the Subrecipient during the course of the work and preserved for a period of six (6) years thereafter for all laborers and mechanics working at the site of the work (or under the United States Housing Act of 1937, or under the Housing Act of 1949, in the construction or development of the Project). Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act, Public Law 88-349 as amended by 40 USC § 3141 *et seq.*, and pursuant to 49 USC § 5333(a) *et seq.*, daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, Public Law 88-349, as amended by 40 USC § 3141 *et seq.*, and pursuant to 49 USC § 5333(a), the Subrecipient shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Subrecipient’s employing apprentices or trainees under approved programs shall maintain written evidence of the registration

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of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

- D. Violation; Liability for Unpaid Wages; Liquidated Damages. In the event of any violation of the clause set forth in paragraph (A) of this Section the Subrecipient and any subcontractor responsible therefore shall be liable for the unpaid wages. In addition, such Subrecipient and subcontractor shall be liable to the United States for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (A) of this Section, in the sum of ten dollars (\$10.00) for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty (40) hours without payment of the overtime wages required by the clause set forth in paragraph (C) of this Section.
- E. Withholding for Unpaid Wages and Liquidated Damages. The Subrecipient shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the Subrecipient or subcontractor under any such contract or any other federal contract with the same prime Subrecipient, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime Subrecipient, such sums as may be determined to be necessary to satisfy any liabilities of such Subrecipient or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (E) of this Section.
- F. Public Transportation Employee Protective Agreement. To the extent required by Federal Law, the Subrecipient agrees to implement the Project in accordance with the terms and conditions that the U.S. Secretary of Labor has determined to be fair and equitable to protect the interests of any employees affected by the Project and that comply with the requirements of 49 USC § 5333 (b), in accordance with the DOL guidelines, *Section 5333(b), Federal Transit Law*, 29 CFR part 215 and any amendments thereto. These terms and conditions are identified in DOL's certification of public transportation employee protective arrangements to FTA. The Subrecipient agrees to implement the Project in accordance with the conditions stated in that DOL certification, which certification and any documents cited therein are incorporated by reference and made part of this Agreement. The Subrecipient also agrees to comply with the terms and conditions of the Special Warranty for the Non-urbanized Area Program that is most current as of the date of execution of this Agreement and any alternative comparable arrangements specified by DOL for application to the Project, in accordance with DOL guidelines, *Section 5333(b), Federal Transit Law*, 29 CFR part 215, and any revision thereto.

21. GENERAL COMPLIANCE ASSURANCE

In addition to the requirements of Section 5 of this Agreement, *General Compliance Assurance*, the Subrecipient agrees to give reasonable guarantees that it and its subcontractors, lessees and any third-party contractors under this Agreement, will comply with all requirements imposed by, or pursuant to, 49 USC chapter 53 and other applicable Federal regulations. The Subrecipient agrees to comply with the provisions of 2 CFR part 1201 and cost principles as defined in OMB circulars 2 CFR part 200.

22. PUBLIC TRANSPORTATION SAFETY

In accordance with 49 USC § 5329, the Recipient agrees to comply with applicable laws, regulations, and requirements and follow applicable guidance that implement the Public Transportation Safety Program provisions of 49 USC § 5329(b) through (d), except as FTA determines otherwise in writing.

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23. NOTIFICATION OF DISPUTE, BREACH, DEFAULT AND LITIGATION

Subrecipient, its contractors and subcontractors of any tier, shall promptly notify (through the Subrecipient) STA in writing of any current or prospective legal matter that may impact any contract that is considered a “covered transaction” in accordance with 2 CFR §§ 180.220 and 1200.220. The Subrecipient, its contractors and subcontractors of any tier, shall include the requirements of this Section in all subcontracts with third parties at every tier.

24. UNIVERSAL IDENTIFIER

Subrecipient shall, in accordance with 2 CFR part 25, obtain a Dun and Bradstreet Data Universal Numbering System (“DUNS”) number as a universal identifier for Federal financial assistance recipients.

SAMPLE

5310 SUBRECIPIENT VEHICLE PURCHASE AGREEMENT

DESIGNATED RECIPIENT		SUBRECIPIENT	
Spokane Transit Authority 1230 W Boone Avenue Spokane, WA 99201 P: (509) 325-6000		Company Address City, ST Zip P: (XXX) XXX-XXXX	
Contact: Kristine Williams Principal Transit Planner E: kwilliams@spokanetransit.com P: (509) 325-6058		Contact: Name Title E: XXX P: (XXX) XXX-XXXX	
Federal Tax ID #:	91-1151502	Federal Tax ID #:	XXX
STA Agreement #:	XXXX-XXXXX	DUNS #:	XXX

FEDERAL AWARD SUMMARY			
Awarding Agency:	FTA	R&D Award:	Choose an item.
CFDA #:	XXX	CFDA Name:	XXX
FAIN #:	XXX	FAIN #:	XXX
FAIN Award Date:	Click or tap to enter a date.	FAIN Award Date:	Click or tap to enter a date.
Designated Recipient FAIN Total Award:	\$ XXX,XXX	Designated Recipient FAIN Total Award:	\$ XXX,XXX
Subrecipient FAIN Total Project Award:	\$ XXX,XXX	Subrecipient FAIN Total Project Award:	\$ XXX,XXX
Subrecipient Aggregate Federal Funds Awarded:		\$ XXX,XXX	

PROJECT SUMMARY							
Project Start Date:		Click or tap to enter a date.		Project End Date:		Click or tap to enter a date.	
FAIN #:		XXX		FAIN #:		XXX	
Funding Source	Match	Amount	Funding Source	Match	Amount		
Federal	XX %	\$ XXX,XXX	Federal	XX %	\$ XXX,XXX		
Subrecipient	XX %	\$ XXX,XXX	Subrecipient	XX %	\$ XXX,XXX		
FAIN Total		\$ XXX,XXX	FAIN Total		\$ XXX,XXX		
Federal Total Funds:	\$ XXX,XXX	Subrecipient Total Funds:	\$ XXX,XXX	Project Total:	\$ XXX,XXX		
Project Description:		XXX					
Project Service Area:		XXX					

This 5310 Subrecipient Vehicle Purchase Agreement (“Agreement”) is entered into by and between the **Spokane Transit Authority**, a municipal corporation of the State of Washington (“STA” or “Designated Recipient”), and **XXX**, a XXX organization (“Subrecipient”); each individually referred to as “Party” and collectively as “Parties”.

WHEREAS, Federal funding is authorized under the Moving Ahead for Progress in the 21st Century Act (“MAP-21”), Enacted as Public Law 112-141, July 6, 2012; or other Federal laws the Federal Transit Administration (“FTA”) administers to the extent FTA so determines; and the Highway and Transportation Funding Act of 2014, Pub. L. 113-159, August 8, 2014; and

WHEREAS, funding is authorized under 49 USC § 5310 / MAP-21 for Enhanced Mobility of Seniors and Individuals with Disabilities Program, and any subsequent amendments and resolutions thereto; and

WHEREAS, STA is the Designated Recipient of FTA Section 5310 grant funding awarded under 49 USC § 5310; and

WHEREAS, through a local review and selection process, the Subrecipient has been selected as a subrecipient of a FTA Enhanced Mobility of Seniors and Individuals with Disabilities Grant, authorized under 49 USC Chapter 53, and specifically, grants awarded under 49 USC § 5310, and any subsequent amendments and resolutions thereto; and

WHEREAS, STA, as the Designated Recipient, is responsible for the administration and management of Subrecipient’s use of Grant funds pursuant to 49 USC § 5310, and will reimburse Subrecipient for eligible costs incurred in its performance of this Agreement; and

WHEREAS, Subrecipient shall at all times comply with the requirements of 49 USC § 5310, and all applicable FTA regulations, policies, procedures, and directives, including those listed herein or by reference, as they may be amended or promulgated from time to time during the term of this Agreement, and shall require compliance of these regulations by any third-party contractor or lower tier recipient of Grant funds, who is hired by Subrecipient to implement this Agreement; and

WHEREAS, Subrecipient shall sign all applicable federal certifications as required by the FTA and STA, to ensure compliance with FTA regulations, policies, procedures, and directives. These certifications may include compliance with government-wide Suspension and Debarment, Disadvantaged Business Enterprises, Buy America, and lobbying laws, rules, and regulations.

NOW, THEREFORE, in consideration of the terms, conditions, performances, and mutual covenants herein set forth and the attached Exhibit A, *Scope of Work and Budget*, which are incorporated and made a part hereof, it is mutually agreed as follows:

1. PURPOSE OF AGREEMENT

- A. The purpose of this Agreement is to facilitate STA’s provision of grant management services to the Subrecipient for the procurement of XXX, hereinafter known as “Vehicle”, to be operated by the Subrecipient in the provision of transportation services described in Exhibit A, *Scope of Work and Budget*, hereinafter known as the “Project”.
- B. In addition to the provisions of this Agreement, the Subrecipient will also comply with all requirements imposed by, or pursuant to, 49 USC chapter 53, all other applicable federal laws,

regulations and requirements, and the requirements set forth in Exhibit B, *Federal Provisions*, a copy of which is attached hereto and by this reference incorporated into this Agreement.

2. DEFINITIONS

The following capitalized terms shall be defined as follows throughout this Agreement.

Term	Definition
ADA	Americans with Disabilities Act of 1990, as amended.
CFR	Code of Federal Regulations
DBE	Disadvantaged Business Enterprises
DOJ	United States Department of Justice
DOL	United States Department of Labor
DOT	United States Department of Transportation
EEO	Equal Employment Opportunity
EEOC	Equal Employment Opportunity Commission
EPA	United States Environmental Protection Agency
FAIN	Federal Award Identification Number
FTA	Federal Transit Administration
Grant	Funding allocated under FAIN.
GSA	United States General Services Administration
OMB	United States Office of Management and Budget
RCW	Revised Code of Washington
USC	United States Code

3. SCOPE OF PROJECT

The Designated Recipient shall cooperate with the Subrecipient to complete the procurement of the Vehicle as described and detailed in Exhibit A, *Scope of Work and Budget*. The Subrecipient shall operate the Vehicle, beginning or ending each trip within the area described in the caption space header titled *Project Service Area*, in accordance with the terms and conditions of this Agreement. The caption space header titled *Project Service Area* and all caption space headers are by this reference incorporated herein as if fully set out in this Agreement.

4. TERM OF AGREEMENT

The Subrecipient shall commence, perform, and complete the Project within the dates provided in the caption space header titled *Project Start Date* and *Project End Date* in this Agreement regardless of the date of signature and execution of this Agreement, and continue until STA releases all interest in the Vehicle, unless terminated as provided herein.

5. GENERAL COMPLIANCE ASSURANCE

The Subrecipient agrees to comply with all applicable requirements, rules, and regulations of the Grant and guidance provided by STA.

The Subrecipient agrees that STA, and/or any authorized STA representative, shall have not only the right to monitor the compliance of the Subrecipient with respect to the provisions of this Agreement, but also have the right to seek judicial enforcement with regard to any matter arising under this Agreement.

6. PROJECT COST

- A. Total Project Cost. The projected “Total Project Cost” amount is detailed in the table titled *Total Project Cost* in Exhibit A, *Scope of Work and Budget*. The Subrecipient agrees to expend eligible funds, together with any “Subrecipient Funds” detailed in the caption space header titled *Subrecipient Funds*, allocated for the Project, in an amount sufficient to complete the Project as detailed in Exhibit A, *Scope of Work and Budget*. The Subrecipient further agrees that there shall be no reduction in the amount specified as Subrecipient Funds unless there is a concurrent proportional reduction in the “Federal Funds”, or STA pre-approves the reduction of Subrecipient Funds in writing. If at any time the Subrecipient becomes aware that the cost which it expects to incur in the performance of this Agreement will exceed or be less than the Total Project Cost, the Subrecipient shall notify STA in writing within thirty (30) days of making that determination.
- B. Minimum Match. The Subrecipient is required to provide a minimum match of funds for the Project, identified as Subrecipient Funds in the table titled, *Total Project Costs*. Any reduction in Subrecipient Funds will result in a proportional reduction in Federal Funds.
- C. The Subrecipient shall pay from Subrecipient Funds, and be solely responsible for, all charges, late fees and fines, as well as any permits and/or inspection fees, and taxes which may be imposed with respect to the Project.

7. VEHICLES

- A. Procurement. To assist the Subrecipient in complying with all procurement regulations required under the Grant, STA will procure the vehicle on behalf of the Subrecipient. STA shall work with the Subrecipient to select the appropriate vehicle, including necessary options and/or equipment, to meet the needs of the Subrecipient. Prior to placing any vehicle order, the Subrecipient shall provide STA with written approval of the configuration and options selected for the Vehicle.
- B. Inspection & Acceptance. Within five (5) business days, or as agreed to between the Parties, not to exceed ten (10) calendar days, of delivery of the Vehicle to STA, the Subrecipient shall inspect the Vehicle at STA. The Subrecipient shall have three (3) business days from the date of Vehicle inspection to either accept or reject the Vehicle. If rejected, the Subrecipient shall provide a written notice specifying the Vehicle deficiencies to STA. STA shall report such deficiencies to the vendor and allow the vendor a reasonable amount of time to cure the deficiencies or defect. Upon receipt and acceptance of Vehicle, the Subrecipient agrees: it has fully inspected the Vehicle; accepts it as suitable for the purpose under this Agreement; accepts it as being in good condition and state of good repair; the Subrecipient is satisfied with the Vehicle; and that the Vehicle complies with all applicable regulations, rules, and laws.
- C. Vendor Payment. Following delivery and mutual acceptance of the vehicle by STA and the Subrecipient, STA shall pay all sums due the vendor for the Vehicle delivered.
- D. Vehicle Cost Reimbursement. For the total delivered purchase price of the vehicle (“Cost”), STA shall seek reimbursement from the FTA the lesser of (1) the FTA share of the Cost as authorized by the Grant, or (2) the dollar amount specified in *Subrecipient FAIN Total Project Award* on page

1 of this Agreement. The Subrecipient shall be responsible for all remaining Cost not reimbursed by the FTA. STA shall invoice the Subrecipient for its share of the Cost, and within ten (10) days of the date of invoice, Subrecipient shall submit payment to STA.

- E. Title of Ownership. STA shall title and register the Vehicle prior to delivery to Subrecipient. Such title shall designate STA as the legal owner and the Subrecipient as the registered owner throughout the Project Period. Subject to the Subrecipient's compliance with all terms and conditions of this Agreement, STA shall release the interest of ownership of the Vehicle to the Subrecipient in writing thirty (30) days following the end of the "useful life" of the Vehicle, defined as four (4) years of active service, or an accumulation of at least 100,000 miles (FTA Circular 5010.1E, Rev. 2, or as amended). The Subrecipient shall complete the transfer of title within five (5) days of receipt of STA's release of interest in accordance with State of Washington Department of Licensing requirements. The Subrecipient shall be responsible for all costs associated with titling and registration of the Vehicle as required hereunder and shall reimburse STA for any and all costs incurred by STA to title and register the Vehicle. STA shall invoice the Subrecipient for Vehicle title and registration costs and within ten (10) days of the date of invoice, Subrecipient shall submit payment to STA.
- F. Licensing. The Subrecipient shall be responsible for ongoing registration and licensing of the Vehicle, including maintaining registration throughout the term of this Agreement, including all costs related thereto. Such costs are not eligible for reimbursement under the Grant.
- G. Miscellaneous Charges and Conditions. The Subrecipient shall pay and be solely responsible for all storage charges, parking charges, late fees, and fines, as well as any fees (including, but not limited to, vehicle registration, license, safety and emission control inspection fees), and taxes, except applicable state sales or use tax, which may be imposed with respect to the Vehicle by a duly constituted governmental authority as the result of the Subrecipient's use or intended use of the Vehicle. Required visual and road test inspection fees on vehicles for acceptance and software licensing use fees are eligible for reimbursement. All replacements, repairs, or substitutions of parts or Vehicle shall be at the cost and expense of the Subrecipient.
- H. Maintenance & Inspection
 - 1) Maintenance. The Subrecipient shall make all necessary repairs and maintain the Vehicle to assure it remains in good and operational condition for the useful life of the Vehicle. All service, materials, and repairs in connection with the use and operation of the Vehicle during its useful life shall be at the Subrecipient's expense. The Subrecipient agrees to, at a minimum, service the Vehicle and replace parts at intervals recommended in the manual provided by the Vehicle manufacturer, or sooner if needed. The Subrecipient shall take the Vehicle to an appropriate service and repair facility for any service and repair under the manufacturer's warranty and shall pursue any and all available manufacturer warranty coverage claims. STA shall not be liable for repairs. The Subrecipient shall retain records of all maintenance and parts replacement performed on the Vehicle in accordance with Section 18, Audits, Inspection, and Retention of Records. The Subrecipient shall provide copies of such records to STA upon request.
 - 2) Inspections. STA may conduct site visits to inspect the Vehicle and review maintenance records and vehicle logs. If STA determines the vehicle is not maintained in accordance with Section 7.H.1), STA may require the Subrecipient to submit to STA within thirty (30) days of receipt of such determination, a vehicle maintenance remediation plan. Following acceptance of such plan by STA, STA may conduct a site visit to ensure the Vehicle is being maintained

per the approved plan. If Subrecipient does not maintain the Vehicle in accordance with this Agreement, implement a required vehicle maintenance remediation plan, or meet the requirements of, the approved vehicle maintenance remediation plan, STA may require the Subrecipient to return the Vehicle to STA.

- I. Damage or Loss. The Subrecipient must report any damage occurring to the Vehicle to STA within five (5) days of occurrence, and:
- 1) The Subrecipient, at its own expense, shall cover any loss, theft, damage, or destruction of the Vehicle using either of the following methods:
 - a) The Subrecipient shall maintain comprehensive and collision insurance for vehicles and property insurance for non-vehicle equipment adequate to cover the entire value of the Vehicle and any related equipment. The Subrecipient shall supply a Certificate of Insurance specifying such coverage to STA prior of release of the Vehicle to Subrecipient, and supply proof of renewal, annually thereafter; or
 - b) The Subrecipient shall provide a written certificate of self-insurance to STA prior to release of the Vehicle to Subrecipient, and annually thereafter. The Subrecipient will cover from its own resources the costs of repairing or replacing any Vehicle and any related equipment, if it is stolen, damaged, or destroyed in any manner.
 - 2) If the damage to the Vehicle and related equipment does not result in a total loss, payments for damage shall be paid directly to the Subrecipient. The Subrecipient shall, within thirty (30) days, either:
 - a) Devote all of the insurance proceeds received to repair the Vehicle and place it back in service, and the Subrecipient shall, at its own expense, pay any portion of the cost of repair which is not covered by insurance; or
 - b) In the event the Subrecipient is certified for self-insurance, devote all funds necessary to repair the Vehicle and related equipment and place it back into service.
 - 3) If the Vehicle is a total loss, either by theft or damage, the insurance proceeds or equivalent shall be paid directly to STA. The Subrecipient shall within sixty (60) days of loss, theft, or damage, notify STA that it either:
 - a) Intends to replace the lost Vehicle; or
 - b) Does not intend to replace the lost Vehicle.
 - 4) If STA determines that the total loss occurred under circumstances in which the Subrecipient fulfilled its obligations under this Agreement then STA will either pay, or rebate, to the FTA its proportionate share of such proceeds paid to STA.
 - 5) Coverage, if obtained or provided by the Subrecipient in compliance with this Section, shall not be deemed as having relieved the Subrecipient of any liability in excess of such coverage as required by the limitation of liability Section of this Agreement, or otherwise.
- J. Liability Insurance. The Subrecipient shall maintain automobile liability insurance in accordance with the requirements of the State of Washington. Prior to release of Vehicle to Subrecipient,

Subrecipient shall provide evidence of such coverage to STA, and at any time a change in such coverage occurs, including renewal, modification or cancellation of such coverage.

- K. Change of Use. If the Subrecipient desires to repurpose the Vehicle for use other than described in the Scope of Work, Subrecipient shall provide STA written notification thereof within five (5) days of such determination by Subrecipient. STA may approve or deny repurposing of the Vehicle, in its sole discretion and shall provide the Subrecipient with written notice of its decision. In the event such repurposing is denied, STA may assign the Vehicle to another eligible service provider.
- L. Sale. If the Subrecipient sells the Vehicle for a price greater than \$5,000.00 (five-thousand dollars) following the Vehicle reaching its minimum useful life and legal ownership of the Vehicle has been transferred to the Subrecipient, a partial return of Grant funds to FTA may be required as outlined in FTA Circular 5010.1E, Rev. 2, or as amended.

8. PAYMENT

- A. For Subrecipient expenses incurred under this Agreement other than Vehicle Cost, Federal Funds shall be used to reimburse the Subrecipient for allowable expenses incurred in completing the Project. Allowable Project expenses shall be determined by STA. In no event shall the total amount reimbursed by STA exceed the amount of Federal Funds identified in the table titled *Total Project Costs*.
- B. Payment will be made by STA on a reimbursable basis for actual net Project costs incurred within the timeframe in the caption space titled *Project Start Date* and *Project End Date*. STA shall make no payments for costs incurred prior to the beginning or after the ending dates shown in the caption space titled *Project Start Date* and *Project End Date*. The Subrecipient shall submit an invoice detailing and supporting the costs incurred. Such invoices may be submitted no more than once per month and no less than once per calendar quarter. If approved by STA, said invoices shall be paid by STA within thirty (30) days. Payment is subject to the submission to and approval by STA of appropriate invoices, reports, and financial summaries. Any financial summaries submitted to STA must include a record of the actual costs.

9. ASSIGNMENTS & SUBCONTRACTS

- A. Unless otherwise authorized in advance and in writing by STA, the Subrecipient shall not assign any portion of the Project or execute any contract, amendment, or change order thereto, or obligate itself in any manner with any third-party with respect to its rights and responsibilities under this Agreement.
- B. The Subrecipient agrees to include Sections 5, 10, 12, 14 through 20, 24 through 26, 35 through 37, and 39 of this Agreement in each subcontract and in all contracts it enters into for the employment of any individuals, procurement of any incidental goods or supplies, or the performance of any work to be accomplished under this Agreement. It is further agreed that those clauses shall not be modified in any such subcontract, except to identify the subcontractor or other person or entity that will be subject to its provisions. In addition, the following provision shall be included in any advertisement or invitation to bid for any procurement by the Subrecipient under this Agreement:

“Statement of Financial Assistance: This Agreement is subject to the appropriations of the Federal Transit Administration.”

- C. The Subrecipient also agrees to incorporate Exhibit B, *Federal Provisions*, into each contract, subcontract or agreement it enters into in the performance of its obligations under this Agreement.

10. NO OBLIGATION BY STA

No contract between the Subrecipient and its subcontractors shall create any obligation or liability for STA with regard to this Agreement without STA's specific written consent, notwithstanding its concurrence in, or approval of, the award of any contract or subcontract or the solicitations thereof.

11. REPORTS

The Subrecipient shall prepare quarterly reports regarding the Project pursuant to this Agreement, or as requested by STA. Any required quarterly progress reports shall be submitted for the duration of this Agreement period regardless of whether the underlying funding sources have been exhausted. STA will provide a template for quarterly reports and the Subrecipient must submit all quarterly reports using the provided template.

12. REMEDIES FOR MISUSE OR NONCOMPLIANCE

The Subrecipient shall not use the Project or any part thereof in a manner different from that set forth in Section 3. If STA determines that the Project has been used in a manner different from Section 3, STA may direct the Subrecipient to repay STA all funds identified under *Project Cost* which have been previously reimbursed by STA. STA may also withhold payments, repossess the Vehicles, or exercise any other applicable remedy permitted by law should it determine that the Subrecipient has failed to comply with any provision of this Agreement.

13. PROJECT CLOSEOUT

- A. The Subrecipient must submit, no later than ninety (90) calendar days after the Project End Date, all financial, performance and other reports as required by the terms and conditions of the Grant. STA may approve extensions when requested by the Subrecipient.
- B. Unless the FTA or Designated Recipient authorizes an extension, the Subrecipient must liquidate all obligations incurred under the Project not later than ninety (90) calendar days after the Project End Date.
- C. STA shall make prompt payment to Subrecipient for any remaining allowable reimbursable costs.
- D. The Subrecipient must account for any real and personal property acquired with Grant funds or received from the Federal Government in accordance with §§200.310 *Insurance Coverage* through 200.316 *Property Trust Relationship* and §200.329 *Reporting on Real Property*.

14. ETHICS

- A. Relationships with Employees and Officers of STA. The Subrecipient shall not extend any loan, gratuity or gift of money in any form whatsoever to any employee or officer of STA, nor shall Subrecipient rent or purchase any equipment and materials from any employee or officer of STA.
- B. Employment of Former STA Employees. The Subrecipient hereby warrants that it shall not engage on a full-time, part-time, or other basis during the period of this Agreement, any professional or

technical personnel who are, or have been, at any time during the period of this Agreement, in the employ of STA without written consent of STA.

- C. Anti-Kickback. No officer or employee of the Spokane Transit Authority or the Subrecipient, having the power or duty to perform an official act or action related to this Agreement, shall have or acquire any interest in the Agreement, or have solicited, accepted or granted a present or future gift, favor, service or other thing of value from or to any person involved in this Agreement.

15. COMPLIANCE WITH LAWS & REGULATIONS

The Subrecipient agrees to abide by all applicable state and federal laws and regulations including but not limited to, those concerning employment, equal opportunity employment, nondiscrimination assurances, project record keeping necessary to evidence compliance with such federal and state laws and regulations, and retention of all such records. The Subrecipient will adhere to all of the nondiscrimination provisions in chapter 49.60 RCW. Except when a federal statute or regulation preempts state or local law, no provision of this Agreement shall require the Subrecipient to observe or enforce compliance with any provision, perform any other act, or do any other thing in contravention of state or local law. If any provision or compliance with any provision of this Agreement violate state or local law, or would require the Subrecipient to violate state or local law, the Subrecipient agrees to notify STA immediately in writing. Should this occur, STA and the Subrecipient agree to make appropriate arrangements to proceed with or, if necessary, expeditiously, terminate the Project.

16. ENVIRONMENTAL REQUIREMENTS

The Subrecipient agrees to comply with all applicable requirements of chapter 43.21C RCW *State Environmental Policy Act* ("SEPA").

17. ACCOUNTING RECORDS

- A. Project Accounts. The Subrecipient agrees to establish and maintain for the Project either a separate set of accounts or separate accounts within the framework of an established accounting system that can be identified with the Project. The Subrecipient agrees that all checks, payrolls, invoices, contracts, vouchers, orders, or other accounting documents pertaining in whole or in part to the Project shall be clearly identified, readily accessible and available to STA upon request, and, to the extent feasible, kept separate from documents not pertaining to the Project.
- B. Documentation of Project Costs and Program Income. The Subrecipient agrees to support all allowable costs charged to the Project, including any approved services contributed by the Subrecipient or others, with properly executed payrolls, time records, invoices, contracts, or vouchers describing in detail the nature and propriety of the charges. The Subrecipient also agrees to maintain accurate records of all program income derived from implementing the Project.

18. AUDITS, INSPECTION & RECORDS RETENTION

- A. Submission of Proceedings, Contracts, Agreements, and Other Documents. During the term of the Project and for six (6) years thereafter, the Subrecipient agrees to retain intact and to provide any data, documents, reports, records, contracts, and supporting materials relating to the Project as STA may require. Project closeout does not alter these recording and record-keeping requirements. Should an audit, enforcement, or litigation process be commenced, but not completed, during the aforementioned six-year period then the Subrecipient's obligations hereunder shall be extended until the conclusion of that pending audit, enforcement, or litigation process.

- B. General Audit Requirements. The Subrecipient agrees to obtain any other audits required by STA at Subrecipient's expense. Project closeout will not alter the Subrecipient's audit responsibilities.
- C. Inspection. The Subrecipient agrees to permit STA and the State Auditor, or their authorized representatives, to inspect all Project work materials, payrolls, and other data, and to audit the books, records, and accounts of the Subrecipient and its subcontractors pertaining to the Project. The Subrecipient agrees to require each third-party to permit STA, and the State Auditor or their duly authorized representatives, to inspect all work, materials, payrolls, and other data and records involving that third-party contract, and to audit the books, records, and accounts involving that third-party contract as it affects the Project.

19. LABOR PROVISIONS

No Subrecipient or subcontractor contracting for any part of the Project work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty (40) hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty (40) hours in such workweek. Subrecipient will comply with Title 49 RCW, Labor Regulations.

20. CHANGED CONDITIONS AFFECTING PERFORMANCE

The Subrecipient hereby agrees to immediately notify STA of any change in conditions or law, or of any other event, which may affect its ability to perform the Project in accordance with the provisions of this Agreement.

21. COVID-19 SPECIAL PROVISIONS

- A. Compliance with CDC Mask Order. The Centers for Disease Control and Prevention ("CDC") Order of January 29, 2021, titled Requirement for Persons to Wear Masks While on Conveyances and at Transportation Hubs ("CDC Mask Order"), is within the meaning of "Federal Requirement" as that term is defined in the FTA Master Agreement (28) dated February 9, 2021. One of the objectives of the CDC Mask Order is "[m]aintaining a safe and operating transportation system". The Subrecipient agrees that it will comply, and will require all third-party participants to comply, with the CDC Mask Order.
 - 1) Enforcement for Non-Compliance. The Subrecipient agrees that STA or the FTA may take enforcement action for non-compliance with the CDC Mask Order, including:
 - a) Enforcement actions authorized by 49 USC § 5329(g);
 - b) Referring the Subrecipient to the CDC or other Federal authority for enforcement action;
 - c) Enforcement actions authorized by 2 CFR §§ 200.339 - .340; and
 - d) Any other enforcement action authorized by Federal law or regulation.
- B. Coronavirus Response and Relief Supplemental Appropriations Act of 2021 and American Rescue Plan Act of 2021. The Coronavirus Response and Relief Supplemental Appropriations Act of 2021 ("CRRSAA") and the American Rescue Plan Act of 2021 ("ARPA") provides supplemental

funding at 100% federal share, with no local match required, subject to the following Subrecipient certification (select one only):

- ☐ The Subrecipient certifies that it, and its subrecipients and contractors that are providers of public transportation, have not furloughed any employees since March 27, 2020; or
- ☐ The Subrecipient certifies that it and any subrecipient or contractor that is a provider of public transportation: (a) are currently not furloughing any employees; (b) have, to the maximum extent possible, brought back any employees previously furloughed as a direct result of financial challenges caused by the COVID-19 public health emergency; or (c) have rehired, or posted to rehire, any positions of employees who were laid off as a result of financial challenges caused by the COVID-19 public health emergency; or
- ☐ The Subrecipient certifies that it and any subrecipient or contractor that is a provider of public transportation: (a) intend, to the maximum extent possible, to use CRRSAA or ARPA funds to bring back any employees previously furloughed as a direct result of financial difficulties caused by the COVID-19 public health emergency; (b) intend to use CRRSAA or ARPA funds to rehire any positions of employees who were laid off as a direct result of financial challenges caused by the COVID-19 public health emergency; and (c) will explain how they have spent CRRSAA or ARPA funds on payroll, operations, or payroll and expenses of private providers of public transportation "to the maximum extent possible".

- C. The Subrecipient agrees that if it receives Federal funding from the Federal Emergency Management Agency (FEMA) or through a pass-through entity through the Robert T. Stafford Disaster Relief and Emergency Assistance Act, a different Federal agency, or insurance proceeds for any portion of a project activity approved for FTA funding under this Grant Agreement, it will provide written notification to FTA, and reimburse FTA for any Federal share that duplicates funding provided by FEMA, another Federal agency, or an insurance company.

22. NOTICES

All notices, requests, claims, demands and other communications shall be in writing and shall be signed by a person duly authorized to provide such notice. Notices permitted or requested to be given hereunder shall be deemed sufficient if given (1) in person; (2) by registered or certified mail, postage prepaid, return receipt requested; (3) by regular mail, postage prepaid; or (4) by facsimile or email, addressed to the respective contact of the Parties as set forth below, or as may be revised by like notice from time to time.

All notices shall be deemed to have been duly given (1) when delivered in person; (2) upon receipt after dispatch by registered or certified mail, postage prepaid; (3) three (3) business days after the date of mailing by regular mail, postage prepaid; or (4) upon confirmation of receipt when transmitted by facsimile or a read receipt when transmitted by email.

Subrecipient	Spokane Transit Authority
Name	Robert West
Title	Contracts Compliance Specialist
Company	Spokane Transit Authority
Address	1230 W Boone Ave
City, ST ZIP	Spokane, WA 99201
E: XXX	E: rwest@spokanetransit.com
P: (XXX) XXX-XXXX	P: (509) 325-6062
F: (XXX) XXX-XXXX	F: (509) 325-6036

23. DISPUTES

- A. Disputes. Disputes, arising in the performance of this Agreement, which are not resolved by agreement of the Parties, shall be decided in writing by STA's Contract Compliance Specialist or their designee. This decision shall be final and conclusive unless within ten (10) days from the date of Subrecipient's receipt of STA's written decision, the Subrecipient mails or otherwise furnishes a written appeal to STA's Chief Executive Officer or their designee. The Subrecipient's appeal shall be decided in writing by STA's Chief Executive Officer within thirty (30) days of receipt of the appeal by the Chief Executive Officer or their designee. The decision of STA's Chief Executive officer shall be binding upon the Subrecipient and the Subrecipient shall abide by the decision.
- B. Performance During Dispute. Unless otherwise directed by STA, Subrecipient shall continue performance under this Agreement while matters in dispute are being resolved.
- C. Claims for Damages. Should either Party to this Agreement suffer injury or damage to person, property, or right because of any act or omission of the other Party or any of that Party's employees, agents or others for whose acts it is legally liable, a claim for damages therefore shall be made in writing to such other Party within thirty (30) days after the first observance of such injury or damage.
- D. Rights and Remedies. All remedies provided in this Agreement are distinct and cumulative to any other right or remedy under this document or afforded by law or equity, and may be exercised independently, concurrently, or successively and shall not be construed to be a limitation of any duties, obligations, rights and remedies of the Parties hereto. No action or failure to act by STA or Subrecipient shall constitute a waiver of any right or duty afforded any of them under this Agreement, nor shall any such action or failure to act constitute an approval of or acquiescence in any breach thereunder, except as may be specifically agreed in writing.

24. NONCOMPLIANCE WITH GRANT TERMS

If the Subrecipient fails to comply with Federal statutes, regulations or the terms & conditions of the Grant, the FTA or Designated Recipient may impose additional conditions on the Subrecipient as described in 2 CFR § 200.207. If the FTA or Designated Recipient determines that Subrecipient noncompliance cannot be remedied by the imposition of such additional conditions, the FTA or Designated Recipient may take one or more of the following actions as it deems necessary and appropriate to the circumstances:

- A. Temporarily withhold payment to the Subrecipient cost of the activity or action that is not in compliance;

- B. Disallow the use of Federal Funds, Subrecipient Funds or both for all or part of the cost of the activity or action not in compliance;
- C. Wholly or partially terminate the Subrecipient award or Grant award;
- D. Recommend to the FTA Subrecipient suspension or debarment proceedings as authorized under 2 CFR 180 and FTA regulations;
- E. Withhold further Federal awards for the Project; or
- F. Exercise other remedies that may be legally available.

25. SUSPENSION / TERMINATION

- A. Termination for Convenience. STA and/or the Subrecipient may suspend or terminate this Agreement, in whole or in part, and all or any part of the financial assistance provided herein, at any time by written notice to the other Party. STA and the Subrecipient shall agree upon the Agreement termination provisions including, but not limited to, the settlement terms, conditions, and in the case of partial termination, the portion to be terminated. Written notification must set forth the reasons for such termination, the effective date, and in case of a partial termination, the portion to be terminated. However if, in the case of partial termination, STA determines that the remaining portion of the award will not accomplish the purposes for which the award was made, STA may terminate the award in its entirety. The Parties may terminate this Agreement for convenience for reasons including, but not limited to, the following:
 - 1) The requisite funding becomes unavailable through failure of appropriation or otherwise;
 - 2) STA determines, in its sole discretion, that the continuation of the Project would not produce beneficial results commensurate with the further expenditure of funds;
 - 3) The Subrecipient is prevented from proceeding with the Project as a direct result of an Executive Order of the President with respect to the prosecution of war or in the interest of national defense; or an Executive Order of the President or Governor of the State with respect to the preservation of energy resources;
 - 4) The Subrecipient is prevented from proceeding with the Project by reason of a temporary preliminary, special, or permanent restraining order or injunction of a court of competent jurisdiction where the issuance of such order or injunction is primarily caused by the acts or omissions of persons or agencies other than the Subrecipient; or
 - 5) In the case of termination for convenience under Sections 25.A.1) through 25.A.5), STA shall reimburse the Subrecipient for all costs payable under this Agreement that the Subrecipient properly incurred prior to termination. The Subrecipient shall promptly submit its claim for reimbursement to STA. If the Subrecipient has any property in its possession belonging to STA, the Subrecipient will account for the same, and dispose of it in the manner STA directs.
- B. Termination for Default. STA may suspend or terminate this Agreement for default, in whole or in part, and all or any part of the financial assistance provided herein, at any time by written notice to the Subrecipient, if the Subrecipient materially breaches or fails to perform any of the requirements of this Agreement, including, but not limited to:

- 1) Takes any action pertaining to this Agreement without the approval of STA, which under the procedures of this Agreement would have required the approval of STA;
 - 2) Jeopardizes its ability to perform pursuant to this Agreement, United States of America laws, Washington state laws, or local governmental laws under which the Subrecipient operates;
 - 3) Fails to make reasonable progress on the Project or other violation of this Agreement that endangers substantial performance of the Project; or
 - 4) Fails to perform in the manner called for in this Agreement or fails, to comply with, or is in violation of, any provision of this Agreement. STA shall serve a notice of termination on the Subrecipient setting forth the manner in which the Subrecipient is in default hereunder. If it is later determined by STA that the Subrecipient had an excusable reason for not performing, such as events which are not the fault of or are beyond the control of the Subrecipient, such as a strike, fire or flood, STA may: (a) allow the Subrecipient to continue work after setting up a new delivery of performance schedule, or (b) treat the termination as a termination for convenience.
- C. STA, in its sole discretion may, in the case of a termination for breach or default, allow the Subrecipient ten (10) business days, or such longer period as determined by STA, in which to cure the defect. In such case, the notice of termination will state the time period in which cure is permitted and other appropriate conditions. If the Subrecipient fails to remedy to STA's satisfaction the breach or default within the timeframe and under the conditions set forth in the notice of termination, STA shall have the right to terminate this Agreement without any further obligation to Subrecipient. Any such termination for default shall not in any way operate to preclude STA from also pursuing all available remedies against Subrecipient and its sureties for said breach or default.
- D. In the event that STA elects to waive its remedies for any breach by Subrecipient of any covenant, term or condition of this Agreement, such waiver by STA shall not limit STA's remedies for any succeeding breach of that or of any other term, covenant, or condition of this Agreement.
- E. If this Agreement is terminated, whether for convenience or for default, before the specified end date set forth in the caption header *Project Start Date* and *Project End Date*, STA and the Subrecipient shall execute an amendment to this Agreement identifying the termination date and the reason for termination.

26. LIMITATION OF LIABILITY

- A. The Subrecipient shall indemnify and hold harmless STA, its officers, directors, agents and employees from any and all claims, demands, suits at law or equity, actions, penalties, losses, damages, or costs (collectively, "claims"), of whatsoever kind or nature brought against STA arising out of, in connection with or incident to the execution of this Agreement and/or the Subrecipient's performance or failure to perform any aspect of this Agreement. In the event that any claims, investigations, demands, suits, actions or lawsuits arise out of any of the aforesaid acts, errors, or omissions, the Subrecipient shall assume all costs of defending such claims, suits, actions or lawsuits, including legal fees incurred by STA, any penalties imposed on STA or the Subrecipient, and all judgments that may be obtained against STA, or any of its officers, agents, or employees in such suits.

This indemnity provision applies to all claims against STA, its officers, directors, agents and employees arising out of, in connection with or incident to the negligent acts or omissions of the

Subrecipient, its agents, employees, officers and subcontractors. Provided, however, that nothing herein shall require the Subrecipient to indemnify and hold harmless or defend STA, its agents, employees or officers to the extent that claims are caused by the sole negligent acts or omissions of STA, its officers, directors, agents or employees; and provided further that if such claims result from the concurrent negligence of (a) the Subrecipient its employees, agents, officers or contractors and (b) STA, its officers, directors, employees or authorized agents, or involves those actions covered by RCW 4.24.115, the indemnity provisions provided herein shall be valid and enforceable only to the extent of the negligence of the Party, its employees, officers, authorized agents, and/or contractors. This indemnification and hold harmless provision shall survive termination of this Agreement.

- B. The Subrecipient shall be deemed an independent contractor for all purposes, and the employees of the Subrecipient or its subcontractors and the employees thereof, shall not in any manner be deemed to be the employees of STA.
- C. The Subrecipient specifically assumes potential liability for actions brought by Subrecipient's employees and/or subcontractors and solely for the purposes of this indemnification and defense, the Subrecipient specifically waives any immunity under the State Industrial Insurance Law, Title 51 RCW.
- D. In the event either the Subrecipient or STA incurs attorneys' fees, costs or other legal expenses to enforce the provisions of this Section of this Agreement against the other Party, all such fees, costs and expenses shall be recoverable by the prevailing Party.

27. PERSONAL LIABILITY OF PUBLIC OFFICERS

No officer or employee of STA shall be personally liable for any acts or failure to act in connection with this Agreement, it being understood that in such matters they are acting solely as agents of STA.

28. STA ADVICE

The Subrecipient bears complete responsibility for the administration and success of the Project as it is defined by this Agreement and any amendments thereto. If the Subrecipient solicits advice from STA on problems that may arise, the offering of STA advice shall not shift the responsibility of the Subrecipient for the correct administration and success of the Project, and STA shall not be held liable for offering advice to the Subrecipient.

29. SUBROGATION

- A. Prior to Subrogation. STA may require the Subrecipient to take such action as may be necessary or appropriate to preserve the Subrecipient's right to recover damages from any person or organization alleged to be legally responsible for injury to any equipment, property, or transportation program in which STA has a financial interest.
- B. Subrogation. STA may require the Subrecipient to assign to STA all right of recovery against any person or organization for loss, to the extent of STA's loss. Upon assignment, the Subrecipient shall execute, deliver, and do whatever else necessary to secure STA's rights. The Subrecipient shall do nothing after any loss to prejudice the rights of STA.
- C. Duties of the Subrecipient. If STA has exercised its right of subrogation, the Subrecipient shall cooperate with STA and, upon STA's request, assist in the prosecution of suits and enforce any

right against any person or organization who may be liable to STA. The Subrecipient shall attend hearings and trials as requested by STA, assist in securing and giving evidence as requested by STA, and obtain the attendance of witnesses as requested by STA.

30. FOREBEARANCE BY STA NOT A WAIVER

Any forbearance by STA in exercising any right or remedy hereunder, or otherwise afforded by applicable law, shall not be a waiver of or preclude the exercise of any such right or remedy.

31. LACK OF WAIVER

In no event shall any STA payment of grant funds to the Subrecipient constitute or be construed as a waiver by STA of any Subrecipient breach, or default. Such payment shall in no way impair or prejudice any right or remedy available to STA with respect to any breach or default.

32. VENUE & PROCESS

In the event that either Party deems it necessary to institute legal action or proceedings to enforce any right or obligation under this Agreement, the Parties hereto agree that any such action shall be initiated in the Superior Court of the State of Washington situated in Spokane County. The Parties agree that the laws of the State of Washington shall apply.

33. ENTIRE AGREEMENT

This Agreement and its attachments constitute the entire agreement between the Parties and supersedes all prior negotiations, representations and agreements between the Parties relating to the subject matter hereof. No agent or representative of STA has authority to make, and STA shall not be bound by or be liable for, any statement, representation, promise or agreement not set forth herein or made by written amendment hereto.

34. MODIFICATION

Either Party may request changes to this Agreement. Any changes to the terms of this Agreement must be mutually agreed upon and incorporated by written amendment to this Agreement. Such written amendment to this Agreement shall not be binding or valid unless signed by the persons authorized to bind from each of the Parties. Provided, however, that changes to the federal award identification number, DUNS, project title, federal ID number, CFDA number, milestones, UPIN the contact person of either Party, or dollar amount changes that do not affect the project total cost, will not require a written amendment, but will be approved and documented by STA through an administrative revision. STA shall notify the Subrecipient of the revision in writing.

35. SEVERABILITY

If any covenant or provision of this Agreement shall be adjudged void, such adjudication shall not affect the validity or obligation of performance of any other covenant or provision, or any part thereof, which in itself is valid if such remainder conforms to the terms and requirements of applicable law and the intent of this Agreement. No controversy concerning any covenant or provision shall delay the performance of any other covenant or provision except as herein allowed.

36. TRADEMARKS & LOGOS

The Parties hereto are prohibited from using, and agree not to use, directly or indirectly, any name, trademark, or logo of the other Party without first obtaining prior written consent from the other Party.

37. PUBLIC RECORDS ACT

Each Party to this Agreement understands and acknowledges that STA is a municipal corporation of the State of Washington subject to the "Public Records Act", RCW 42.56, *et seq.*

The Subrecipient understands and agrees that the records it obtains or produces under this Agreement may be public records under the Public Records Act, or its successor act. The Subrecipient shall cooperate in a timely manner with STA in responding to a public records request ("PRR") related to this Agreement or the goods/services provided under this Agreement. Such cooperation shall include searching all records regarding this Agreement and producing all records that are potentially responsive to a PRR to STA. The Subrecipient shall mark and segregate all materials in its possession that may be protected by the Public Records Act to protect against inadvertent disclosure of such documents and to facilitate STA's application of allowable Public Records Act exemptions. The Subrecipient shall not charge STA for the time spent gathering and producing records pursuant to a PRR.

38. SECTION HEADINGS

All section headings are inserted for convenience only and shall not affect any construction or interpretation of this Agreement.

39. ORDER OF PRECEDENCE

Any conflict or inconsistency in this Agreement and its attachments will be resolved by giving documents precedence in the following order:

- A. Federal law
- B. Exhibit B, *Federal Provisions*
- C. State law
- D. This Agreement
- E. Exhibit A, *Scope of Work & Budget*

40. COUNTERPARTS

This Agreement may be simultaneously executed in several counterparts, each of which shall be deemed to be an original having identical legal effect. The Subrecipient does hereby ratify and adopt all statements, representations, warranties, covenants, and agreements and their supporting materials contained and/or mentioned herein, and does hereby accept STA's grant and agrees to all of the terms and conditions thereof.

41. ELECTRONIC SIGNATURES

A signed copy of this Agreement or any other ancillary agreement transmitted by facsimile, email or other means of electronic transmission shall be deemed to have the same legal effect as delivery of any original executed copy of this Agreement or such other ancillary agreement for all purposes.

[signatures on the following page]

SAMPLE

42. SIGNATURES

The undersigned acknowledge that they are authorized to execute this Agreement and bind their respective agency(ies) and or entity(ies) to the obligations set forth herein.

IN WITNESS WHEREOF, the Parties hereto have executed this Agreement the day and year signed last below.

Subrecipient**Spokane Transit Authority**

By: XXX

Title: XXX

Date: _____

By: E. Susan Meyer

Title: Chief Executive Officer

Date: _____

Attest:

By: XXX

Title: XXX

Date: _____

By: Dana Infalt

Title: Clerk of the Authority

Date: _____

Disadvantaged Business Enterprises:

By: Jacque Tjards

Title: DBE Liaison

Date: _____

EXHIBIT A
SCOPE OF WORK & BUDGET

Scope of Work: XXX
Budget: XXX

Total Project Cost	
Federal Funds	\$ XXX,XXX
Subrecipient Funds	\$ XXX,XXX
Total Project Cost	\$ XXX,XXX

Current Funds and percentages identified reflect current total Project funds. Additional funds are subject to availability from FTA and will be added to this Agreement, subject to Subrecipient's compliance with this Agreement and after any such appropriation is enacted into law, by written amendment. If any such projected funds are not available, the provisions of Section 25.A, *Termination for Convenience*, shall apply and STA will not be financially responsible for any operating funding assistance or costs incurred by Subrecipient for the Project beyond the Current Funds appropriated.

EXHIBIT B

FEDERAL PROVISIONS

1. ASSIGNMENTS & SUBCONTRACTS

In addition to the requirements of Section 9.B of the Agreement, *Assignments & Subcontracts*, the Subrecipient agrees to include Sections 3 through 23 of this Exhibit B, *Federal Provisions*, in each subcontract and in all contracts it enters into for the employment of any individuals, procurement of any incidental goods or supplies, or the performance of any work to be accomplished under this Agreement.

2. SUBRECIPIENT'S SHARE OF PROJECT COSTS

In addition to the requirements of the Agreement, the Subrecipient agrees to comply with Federal requirements to the extent applicable:

A. Requirements Applicable On or After December 26, 2014: The following requirements apply to the Award, the accompanying Underlying Agreement, and any Amendments thereto signed by an authorized FTA official on or after December 26, 2014 as follows:

- 1) DOT regulations, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, 2 CFR part 1201, which incorporates by reference OMB regulatory guidance, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, 2 CFR part 200, and which applies to an Award, the accompanying Underlying Agreement, and any Amendments to any Underlying Agreement with a state, local government, Indian tribe, institution of higher education (IHE), or nonprofit organization; and
- 2) Except as FTA determines otherwise in writing, DOT regulations, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, 2 CFR part 1201, and Subparts A through E of OMB regulatory guidance, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, 2 CFR part 200, apply to a private for-profit entity; notably, the Cost Principles of subpart 31.2 of the Federal Acquisition Regulation, which permits the payment of profits or fees for work under procurement contracts, generally will not apply to private for-profit entities.

3. PRIVACY ACT

The Subrecipient agrees to comply with, and assures the compliance of its employees with, the information restrictions and other applicable requirements of the Privacy Act of 1974, 5 USC § 552a. Among other things, the Subrecipient agrees to obtain the express consent of the Federal Government before the Subrecipient or its employees operate a system of records on behalf of the Federal Government. The Subrecipient understands that the requirements of the Privacy Act, including the civil and criminal penalties for violation of that Act, apply to those individuals involved, and that failure to comply with the terms of the Privacy Act may result in termination of the underlying Agreement.

4. REPORTS

A. In addition to the requirements of Section 11 of the Agreement, *Reports*, the Subrecipient shall collect and submit to STA, at such time as STA may require, such financial statements, data, records, contracts, and other documents related to the Project as may be deemed necessary by STA and FTA and which may include but are not limited to:

- 1) Drug Abuse and Alcohol Abuse Testing compliance reports as required in the Agreement.

EXHIBIT B

FEDERAL PROVISIONS

- 2) Goods and services purchased from DBEs.
- 3) National Transit Database. The condition of, its public transportation assets, as provided in FTA regulations, *Transit Asset Management; National Transit Database*, 49 CFR parts 625 and 630.

5. ACCOUNTING RECORDS

In addition to the requirements of Section 17 of the Agreement, *Accounting Records*, the Subrecipient shall comply with the following:

- A. Project Accounts. The Subrecipient agrees to establish and maintain for the Project either a separate set of accounts or separate accounts within the framework of an established accounting system that can be identified with the Project, in accordance with applicable federal regulations and other requirements that FTA may impose. The Subrecipient agrees that all checks, payrolls, invoices, contracts, vouchers, orders, or other accounting documents pertaining in whole or in part to the Project shall be clearly identified, readily accessible, and available to STA and FTA upon request, and, to the extent feasible, kept separate from documents not pertaining to the Project.
- B. Funds Received or Made Available for the Project. The Subrecipient agrees to deposit in a financial institution, all Project payments it receives from the Federal Government and record in the Project Account all amounts provided by the Federal Government in support of this Grant Agreement or Cooperative Agreement and all other funds provided for, accruing to, or otherwise received on account of the Project ("Project Funds") in accordance with applicable Federal regulations and other requirements FTA may impose. Use of financial institutions owned at least 50 percent (50%) by minority group members is encouraged.

6. AUDITS, INSPECTION, AND RETENTION OF RECORDS

In addition to the requirements of Section 18 of the Agreement, *Audits, Inspection & Records Retention*, the Subrecipient agrees to follow reporting and record-keeping requirements set forth in 2 CFR part 1201. The Subrecipient also agrees to perform the financial and compliance audits required by the Single Audit Act Amendments of 1996, 31 USC § 7501 *et seq.*, and applicable DOT *Single Audit* requirements of 2 CFR part 1201, which incorporate by reference 2 CFR part 200, for each Award, and any Amendments to any Underlying Agreement. The Subrecipient agrees that audits will be carried out in accordance with U.S. General Accounting Office *Government Auditing Standards*. The Subrecipient agrees to obtain any other audits required by the Federal Government or STA. Project closeout will not alter the Subrecipient's audit responsibilities.

The Subrecipient agrees to permit the United States Department of Transportation, and the Comptroller General of the United States, or their authorized representatives, to inspect all Project work materials, payrolls, and other data and records, and to audit the books, records, and accounts of the Subrecipient and its subcontractors pertaining to the Project. The Subrecipient agrees to require each third-party contractor whose contract award is not based on competitive bidding procedures as defined by the United States Department of Transportation to permit STA, the State Auditor, the United States Department of Transportation, and the Comptroller General of the United States, or their duly authorized representatives, to inspect all work, materials, payrolls, and other data and records involving that third-party contract, and to audit the books, records, and accounts involving that third-party contract as it affects the Project as required by 49 USC § 5325(g).

EXHIBIT B

FEDERAL PROVISIONS

7. PROCUREMENT

The Subrecipient shall make purchases of any incidental goods or supplies essential to this Agreement through procurement procedures approved in advance by STA and consistent with the following provisions:

- A. General Procurement Requirements. The Subrecipient shall comply with third-party procurement requirements of 49 USC chapter 53 and other applicable Federal laws in effect now or as subsequently enacted; with the DOT third-party procurement regulations of 2 CFR Part 200 and 2 CFR part 1201; and other applicable Federal regulations pertaining to third-party procurements and subsequent amendments thereto. The Subrecipient shall also comply with the provisions of FTA Circular 4220.1F, *Third Party Contracting Guidance*, March 18, 2013 and any later revision thereto, except to the extent FTA determines otherwise in writing, which by this reference are incorporated herein; and any reference therein to "Grantee" shall mean Subrecipient.
- B. Full and Open Competition. In accordance with 49 USC § 5325(a), the Subrecipient agrees to conduct all procurement transactions in a manner that provides full and open competition as determined by FTA.
- C. Preference for United States Products and Services. To the extent applicable, the Subrecipient agrees to comply with the following U.S. preference requirements:
 - 1) Buy America. The Subrecipient agrees to comply with 49 USC § 5323(j), with FTA regulations, *Buy America Requirements*, 49 CFR Part 661, and any later amendments thereto.
 - 2) Cargo Preference - Use of United States-Flag Vessels. The Subrecipient agrees to comply with 46 USC § 55305 and U.S. Maritime Administration regulations, *Cargo Preference - U.S.-Flag Vessels*, 46 CFR Part 381, to the extent those regulations apply to the Project.
 - 3) Fly America. The Subrecipient understands and agrees that the Federal Government will not participate in the costs of international air transportation of any persons involved in or property acquired for the Project unless that air transportation is provided by U.S.-flag air carriers to the extent service by U.S.-flag air carriers is available, in accordance with the International Air Transportation Fair Competitive Practices Act of 1974, as amended, 49 USC § 40118, and with GSA regulations, *Use of United States Flag Air Carriers*, 41 CFR §§ 301-10.131 through 301-10.143.
- D. Preference for Recycled Products. To the extent applicable, the Subrecipient agrees to comply with EPA *Comprehensive Procurement Guideline for Products Containing Recovered Materials*, 40 CFR Part 247, which implements section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act of 1976, as amended, 42 USC § 6962. Accordingly, the Subrecipient agrees to provide a competitive preference for products and services that conserve natural resources, protect the environment, and are energy efficient, except to the extent that the Federal Government determines otherwise in writing.
- E. Geographic Restrictions. The Subrecipient agrees to not use any state or local geographic preference, except those expressly mandated or encouraged by federal statute or as permitted by FTA.
- F. Government Orders. In case any lawful government authority shall make any order with respect to the Project or Project Equipment, or any part thereof, or the Parties hereto or either Party, the

EXHIBIT B

FEDERAL PROVISIONS

Subrecipient shall cooperate with STA in carrying out such order and will arrange its operation and business so as to enable STA to comply with the terms of the order.

8. INCORPORATION OF FEDERAL TERMS

- A. Purchasing. This Agreement's provisions include, in part, certain Standard Terms and Conditions required by FTA, whether or not expressly set forth herein. All contractual provisions required by FTA, as set forth in FTA Circular 4220.1F, as amended, are hereby incorporated by reference into this Agreement. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Agreement. The Subrecipient shall not perform any act, fail to perform any act, or refuse to comply with any STA request, which would cause STA to be in violation of any FTA term or condition.
- B. Federal Changes. The Subrecipient shall at all times comply with all applicable FTA regulations, policies, procedures and directives, whether or not they are referenced in this Agreement and include any amendments promulgated by the FTA, during the term of this Agreement. The Subrecipient's failure to so comply shall constitute a material breach of this Agreement.

9. NO OBLIGATION BY FEDERAL GOVERNMENT

- A. STA and the Subrecipient acknowledge and agree that regardless of any concurrence or approval by the Federal Government of the solicitation or award of this Agreement, the Federal Government is not a party to this Agreement unless it provides its express written consent. The Federal Government shall not be subject to any obligations or liabilities to the Subrecipient, subcontractor, lessee, or any other participant at any tier of the Project (whether or not a party to this Agreement) pertaining to any matter resulting from this Agreement.
- B. No contract between the Subrecipient and its subcontractors, lessees, or any other participant at any tier of the Project shall create any obligation or liability of STA with regard to this Agreement without STA's specific written consent, notwithstanding its concurrence in, or approval of, the award of any contract or subcontract or the solicitations thereof. The Subrecipient hereby agrees to include this provision in all contracts it enters into for the employment of any individuals, procurement of any materials, or the performance of any work to be accomplished under this Agreement.

10. TERMINATION

In addition to the requirements of Section 25 of the Agreement, *Suspension / Termination*, STA and/or the Subrecipient may suspend or terminate this Agreement, in whole or in part, and all or any part of the federal and/or state financial assistance provided herein, at any time by written notice to the other Party in accordance with 2 CFR Part 200 and 2 CFR part 1201, whichever is applicable. Also, the Federal Government may determine the purposes of the statute authorizing the Project would not be adequately served by the continuation of federal and/or state financial assistance for the Project; or terminates this Agreement due to a determination that the Subrecipient has: (a) willfully misused Federal assistance Funds by failing to make adequate progress on the Project; (b) failed to make reasonable and appropriate use of the Project real property, facilities, or equipment; or (c) failed to comply with the terms of this Agreement. In the event of a termination under this subsection, and the Federal Government exercises its right to require STA to refund any or all of the Federal Funds provided for the Project, the Subrecipient shall return all monies reimbursed to it by STA, in the amount required by the Federal Government, within sixty (60) days of its receipt of a certified letter from STA.

EXHIBIT B

FEDERAL PROVISIONS

11. ETHICS

In addition to the requirements of Section 13 of the Agreement, *Ethics*, the Subrecipient shall comply with the following:

- A. Code of Ethics. The Subrecipient agrees to maintain a written code or standards of conduct that shall govern the performance of its officers, employees, board members, or agents engaged in the award and administration of contracts, subagreements, leases, third-party contracts, or other arrangements supported by federal assistance. The code or standards shall provide that the Subrecipient's officers, employees, board members, or agents may neither solicit nor accept gratuities, favors, or anything of monetary value from any present or potential subcontractor, lessee, subrecipient, or participant at any tier of the Project, or agent thereof. The Subrecipient may set *de minimis* rules where the financial interest is not substantial, or the gift is an unsolicited item of nominal intrinsic value. These codes or standards shall prohibit the Subrecipient's officers, employees, board members, or agents from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest or personal gain. As permitted by state or local law or regulations, such code or standards shall include penalties, sanctions, or other disciplinary actions for violations by the Subrecipient's officers, employees, board members, or agents, or by subcontractors, lessees, subrecipients, other participants, or their agents. The Subrecipient must fully comply with all the requirements and obligations of chapter 42.52 RCW that govern ethics in state and local governments.
- 1) Personal Conflict of Interest. The Subrecipient's code or standards shall prohibit the Subrecipient's employees, officers, board members, or agents from participating in the selection, award, or administration of a contract supported by Federal Funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when any of the parties set forth below has a financial or other interest in the firm or entity selected for award:
 - a) The employee, officer, board member, or agent;
 - b) Any member of his or her immediate family;
 - c) His or her partner; or
 - d) An organization that employs, or is about to employ, any of the above.
 - 2) Organizational Conflict of Interest. The Subrecipient's code or standard of conduct must include procedures for identifying and preventing real and apparent organizational conflicts of interest. An organizational conflict of interest exists when the nature of the work to be performed under a proposed third-party contract, subagreement, lease, or other arrangement at any tier may, without some restrictions on future activities, result in an unfair competitive advantage to the subrecipient, lessee, third-party contractor, or other participant at any tier of the Project or impair its objectivity in performing the work under this Agreement.
- B. Debarment and Suspension. The Subrecipient agrees to comply, and assures the compliance of each subrecipient, lessee, third-party contractor, or other participant at any tier of the Project, with the requirements of Executive Orders Numbers 12549 and 12689. Per 2 CFR § 180.220, a contract award must not be made to parties listed on the governmentwide exclusions in the System for Award Management ("SAM"), in accordance with the OMB guidelines at 2 CFR § 180 that implement Executive Orders Nos. 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), *Debarment and Suspension*. SAM contains the names of parties debarred,

EXHIBIT B

FEDERAL PROVISIONS

suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order No. 12549. The Subrecipient agrees to, and assures that its subrecipients, lessees, third-party contractors, and other participants at any tier of the Project will search the System for Award Management at www.sam.gov before entering into any subagreement, lease, third-party contract, or other arrangement in connection with the Project, and will include a similar term or condition in each of its lower-tier covered transactions. Subrecipient understands that a suspension, debarment, or other similar action against a third-party by Subrecipient is considered an adverse action that can result in a change in Project performance and agrees to provide immediate written notice to FTA.

- C. Bonus or Commission. The Subrecipient affirms that it has not paid, and agrees not to pay, any bonus or commission to obtain approval of its application for federal financial assistance for this Project.
- D. Restrictions on Lobbying. The Subrecipient agrees to:
- 1) Comply with Byrd Anti-Lobbying Amendment, 31 USC § 1352(a) and will not use Federal assistance to pay the costs of influencing any officer or employee of a Federal agency, Member of Congress, officer of Congress or employee of a member of Congress, in connection with making or extending the Grant Agreement or Cooperative Agreement; and
 - 2) Comply, and assure compliance by each subcontractor at any tier, each lessee at any tier and each subrecipient at any tier, with applicable requirements of DOT regulations, *New Restriction on Lobbying*, 49 CFR Part 20, modified as necessary by 31 USC § 1352; and
 - 3) Comply with federal statutory provisions to the extent applicable prohibiting the use of Federal assistance Funds for activities designed to influence Congress or a state legislature on legislation or appropriations, except through proper, official channels.
- E. Employee Political Activity. To the extent applicable, the Subrecipient agrees to comply with the provisions of the Hatch Act, 5 USC §§ 1501 through 1508, and §§ 7324 through 7326, and Office of Personnel Management regulations, *Political Activity of State or Local Officers or Employees*, 5 CFR Part 151. The Hatch Act limits the political activities of state and local agencies and their officers and employees, whose principal employment activities are financed in whole or in part with Federal Funds including a loan, grant, or cooperative agreement. Nevertheless, in accordance with 49 USC § 5307 (k)(2)(B) and 23 USC § 142(g), the Hatch Act does not apply to a non-supervisory employee of a public transportation system (or of any other agency or entity performing related functions) receiving assistance pursuant to the MAP-21 or SAFETEA-LU provisions and/or receiving FTA assistance to whom the Hatch Act does not otherwise apply.
- F. False or Fraudulent Statements or Claims. The Subrecipient acknowledges and agrees that:
- 1) Civil Fraud. The Program Fraud Civil Remedies Act of 1986, as amended, 31 USC § 3801 *et seq.*, and DOT regulations, *Program Fraud Civil Remedies*, 49 CFR Part 31, apply to its activities in connection with the Project. Accordingly, by executing this Agreement, the Subrecipient certifies or affirms the truthfulness and accuracy of each statement it has made, it makes, or it may make in connection with the Project covered by this Agreement. In addition to other penalties that may apply, the Subrecipient also acknowledges that if it makes a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government, the Federal Government reserves the right to impose the penalties of the Program

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Fraud Civil Remedies Act of 1986, as amended, on the Subrecipient to the extent the Federal Government deems appropriate.

- 2) Criminal Fraud. If the Subrecipient makes a false, fictitious, or fraudulent claim, statement, submission, certification, assurance, or representation to the Federal Government or includes a false, fictitious, or fraudulent statement or representation in any agreement in connection with this Project authorized under 49 USC Chapter 53 or any other federal law, the Federal Government reserves the right to impose on the Subrecipient the penalties of 49 USC §5323(1), 18 USC § 1001 or other applicable Federal law to the extent the Federal Government deems appropriate.
 - 3) Subrecipient understands that a false claim is considered an adverse action that can result in a change in Project performance.
- G. Trafficking in Persons. To the extent applicable, the Subrecipient agrees to comply with, and assures the compliance of each subrecipient with, the requirements of section 106(g) of the Trafficking Victims Protection Act of 2000 ("TVPA"), as amended, 22 USC § 7104(g), and the provisions of section 4(f) of the FTA Master Agreement (26) dated October 1, 2019, which by this reference is incorporated herein as if fully set out in this Agreement, and any amendments thereto consistent with OMB guidance, *Trafficking in Persons: Grants and Cooperative Agreements*, 2 CFR Part 175.

12. CIVIL RIGHTS

The Subrecipient shall comply with all applicable civil rights laws, regulations and directives, except to the extent that the Federal Government determines otherwise in writing. These include, but are not limited to, the following:

- A. Nondiscrimination in Federal Transit Programs. The Subrecipient agrees to comply, and assures compliance by each third-party contractor, lessee or other participant at any tier, with the provisions of 49 USC § 5332, which prohibits discrimination on the basis of race, color, creed, national origin, sex, disability, sexual orientation, gender identity, status as a parent, or age, and prohibits discrimination in employment or business opportunity;
- B. Nondiscrimination-Title VI of the Civil Rights Act. The Subrecipient agrees to comply, and assure compliance by each third-party contractor at any tier, with all provisions prohibiting discrimination on the basis of race, color, or national origin of Title VI of the Civil Rights Act of 1964, as amended, 42 USC §§ 2000d *et seq.*; and DOT regulations, *Nondiscrimination in Federally-Assisted Programs of the Department of Transportation--Effectuation of Title VI of the Civil Rights Act*, 49 CFR Part 21. Except to the extent FTA determines otherwise in writing, the Subrecipient also agrees to follow all applicable provisions of the most recent edition of FTA Circular 4702.1, *Title VI Requirements and Guidelines for Federal Transit Administration Recipients*, to the extent consistent with applicable Federal laws, regulations, and guidance; and DOJ, *Guidelines for the enforcement of Title VI, Civil Rights Act of 1964*, 28 CFR § 50.3, and any other applicable Federal guidance that may be issued;
- C. Equal Employment Opportunity. The Subrecipient agrees to comply, and assures compliance by each third-party contractor, lessee or other participant at any tier of the Project, with all EEO provisions of 49 USC §5332, with requirements of Title VII of the Civil Rights Act of 1964, as amended, 42 USC § 2000e *et seq.*, and Executive Order 11246 and Executive Order 13672, FTA

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Circular 4704.1, *Equal Employment Opportunity (EEO) Requirements and Guidelines for Federal Transit Administration Recipients*, and any implementing Federal regulations and any subsequent amendments thereto. Except to the extent FTA determines otherwise in writing, the Subrecipient also agrees to comply with any applicable Federal EEO directives that may be issued. Accordingly:

- 1) The Subrecipient agrees that it will not discriminate against any employee or applicant for employment because of race, color, creed, sex, disability, sexual orientation, gender identify status as a parent, age, or national origin. The Subrecipient agrees to take affirmative action to ensure that applicants are employed and that employees are treated during employment, without regard to their race, color, creed, sex, disability, sexual orientation, gender identity, status as a parent, age, or national origin. Such action shall include, but not be limited to, employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The Subrecipient shall also comply with any implementing requirements FTA may issue.
 - 2) If the Subrecipient is required to submit and obtain Federal Government approval of its EEO program, that EEO program approved by the Federal Government is incorporated by reference and made part of this Agreement. Failure by the Subrecipient to carry out the terms of that EEO program shall be treated as a violation of this Agreement. Upon notification to the Subrecipient of its failure to carry out the approved EEO program, the Federal Government may impose such remedies, as it considers appropriate, including termination of federal financial assistance, or other measures that may affect the Subrecipient's eligibility to obtain future federal financial assistance for transportation projects.
- D. Nondiscrimination on the Basis of Sex. The Subrecipient agrees to comply with all applicable requirements of Title IX of the Education Amendments of 1972, as amended, 20 USC §§ 1681, *et seq.*, and with any implementing Federal regulations that prohibit discrimination on the basis of sex that may be applicable.
- E. Nondiscrimination on the Basis of Age. The Subrecipient agrees to comply with applicable requirements of:
- 1) The Age Discrimination Act of 1975, as amended, 42 USC §§ 6101 *et seq.*, and with implementing U.S. Health and Human Services regulations, *Nondiscrimination on the Basis of Age in Programs and Activities Receiving Federal Financial Assistance*, 45 CFR Part 90, which prohibits discrimination on the basis of age.
 - 2) The Age Discrimination in Employment Act ("ADEA") 29 USC §§ 621 through 634 and with implementing EEOC regulations, *Age Discrimination in Employment Act*, 29 CFR Part 1625.
- F. Disabilities-Employment. In accordance with section 102 of the Americans with Disabilities Act, as amended, 42 USC § 12112, the Subrecipient agrees that it will comply with the requirements of EEOC, *Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act*, 29 CFR Part 1630, pertaining to employment of persons with disabilities. In addition, the Subrecipient agrees to comply with FTA Circular 4710.1, *Americans with Disabilities Act: Guidance*, and any implementing requirements FTA may issue.
- G. Disabilities-Access. The Subrecipient agrees to comply with all applicable requirements of section 504 of the Rehabilitation Act of 1973, as amended, 29 USC § 794, which prohibit discrimination

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on the basis of handicap; with the Americans with Disabilities Act of 1990 (ADA), as amended, 42 USC §§ 12101 *et seq.*, which requires the provision of accessible facilities and services to be made available to persons with disabilities; and the Architectural Barriers Act of 1968, as amended, 42 USC §§ 4151 *et seq.*, which requires that buildings and public accommodations be accessible to persons with disabilities and with other laws and amendments thereto pertaining to access for individuals with disabilities that may be applicable. In addition, the Recipient agrees to comply with applicable implementing Federal regulations and any later amendments thereto, and agrees to follow applicable Federal directives except to the extent FTA approves otherwise in writing. Among those regulations and directives are the following: DOT regulations, *Transportation Services for Individuals with Disabilities (ADA)*, 49 CFR Part 37; DOT regulations, *Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance*, 49 CFR Part 27; Joint U.S. Architectural and Transportation Barriers Compliance Board DOT regulations; *Americans with Disabilities (ADA) Accessibility Specifications for Transportation Vehicles*, 36 CFR Part 1192 and 49 CFR Part 38; DOJ regulations, *Nondiscrimination on the Basis of Disability in State and Local Government Services*, 28 CFR Part 35; DOJ regulations, *Nondiscrimination on the Basis of Disability by Public Accommodations and in Commercial Facilities*, 28 CFR Part 36; GSA regulations, *Accommodations for the Physically Handicapped*, 41 CFR Subpart 101-19; EEOC, *Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act*, 29 CFR Part 1630; U.S. Federal Communications Commission regulations, *Telecommunications Relay Services and Related Custom Premises Equipment for the Hearing and Speech Disabled*, 47 CFR Part 64, Subpart F; U.S. Architectural and Transportation Barriers Compliance Board (“ATBCB”) regulations, *Electronic and Information Technology Accessibility Standards*, 36 CFR Part 1194; FTA regulations, *Transportation for Elderly and Handicapped Persons*, 49 CFR Part 609; and Federal civil rights and nondiscrimination directives implementing the foregoing regulations, except to the extent the Federal Government determines otherwise in writing.

- H. Drug or Alcohol Abuse Confidentiality and Other Civil Rights Protections. The Subrecipient agrees to comply with the confidentiality and other civil rights provisions of the Drug Abuse Office and Treatment Act of 1972, as amended 21 USC §§ 1101 *et seq.*; with the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, as amended; 42 USC §§ 4541 *et seq.*; and comply with the Public Health Service Act of 1912, as amended, 42 USC §§ 290dd through 290dd-2, and any amendments to these laws. The Subrecipient understands the requirements of confidentiality concerning persons covered and/or receiving services and/or treatment regarding alcohol and drug abuse, as defined in the aforementioned acts as applicable, including any civil and criminal penalties for not complying with the requirements of confidentiality and that failure to comply with such requirements may result in termination of this Agreement.
- I. Access to Services for Persons with Limited English Proficiency. The Subrecipient agrees to comply with the policies of Executive Order No. 13166, *Improving Access to Services for Persons with Limited English Proficiency*, 42 USC § 2000d-1 note, and with provisions of DOT Notice *DOT Policy Guidance Concerning Recipients’ Responsibilities to Limited English Proficiency (LEP) Persons*, 70 Fed. Reg. 74087, December 14, 2005.
- J. Environmental Justice. The Subrecipient agrees to comply with the policies of Executive Order No. 12898, *Federal Actions to Address Environmental Justice in Minority populations and Low-Income Populations*, 42 USC § 4321 note; and DOT Order 5610.2, *Department of Transportation Actions to address Environmental Justice in Minority Populations and Low-Income Populations*, 62 Fed. Reg. 18377 *et seq.*, April 15, 1997, and the most recent and applicable edition of FTA

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Circular 4703.1, *Environmental Justice Policy Guidance for Federal Transit Administration Recipients*, August 15, 2012, except to the extent that the Federal Government determines otherwise in writing.

- K. Other Nondiscrimination Statutes. The Subrecipient agrees to comply with all applicable provisions of other Federal laws, regulations, and directives pertaining to and prohibiting discrimination and other nondiscrimination statute(s) that may apply to the Project including chapter 49.60 RCW.

13. PARTICIPATION OF DISADVANTAGED BUSINESS ENTERPRISES

To the extent applicable, the Subrecipient shall take the following measures to facilitate participation by DBEs in the Project:

- A. The Subrecipient agrees to comply with section 1101(b) of MAP-21, 23 USC §101 note, and DOT regulations, *Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs*, 49 CFR Part 26; and Federal transit law, specifically 49 USC § 5332.
- B. The Subrecipient agrees that it shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of any third-party contract, or sub-agreement supported with federal assistance derived from the DOT or in the administration of its DBE program or the requirements of 49 CFR Part 26. The Subrecipient agrees to take all necessary and reasonable steps under 49 CFR Part 26 to ensure nondiscrimination in the award and administration of all third-party contracts and sub-agreements supported with federal assistance derived from the DOT and to follow all requirements specified in WSDOT's *Consolidated Grants Program Guidebook*, and any amendments thereto, referencing DBE standards and any amendments thereto. The Subrecipient's DBE program, as required by 49 CFR Part 26 and approved by the DOT, is incorporated by reference and made part of this Agreement. Implementation of the DBE program is a legal obligation, and failure to carry out its terms shall be treated as violation of this Agreement. Upon notification to the Subrecipient of its failure to implement its approved DBE program, the DOT may impose sanctions as provided for under 49 CFR Part 26 and may, in appropriate cases, refer the matter for enforcement under 18 USC § 1001, and/or the Program Fraud Civil Remedies Act, 31 USC §§ 3801 *et seq.*

14. ENERGY CONSERVATION AND ENVIRONMENTAL REQUIREMENTS

In addition to the requirements of Section 16 of the Agreement, *Environmental Requirements*, the Subrecipient shall comply with the following:

- A. Energy Conservation. The Subrecipient shall comply with the mandatory standards and policies relating to energy efficiency standards and policies within the Washington State energy conservation plan issued in compliance with the Energy Policy and Conservation Act, 42 USC §§ 6321 *et seq.*, and any amendments thereto.
- B. Environmental Protection. The Subrecipient agrees to comply with all applicable requirements of the National Environmental Policy Act of 1969, as amended ("NEPA"), 42 USC §§ 4321 through 4335; Executive Order No. 11514, as amended, *Protection and Enhancement of Environmental Quality*, 42 USC § 4321 note; FTA statutory requirements at 49 USC § 5324(b); U.S. Council on Environmental Quality regulations imposing requirements for compliance with the National Environmental Policy Act of 1969, as amended, 40 CFR Part 1500 through 1508; joint Federal

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Highway Administration (“FHWA”)/FTA regulations, *Environmental Impact and Related Procedures*, 23 CFR Part 771 and 49 CFR Part 622, and subsequent Federal environmental protection regulations that may be promulgated. The Subrecipient agrees to comply with 23 USC §§ 139 and 326 as applicable, and implement those requirements in accordance with the provisions of joint FHWA/FTA final guidance, *SAFETEA-LU Environmental Review Process (Public Law 109-59)*, 71 Fed. Reg. 66576 *et seq.*, November 15, 2006, and any applicable Federal directives that may be issued at a later date, except to the extent that FTA determines otherwise in writing.

- C. Clean Water. The recipient agrees to comply with all applicable Federal laws and regulations and follow Federal directives implementing the Clean Water Act, as amended, 33 USC §§ 1251 through 1377, 42 USC §§ 300f through 300j-6, and 42 USC § 7606, including any revisions thereto. In the event that the Federal Funds identified in the caption space header of this Agreement entitled *Project Cost*, exceed \$100,000.00 (one-hundred-thousand dollars), the Subrecipient agrees to comply with all applicable standards, orders, or regulations issued pursuant to section 508 of the Clean Water Act, as amended, 33 USC § 1368, and other applicable requirements of the Clean Water Act.
- D. Clean Air. The Subrecipient agrees to comply with all applicable Federal laws and regulations and follow Federal directives implementing the Clean Air Act, as amended, 42 USC §§ 7401 through 7671q and the Federal Water Pollution Control Act, as amended, 33 USC §§ 1251 – 1387, and any revisions thereto. In the event that the federal share, identified in *Project Cost* of this Agreement exceeds \$150,000.00 (one-hundred-fifty-thousand dollars), the Subrecipient shall comply with all applicable standards, orders or regulations issued pursuant to section 306 of the Clean Air Act, as amended, 42 USC § 7606, and other applicable provisions of the Clean Air Act.
- E. Violating Facilities. The Subrecipient agrees to:
 - 1) Refrain from using any violating facilities.
 - 2) Report each violation to STA and understands and agrees that STA will, in turn, report each violation to the FTA and to the appropriate EPA Regional Office.
 - 3) Include these requirements in each subcontract exceeding \$150,000.00 (one-hundred-fifty-thousand dollars) financed in whole or in part with federal assistance provided by FTA.
- F. Other Environmental Federal Laws. The Recipient agrees to comply or facilitate compliance and assures that its third-party participants will comply or facilitate compliance with all applicable federal laws, regulations, and requirements, and will follow applicable guidance, including, but not limited to, Wild and Scenic Rivers Act of 1968, Coastal Zone Management Act of 1972, the Endangered Species Act of 1973, Magnuson Stevens Fishery Conservation and Management Act, Resource Conservation and Recovery Act, Comprehensive Environmental Response, Compensation, and Liability Act, Executive Order No. 11990 relating to *Protection of Wetlands*, and Executive Order Nos. 11988 and 13690 relating to *Floodplain Management*.

15. PLANNING AND PRIVATE ENTERPRISE

The Subrecipient agrees to implement the Project in a manner consistent with the plans developed in compliance with the applicable planning and private enterprise provisions of 49 USC §§ 5303, 5304, 5306, and 5323(a)(1); joint FHWA/FTA regulations, *Statewide Transportation Planning: Metropolitan Transportation Planning*, 23 CFR Part 450 and 49 CFR Part 613, and any amendments thereto; and with FTA regulations, *Major Capital Investment Projects*, 49 CFR Part 611, to the extent that these

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regulations are consistent with the SAFETEA-LU amendments to the public transportation planning and private enterprise laws, and when promulgated, any subsequent amendments to those regulations or the MAP-21 amendments, whichever is applicable according to the funding in this Agreement. To the extent feasible, the Subrecipient agrees to comply with the provisions of 49 USC § 5323(k), which afford governmental agencies and non-profit organizations that receive Federal assistance for non-emergency transportation from Federal Government sources, other than DOT, an opportunity to be included in the design, coordination, and planning of transportation services. During the implementation of the Project, the Subrecipient agrees to take into consideration the recommendations of Executive Order No. 12803, *Infrastructure Privatization*, 31 USC § 501 note, and Executive Order No 12893, *Principles for Federal Infrastructure Investments*, 31 USC § 501 note.

16. SUBSTANCE ABUSE

- A. Drug-free Workplace. To the extent applicable, the Subrecipient agrees to comply with the Federal regulations and guidance related to the Drug Free Workplace Act of 1988, 41 USC § 8103 *et seq.*, and any amendments thereto, 2 CFR Part 182, and 49 CFR Part 32, and to FTA regulations, *Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations*, 49 CFR Part 655 and 49 USC § 5331, as amended by MAP-21.
- B. Privacy Act. The Subrecipient agrees to comply with the confidentiality and other civil rights provisions pertaining to substance abuse contained in the Civil Rights clause of this Agreement.
- C. Non Compliance. The Subrecipient agrees that if FTA determines non-compliance with these laws and regulations, the FTA Administrator may bar Subrecipient from receiving all or a portion of the Federal transit assistance it would otherwise receive.

17. FEDERAL "\$1 COIN" REQUIREMENTS

To the extent required by the Federal Government, the Subrecipient agrees to comply with the provisions of section 104 of the Presidential \$1 Coin Act of 2005, 31 USC § 5112(p), so that the Subrecipient's equipment and facilities requiring the use of coins or currency will be fully capable of accepting and dispensing \$1 coins in the connection with that use. The Subrecipient also agrees to display signs and notices denoting the capability of its equipment and facilities on its premises where coins or currency are accepted or dispensed, including on each vending machine.

18. SAFE OPERATION OF MOTOR VEHICLES

As applicable, Subrecipient is encouraged to comply with the following provisions:

- A. Executive Order No. 13043, *Increasing Seat Belt Use in the United States*, 23 USC § 402 note. Subrecipient is encouraged to adopt and promote on-the-job seat belt use policies and programs for personnel that operate company-owned vehicles.
- B. Executive Order No. 13513, *Federal Leadership on Reducing Text Messaging While Driving*, October 1, 2009, 23 USC § 402 note, and DOT Order 3902.10, *Text Messaging While Driving*, December 30, 2009. Subrecipient is encouraged to adopt and enforce workplace safety policies to decrease crashes caused by distracted drivers including policies to ban text messaging while driving. Subrecipient is also encouraged to conduct workplace safety initiatives in a manner commensurate with its size.

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19. FREEDOM OF INFORMATION ACT

Subrecipient understands and agrees that the *Freedom of Information Act*, 5 USC § 552 (“FOIA”), applies to the information and documents, both paper and electronic, submitted to STA, FTA and DOT. The Subrecipient should therefore be aware that all applications and materials submitted that are related to the Project will become agency records and are subject to public release through individual FOIA or state public disclosure requests.

20. LABOR PROVISIONS

In addition to the requirements of Section 19 of the Agreement, *Labor Provisions*, the Subrecipient shall comply with the following:

- A. Contract Work Hours and Safety Standards Act. The Subrecipient shall comply with, and shall require the compliance by each subcontractor at any tier, any applicable employee protection requirements for non-construction employees as defined by the Contract Work Hours and Safety Standards Act, as amended, 40 USC § 3701 *et seq.*, and specifically, the wage and hour requirements of section 102 of that Act at 40 USC § 3702 and DOL regulations, *Labor Standards Provisions Applicable to Contracts Governing Federally Financed and Assisted Construction (also Labor Standards Provisions Applicable to Non-construction Contracts Subject to the Contract Work Hours and Safety Standards Act)* at 29 CFR Part 5; and the safety requirements of section 107 of that Act at 40 USC § 3704, and implementing DOL regulations, *Safety and Health Regulations for Construction*, 29 CFR Part 1926.
- B. Fair Labor Standards Act. The Subrecipient agrees that the minimum wage and overtime provisions of the Fair Labor Standards Act, as amended, 29 USC §§ 201 *et seq.*, apply to employees performing work involving commerce, and apply to any local government employees that are public transit authority employees. The Subrecipient shall comply with the Fair Labor Standards Act’s minimum wage and overtime requirements for employees performing work in connection with the Project.
- C. Payrolls and Basic Records. Payrolls and basic records relating thereto shall be maintained by the Subrecipient during the course of the work and preserved for a period of six (6) years thereafter for all laborers and mechanics working at the site of the work (or under the United States Housing Act of 1937, or under the Housing Act of 1949, in the construction or development of the Project). Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act, Public Law 88-349 as amended by 40 USC §§ 3141 *et seq.*, and pursuant to 49 USC § 5333(a) *et seq.*, daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, Public Law 88-349, as amended by 40 USC § 3141 *et seq.*, and pursuant to 49 USC § 5333(a), the Subrecipient shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Subrecipient’s employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the

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registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

- D. Violation; Liability for Unpaid Wages; Liquidated Damages. In the event of any violation of the clause set forth in paragraph (A) of this Section the Subrecipient and any subcontractor responsible therefore shall be liable for the unpaid wages. In addition, such Subrecipient and subcontractor shall be liable to the United States for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (A) of this Section, in the sum of ten dollars (\$10.00) for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty (40) hours without payment of the overtime wages required by the clause set forth in paragraph (C) of this Section.
- E. Withholding for Unpaid Wages and Liquidated Damages. The Subrecipient shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the Subrecipient or subcontractor under any such contract or any other federal contract with the same prime Subrecipient, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime Subrecipient, such sums as may be determined to be necessary to satisfy any liabilities of such Subrecipient or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (E) of this Section.
- F. Public Transportation Employee Protective Agreement. To the extent required by Federal Law, the Subrecipient agrees to implement the Project in accordance with the terms and conditions that the U.S. Secretary of Labor has determined to be fair and equitable to protect the interests of any employees affected by the Project and that comply with the requirements of 49 USC § 5333 (b), in accordance with the DOL guidelines, *Section 5333(b), Federal Transit Law*, 29 CFR Part 215 and any amendments thereto. These terms and conditions are identified in DOL's certification of public transportation employee protective arrangements to FTA. The Subrecipient agrees to implement the Project in accordance with the conditions stated in that DOL certification, which certification and any documents cited therein are incorporated by reference and made part of this Agreement. The Subrecipient also agrees to comply with the terms and conditions of the Special Warranty for the Non-urbanized Area Program that is most current as of the date of execution of this Agreement and any alternative comparable arrangements specified by DOL for application to the Project, in accordance with DOL guidelines, *Section 5333(b), Federal Transit Law*, 29 CFR Part 215, and any revision thereto.

21. GENERAL COMPLIANCE ASSURANCE

In addition to the requirements of Section 5 of this Agreement, *General Compliance Assurance*, the Subrecipient agrees to give reasonable guarantees that it and its subcontractors, lessees and any third-party contractors under this Agreement, will comply with all requirements imposed by, or pursuant to, 49 USC chapter 53 and other applicable Federal regulations. The Subrecipient agrees to comply with the provisions of 2 CFR part 1201 and cost principles as defined in OMB circulars 2 CFR Part 200.

22. PUBLIC TRANSPORTATION SAFETY

In accordance with 49 USC § 5329, the Recipient agrees to comply with applicable laws, regulations, and requirements and follow applicable guidance that implement the Public Transportation Safety Program provisions of 49 USC § 5329(b) through (d), except as FTA determines otherwise in writing.

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23. NOTIFICATION OF DISPUTE, BREACH, DEFAULT AND LITIGATION

Subrecipient, its contractors and subcontractors of any tier, shall promptly notify (through the Subrecipient) STA in writing of any current or prospective legal matter that may impact any contract that is considered a “covered transaction” in accordance with 2 CFR §§ 180.220 and 1200.220. The Subrecipient, its contractors and subcontractors of any tier, shall include the requirements of this Section in all subcontracts with third parties at every tier.

24. UNIVERSAL IDENTIFIER

Subrecipient shall, in accordance with 2 CFR Part 25, obtain a Dun and Bradstreet Data Universal Numbering System (“DUNS”) number as a universal identifier for Federal financial assistance recipients.

SAMPLE

Public Comment

The Spokane Transit Authority (STA) Program Management Plan (PMP) includes a requirement in Section 1, for a thirty-day public comment period when substantial changes are required.

Results

STA held a public comment period from September 28, 2020 to November 6, 2020 to receive feedback on updates and revisions to this plan. One comment was received from Providence Health Care which did not require any further revisions or follow up. The following pages include back-up documentation which details the public comment period.

FTA Comment

This updated Section 5310 Program Management Plan will be submitted to FTA for a thirty-day comment period where any comment received will be addressed in this attachment. The PMP will then return to FTA for final approval. Once FTA approval is received, STA will send notification of the approval and the FINAL Program Management Plan to interested parties, will be posted on STA's website, and submitted to FTA. (C9070.1G Pg. VII-4)

**Spokane Transit Authority
Section 5310 Program Management Plan
Public Notice**

Notice is hereby given that from September 28, 2020 until November 6, 2020, Spokane Transit Authority will hold a public comment period to receive feedback on the Section 5310 Program Management Plan update. This draft document and information to submit a comment will be posted on STA's [Public Notices](#) webpage.

The Program Management Plan (PMP) includes policies and procedures used to administer the Federal Transit Administration's (FTA) Enhanced Mobility of Seniors and Individuals with Disabilities Program (49 U.S.C 5310). The PMP is developed in accordance with FTA Circular C 9070.1G (July 7, 2014), to help ensure that STA, as a designated recipient of Section 5310 funds, is administering Section 5310 in compliance with applicable federal statutes and regulations, including those activities undertaken by eligible subrecipients. As an agency that receives federal financial assistance, Spokane Transit is required to adopt a PMP for Section 5310 funds and review on an annual basis. Substantial updates to this document require a 30-day public comment period. The PMP must include a recipient's program objectives, policies, procedures, and administrative requirements.

This document will be available for review and comment at: <https://www.spokanetransit.com/about-sta/public-notice>. Written comments may be sent to: Attn: Madeline Arredondo, Assistant Transit Planner, Spokane Transit Authority, 1230 W. Boone Avenue, Spokane, WA 99201 or by email to marredondo@spokanetransit.com. The **Section 5310 Program Management Plan** is in draft form and will continue to be revised until approved by FTA.

Upon request, alternative formats of this information will be produced for persons with disabilities. Please email ombudsman@spokanetransit.com or call (509) 325-6094 (TTY Relay 711) to request an alternative format.

Spokane Transit assures nondiscrimination in accordance with Title VI of the Civil Rights Act of 1964. If information is needed in another language, contact (509) 325-6094.

Si necesita información en otro idioma, comuníquese al (509) 325-6094.

Для получения информации на другом языке звоните по тел. (509) 325-6094.

Nếu quý vị cần thông tin bằng một ngôn ngữ khác, xin vui lòng gọi số (509) 325-6094.

~STA Logo~

From: [Williams, Kristine](#)
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Cc: [Arredondo, Madeline](#); [Otterstrom, Karl](#)
Subject: Spokane Transit Authority - Request for Comments (Section 5310 Program Management Plan)
Date: Monday, September 28, 2020 10:56:18 AM

Good morning,

Spokane Transit Authority has posted a copy of the draft *Section 5310 Program Management Plan* on its website for a 30-day comment period. A link to the document is provided below.

The Section 5310 Program is funded by a federal appropriation provided by the Federal Transit

Administration (FTA). The purpose of the program is to improve mobility for seniors and individuals with disabilities by removing barriers to transportation service and/or expanding transportation mobility options.

We welcome your comments. Written comments may be sent to: Attn: Madeline Arredondo, Assistant Transit Planner, Spokane Transit Authority, 1230 W. Boone Avenue, Spokane, WA 99201 or sent by email to marredondo@spokanetransit.com.

https://www.spokanetransit.com/files/content/STA_Section_5310_Program_Management_Plan.pdf

Thank you!

Kristine Williams

Principal Transit Planner

Spokane Transit

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Spokane Transit Authority

Section 5310 Program Management Plan

Notice is hereby given that Spokane Transit Authority will hold a public comment period from September 28, 2020 until November 6, 2020, to receive feedback on the Section 5310 Program Management Plan update.

The Program Management Plan (PMP) includes policies and procedures used to administer the Federal Transit Administration's (FTA) Enhanced Mobility of Seniors and Individuals with Disabilities Program (49 U.S.C 5310). The PMP is developed in accordance with FTA Circular C 9070.1G (July 7, 2014), to help ensure that STA, as a designated recipient of Section 5310 funds, is administering Section 5310 in compliance with applicable federal statutes and regulations, including those activities undertaken by eligible subrecipients. As an agency that receives federal financial assistance, Spokane Transit is required to adopt a PMP for Section 5310 funds and review on an annual basis. Substantial updates to this document require a 30-day public comment period. The PMP must include a recipient's program objectives, policies, procedures, and administrative requirements.

This document is available for review and comment at the following link: [STA Section 5310 Program Management Plan](#)

Written comments may be sent to: Attn: Madeline Arredondo, Assistant Transit Planner, Spokane Transit Authority, 1230 W. Boone Avenue, Spokane, WA 99201 or by email to marredondo@spokanetransit.com. The **Section 5310 Program Management Plan** is in draft form and will continue to be revised until approved by FTA.

Upon request, alternative formats of this information will be produced for persons with disabilities. Please email ombudsman@spokanetransit.com or call (509) 325-6094 (TTY Relay 711) to request an alternative format. Spokane Transit assures nondiscrimination in accordance with Title VI of the Civil Rights Act of 1964. If information is needed in another language, contact (509) 325-6094.

Si necesita información en otro idioma, comuníquese al (509) 325-6094.

Для получения информации на другом языке звоните по тел. (509) 325-6094.

Nếu quý vị cần thông tin bằng một ngôn ngữ khác, xin vui lòng gọi số (509) 325-6094.

From: [Stewart, Nicole A](#)
To: [Arredondo, Madeline](#)
Cc: [Clements-Sampson, Sara L](#)
Subject: Section 5310 Program Management Plan
Date: Thursday, October 8, 2020 6:23:29 PM

[EXTERNAL EMAIL] This email originated from outside Spokane Transit. Do not click links or open attachments unless you recognize the sender and know the content is safe. Please report suspicious emails to the IS Help Desk.

Good Evening,

Thank you for the opportunity to comment on your Section 5310 Program Management Plan, and for your commitment to improving mobility for seniors and people with disabilities.

Transportation options are vital for quality of life, reducing the risk of seclusion, and empowering independence for all, especially those who are vulnerable. Spokane Transit Authority and Paratransit services provide the necessary access to medical appointments and various community services for those who require the use of public transportation.

We appreciate the community outreach STA provides and have seen those benefits first hand in our St. Luke's Community, a 2,200 sq ft replicated city inside our hospital walls. With a decommissioned bus from STA, St. Luke's therapists now have the ability to teach patients how to get on and off a bus and are able to practice this in a controlled environment helping patients gain confidence in their skills after an injury or illness. Our social workers throughout Providence Health Care and St. Luke's work closely with the Paratransit Services department to ensure those who qualify and apply for services, have access to needed transportation following their discharge from our hospitals and clinics.

You continue to identify and work to remove barriers to transportation services and strive to meet the transportation mobility needs of our community. On behalf of Providence Health Care and St. Luke's Rehabilitation Institute, thank you for your commitment and compassion for serving all.

Nicole Stewart
Providence Health Care Community Relations Director
INHS Marketing & Communications Director
Phone: 509.474.4982 | Mobile: 509.768.6665
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