

This is a General, Sample Section 5307 Application. Required language, details, and eligibility are subject to change based on given circumstances.

Items in orange or with a thumbs up icon are FTA or TrAMS-generated.  
Items in blue are entered by the Recipient.  
Items in green are tips.  
Items in red may be changed by the Recipient elsewhere.

# [SAMPLE FTA 5307] Application

<b>Federal Award Identification Number (FAIN)</b>	XXXX-2021-2 <small>[Automatically assigned by TrAMS; will change just prior to Submittal]</small>
<b>Temporary Application Number</b>	XXXX-2021-2
<b>Application Name</b>	5307 Capital and Operating Assistance, Springfield Area Transit Authority, MS UZA (e.g. [Section of Statute] [Application Description] [Agency] [UZA])
<b>Application Status</b>	In-Progress
<b>Application Budget Number</b>	0

<b>Period of Performance Start Date</b>	Period of Performance End Date: should be set to the next March 30th that is at least 5 years beyond the latest milestone date in the application. For example, if the latest milestone falls after March 30 (say 06/20/2020), add the two years (06/20/2025) and extend the End Date to the next March 30 (e.g., 03/30/2026).	N/A	
<b>Original Period of Performance End Date</b>		3/30/2026	
<b>Current Period of Performance End Date</b>		N/A	Revision #: N/A

## Part 1: Recipient Information [May be updated at [SAM.gov/SAM/](https://sam.gov/SAM/)]

**Name: Area Transit Authority**

Recipient ID	Recipient OST Type	Recipient Alias	Recipient DUNS
XXXX	Transit Authority	AREA TRANSIT AUTHORITY	123456789

Location Type	Address	City	State	Zip
---------------	---------	------	-------	-----

--	--	--	--	--

**Union Information** [May be updated at the Recipient Level] (Info removed for privacy reasons)

<b>Union Name</b>	<b>AMALGAMATED TRANSIT UNION</b>
Address 1	
Address 2	
City	
State	
Zipcode	
Contact Name	
Telephone	
Fax	
E-mail	
Website	
<b>Union Name</b>	<b>AMALGAMATED TRANSIT UNION</b>
Address 1	
Address 2	
City	
State	
Zipcode	
Contact Name	
Telephone	
Fax	

E-mail	
Website	
<b>Union Name</b>	<b>AMALGAMATED TRANSIT UNION</b>
Address 1	
Address 2	
City	
State	
Zipcode	
Contact Name	
Telephone	
Fax	
E-mail	
Website	
<b>Union Name</b>	<b>AMALGAMATED TRANSIT UNION</b>
Address 1	
Address 2	
City	
State	
Zipcode	
Contact Name	
Telephone	
Fax	
E-mail	
Website	
<b>Union Name</b>	<b>AMALGAMATED TRANSIT UNION</b>
Address 1	
Address 2	
City	

State	
Zipcode	
Contact Name	
Telephone	
Fax	
E-mail	
Website	
<b>Union Name</b>	<b>AMALGAMATED TRANSIT UNION</b>
Address 1	
Address 2	
City	
State	
Zipcode	
Contact Name	
Telephone	
Fax	
E-mail	
Website	
<b>Union Name</b>	<b>AMALGAMATED TRANSIT UNION</b>
Address 1	
Address 2	
City	
State	
Zipcode	
Contact Name	
Telephone	
Fax	
E-mail	

Website

## Part 2: Application Information

**Title: 5307 Capital and Operating Assistance, Springfield Area Transit Authority, -MS UZA (e.g. [Section of Statute] [Application Description] [Agency] [UZA])**

FAIN	Application Status	Application Type	Date Created	Last Updated Date	From TEAM?
1234-2021-2	In-Progress	Grant	12/21/2020	12/21/2020	No

### Application Executive Summary

1. **FIRST SENTENCE OF ALL EXECUTIVE SUMMARIES.** This application is to request Section 53XX funds apportioned to the [UZA or STATE NAME] in the amount of \$XXXX. [Include breakdown of all Sections and UZAs/States as applicable]

2. **Detail on each of the following five elements (for additional information see <https://www.transit.dot.gov/funding/grantee-resources/teamtrams/transit-award-management-system-trams> )**

**Purpose:** The purpose of this award is to provide 1 year of preventive maintenance, 1 year of operating assistance, and the purchase of 4 replacement vehicles for ABC Transit Agency to assist it in fixed route transit operations during the period of 7/01/2021 to 6/30/2022.

**Activities to be performed:** Funds will be used to cover all eligible preventive maintenance and operating expenses such as driver salaries, fuel, items having a useful life of less than one year, and the purchase of 4 replacement vehicles.

**Expected outcomes:** Funding will permit XXX Transit Agency to meet preventive maintenance standards, continue to provide operations, and keep rolling stock vehicles in a state of good repair.

**Intended beneficiaries:** XXX Transit Agency and the riders that rely on its service will benefit from continued services, permitting workers to get to work and other destinations.

**Subrecipient Activities:** None

3. **State [GRANTEE NAME] and who the Designated Recipient of [Section of Statute] Program Funds is.**

4. **If the application includes documentation attached to the application, please refer to this here. This may or may not include:**

1. If there are multiple Designated Recipients and/or if applying as a Direct Recipient, please attach the applicable "Split" (large urban) or "Governor's Apportionment" (small urban) letter and/or sub-allocation table for the UZA in TrAMS. If budget amount doesn't match the

amount shown in the attached split letter, please explain further. The letter must be signed by the Designated Recipient. Where there is only one FTA recipient in the urbanized area, attach and reference the FTA Apportionment Table(s).

2. Relevant TIP/STIP page(s) and project number(s).

3. If applicable, attach:

o Toll Development Credit approval letter/memo, if applicable.

o For 5307 planning activities, relevant UPWP page(s).

o For Large Urban operating assistance, Table 3a.

o Indirect Cost documentation, if applicable.

If application includes rolling stock procurement:

4. [RECIPIENT NAME] certifies that all vehicles purchased are accessible, purchased from an FTA approved TVM, and reported to FTA within 30 days after contract is signed.

5. [RECIPIENT] will check the current listing of Transit Vehicle Manufacturers (TVM) (<https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/eligible-tvms-list>) to ensure each is listed as a certified TVM in compliance with FTA regulations.

If application includes activities to be carried out by 3rd Party Contractors:

6. The Recipient or Sub-recipient (when applicable) will follow all 3rd party procurement policies as defined in C4220.1F (Third Party Contracting Guidance)

7. The Recipient or Sub-recipient (when applicable) will ensure contractors procured will not be on the FTA Suspension and Debarment list.

If there are multiple projects in the application:

8. Breakdown of each project's cost (federal, nonfederal amounts and sources)

9. Brief description of each project's activities.

TIPs:

\*It is not necessary to include Research, Indirect Cost, and Period of Performance statements in the Application Details box, as those are now included as TrAMS prompts.

\*If you are applying for multiple urbanized areas, please separate each UZA into a different project.

\*ADA paratransit and Preventive Maintenance must be separated into different projects, so that funds may be reserved without issue.

\*If indirect costs will be charged, please attach the respective documentation (Cognizant Agency's Indirect Cost Rate approval or associated documentation) and ensure the correct selection is marked to the Indirect Cost Question.

\*If amending a grant, use the titles "Original Application" and "Amendment X" to label each section throughout the application (Application Executive Summary, Project Description, Extended Budget Descriptions) to clearly denote what funding/activities are being added or changed in the amendment record and what was in existence within the original application record.

\*Amendments/Budget Revision (BR) – As first sentence for each amended ALI, include: "Amendment X/Budget Revision X – This amendment/BR will increase/decrease this ALI by \$XXXX." Include justification for the amendment/BR. Insert line separator between amendment language and original language. It is also good practice to label the original text below the line separator as "Original Application". Please note that budget revision activities should be done separate from adding funds and/or a new scope via an amendment.

\*If application activities are also funded with other FTA awards, please include the associated FAIN(s).  
\*The 1% security requirement is applied at the UZA level;



No Selection Made



No Selection Made

**Does this application include funds for research and/or development activities?**

This award does not include research and development activities.

**Pre-Award Authority**

This award is using Pre-Award Authority.

**Does this application include suballocation funds?**

Recipient organization is the Designated Recipient and can apply for and receive these apportioned funds.



No Selection Made

**Will indirect costs be applied to this application?**

This award does not include an indirect cost rate.

*Indirect Rate Details: N/A*

**Requires E.O. 12372 Review**

No, this application does not require E.O. 12372 Review.

**Delinquent Federal Debt**

No, my organization does not have delinquent federal debt.

## Application Point of Contact Information

First Name	Last Name	Title	E-mail Address	Phone
TrAMS	Trainer	Trainer	region4tramstraining@gmail.com	404-865-5618

FTA Points of Contact are assigned by FTA and will appear in this box after the initial Transmittal

## Application Budget Control Totals [Application Level budget data automatically pulled up from the ALI Level]

April 2022

Funding Source	Section of Statute	CFDA Number	Amount
49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward)	5307-2A	20507	\$330
Local			\$120
Local/In-Kind			\$0
State			\$0
State/In-Kind			\$0
Other Federal			\$0
Transportation Development Credit			\$0
Adjustment			\$0
<b>Total Eligible Cost</b>			<b>\$450</b>

## Application Budget

Project Number	Budget Item	FTA Amount	Non-FTA Amount	Total Eligible Amount	Quantity
1234-2021-2-P1	111-00 (111- ) BUS - ROLLING STOCK	\$160.00	\$40.00	\$200.00	8
1234-2021-2-P1	11.12.02 BUY REPLACEMENT 35-FT BUS	\$80.00	\$20.00	\$100.00	4
1234-2021-2-P1	11.13.02 BUY 35-FT BUS FOR EXPANSION	\$80.00	\$20.00	\$100.00	4
1234-2021-2-P1	117-00 (117- ) OTHER CAPITAL ITEMS (BUS)	\$80.00	\$20.00	\$100.00	0
1234-2021-2-P1	11.7A.00 PREVENTIVE MAINTENANCE	\$80.00	\$20.00	\$100.00	0
1234-2021-2-P1	300-00 (300- ) OPERATING ASSISTANCE	\$50.00	\$50.00	\$100.00	0
1234-2021-2-P1	30.09.04 SPECIAL RULE - OPERATING	\$50.00	\$50.00	\$100.00	0

April 2022



ASSISTANCE/76 - 100 BUSES						
1234-2021-2-P2	117-00 (117-)	OTHER CAPITAL ITEMS (BUS)	\$40.00	\$10.00	\$50.00	0
1234-2021-2-P2		11.7C.00 NON FIXED ROUTE ADA PARATRANSIT SERVICE	\$40.00	\$10.00	\$50.00	0

### Discretionary Allocations

This application does not contain discretionary allocations.

### Part 3: Project Information

**Project Title:** Capital and Operating Assistance

Project Number	Temporary Project Number	Date Created	Start Date	End Date
1234-2021-2-P1	1234-2021-2-P1	12/21/2020	8/1/2018	5/1/2020 ←

#### Project Description

Include here:

- FTA program section
- Project Dollar amounts: Federal, nonfederal, funding added in this application (or grant amendment).
- Fiscal year of funds and break down – (if there are multiple years of funding in the application source of nonfederal match)
- Any other important/relevant project info - In-kind match, Insurance proceeds, etc.

These Project Level Start/End Dates reflect the earliest & latest milestones entered & are different than the Application Period of Performance. The End Date at the Project Level should be used to calculate the End Date you enter at the Application Level.

\*TIP: The Project Description will contain specific details associated with this project (Project #1). Where applications have more than one project, the project description details are likely to be different than those in the Executive Summary. For example, this project will only contain a portion of the total application cost and activities. The remaining application costs and activities would be described below in Project #2.

#### Project Benefits

Include the end result of the project, who will be affected, and how they will benefit

#### Additional Information

None provided

#### Location Description

Include the project service area(s); specific address, if applicable.

\*TIP: for applications created in FFY21, there is no longer a 1% security radio button.

## Project Location (Urbanized Areas)

UZA Code	Area Name
490000	State
490564	XXXX AR

\*TIP: Small urban funds are reserved at the State DOT UZA code.

## Congressional District Information

State	District	Representative
State	1	Name
State	1	Name
State	8	Name
State	9	Name

## Program Plan Information

### STIP/TIP

Date: 12/21/2020

Description: Most projects that request FTA funding are required to be part of an approved program plan: 1) Transportation Improvement Plan (TIP) 2) Statewide Transportation Improvement Plan (STIP)

### UPWP

Date: N/A

Description: N/A

\*TIP: relevant page(s) of the Unified Planning Work Program (UPWP) should be attached to an application that contains planning activities/ALIs.

### Long Range Plan

Date: N/A

April 2022

Description: N/A

**Project Control Totals** [Project Level budget data automatically pulled up from the ALI Level]

Funding Source	Section of Statute	CFDA Number	Amount
49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward)	5307-2A	20507	\$290
Local			\$110
Local/In-Kind			\$0
State			\$0
State/In-Kind			\$0
Other Federal			\$0
Transportation Development Credit			\$0
Adjustment			\$0
<b>Total Eligible Cost</b>			<b>\$400</b>

**Project Budget**

Project Number	Budget Item	FTA Amount	Non-FTA Amount	Total Eligible Amount	Quantity
1234-2021-2-P1	111-00 (111- ) BUS - ROLLING STOCK	\$160.00	\$40.00	\$200.00	8
1234-2021-2-P1	11.12.02 BUY REPLACEMENT 35-FT BUS	\$80.00	\$20.00	\$100.00	4
1234-2021-2-P1	11.13.02 BUY 35-FT BUS FOR EXPANSION	\$80.00	\$20.00	\$100.00	4
1234-2021-2-P1	117-00 (117- ) OTHER CAPITAL ITEMS (BUS)	\$80.00	\$20.00	\$100.00	0
1234-2021-2-P1	11.7A.00 PREVENTIVE MAINTENANCE	\$80.00	\$20.00	\$100.00	0

April 2022

1234-2021-2-P1	300-00 (300-)	OPERATING ASSISTANCE	\$50.00	\$50.00	\$100.00	0
1234-2021-2-P1		30.09.04 SPECIAL RULE - OPERATING ASSISTANCE/76 - 100 BUSES	\$50.00	\$50.00	\$100.00	0

## Project Budget Activity Line Items

**Budget Activity Line Item: 11.12.02 - BUY REPLACEMENT 35-FT BUS**

Scope Name / Code	Line Item #	Line Item Name	Activity	Quantity
BUS - ROLLING STOCK (111-00)	11.12.02	BUY REPLACEMENT 35-FT BUS	BUY REPLACEMENTS - CAPITAL BUS	4

### Extended Budget Description

- Capital Line Items - Include quantity (if applicable), useful life (e.g. include year and mileages).

#### TIPs:

\*If replacing include: make, model, year, VIN# and mileage of the vehicle(s) being replaced replacement and a statement certifying that these vehicles have met (or will met) their useful lives at the time of replacement. If easier, may instead attach and reference a replacement list.

\*Notice that Rolling Stock procurements should have a minimum of 5 milestones (e.g. RFP, Contract Award, Delivery of first Vehicle, Delivery of All Vehicles, and Contract Complete).

### Will 3rd Party contractors be used to fulfill this activity line item?

Yes, 3rd Party Contractors will be used for this line item.

Propulsion	Fuel Type	Vehicle Condition	Vehicle Size (ft.)
N/A	Compressed Natural Gas	New	35'

Funding Source	Section of Statute	CFDA Number	Amount
49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward)	5307-2A	20507	\$80
Local			\$20
Local/In-Kind			\$0

State			\$0
State/In-Kind			\$0
Other Federal			\$0
Transportation Development Credit			\$0
Adjustment			\$0
<b>Total Eligible Cost</b>			<b>\$100</b>

Milestone Name	Est. Completion Date	Description	
RFP/IFB Issue Date	8/1/2018	RFP published	TIP: Rolling Stock procurements should have a minimum of 5 milestones (e.g. RFP, Contract Award, Delivery of first Vehicle, Delivery of All Vehicles, and Contract Complete)
Contract Award Date	10/1/2018	Contract Awarded	
Initial Delivery Date	3/1/2019	First Vehicle Delivered	
Final Delivery Date	2/14/2020	All Vehicles delivered	
Contract Completion Date	5/1/2020	Contract closed out	

**Budget Activity Line Item: 11.13.02 - BUY 35-FT BUS FOR EXPANSION**

Scope Name / Code	Line Item #	Line Item Name	Activity	Quantity
BUS - ROLLING STOCK (111-00)	11.13.02	BUY 35-FT BUS FOR EXPANSION	BUY EXPANSION - CAPITAL BUS	4

**Extended Budget Description**  
- Capital Line Items - Include quantity (if applicable), useful life (e.g. include year and mileages).

TIPs:  
\*If expansion, include a statement with the justification for the expansion. For recipients with 50 or more fixed-route revenue vehicles, please be mindful of your spare ratio.

**Will 3rd Party contractors be used to fulfill this activity line item?**  
Yes, 3rd Party Contractors will be used for this line item.

Propulsion	Fuel Type	Vehicle Condition	Vehicle Size (ft.)
N/A	Compressed Natural Gas	New	35'

Funding Source	Section of Statute	CFDA Number	Amount
----------------	--------------------	-------------	--------

49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward)	5307-2A	20507	\$80
Local			\$20
Local/In-Kind			\$0
State			\$0
State/In-Kind			\$0
Other Federal			\$0
Transportation Development Credit			\$0
Adjustment			\$0
<b>Total Eligible Cost</b>			<b>\$100</b>

Milestone Name	Est. Completion Date	Description
RFP/IFB Issue Date	8/1/2018	RFP published
Contract Award Date	10/1/2018	Contract Awarded
Initial Delivery Date	3/1/2019	First Vehicle Delivered
Final Delivery Date	2/14/2020	All Vehicles delivered
Contract Completion Date	5/1/2020	Contract closed out

**Budget Activity Line Item: 30.09.04 - SPECIAL RULE - OPERATING ASSISTANCE/76 - 100 BUSES**

Scope Name / Code	Line Item #	Line Item Name	Activity	Quantity
OPERATING ASSISTANCE (300-00)	30.09.04	SPECIAL RULE - OPERATING ASSISTANCE/76 - 100 BUSES	OPERATING ASSISTANCE	0

**Extended Budget Description**

Operating Assistance for the [operator name]. Operating Assistance will cover 11/1/2018 - 8/30/2019

**TIPs:**

\*The grantee may include operating assistance projects of up to three years' duration in its annual program of projects. If it will fund more than one year, separate ALIs should be added for each individual fiscal year similarly to PM. Grantees can apply for any number of previous years OA and current, but not future years.

\*If you are an applicant in a large UZA applying for operating assistance, the Extended Budget Description should reference and attach Table 3A from the applicable Annual Apportionment Notice, highlighting the eligible operating assistance cap. The specific ALI for special rule will depend on how many buses are shown in Table 3A (30.09.03 for 1-75 buses, 30.09.04 for 76-100).

**Will 3rd Party contractors be used to fulfill this activity line item?**

No, 3rd Party Contractors will not be used for this line item.

Funding Source	Section of Statute	CFDA Number	Amount
49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward)	5307-2A	20507	\$50
Local			\$50
Local/In-Kind			\$0
State			\$0
State/In-Kind			\$0
Other Federal			\$0
Transportation Development Credit			\$0
Adjustment			\$0
<b>Total Eligible Cost</b>			<b>\$100</b>

Milestone Name	Est. Completion Date	Description
Start Date	11/1/2018	FY18 Start Date
End Date	8/30/2019	FY18 End Date

**Budget Activity Line Item: 11.7A.00 - PREVENTIVE MAINTENANCE**

Scope Name / Code	Line Item #	Line Item Name	Activity	Quantity
OTHER CAPITAL ITEMS (BUS) (117-00)	11.7A.00	PREVENTIVE MAINTENANCE	OTHER CAPITAL ITEMS (BUS)	0

**Extended Budget Description**

PM for [operator name]. PM activity will cover the period of 10/1/2018 - 9/30/2019.

**TIPs:**

\*In Section 5307, PM is eligible only for current AND/OR preceding Fiscal year.

\*If PM funding is being requested for more than one fiscal year within the same grant application, include separate ALIs for each individual

fiscal year. Include in each ALI the period of performance for Preventive Maintenance in (e.g.: “Period of Performance for Preventive Maintenance from June 30, 2017 to July 1, 2018).

\*PM activity dates/period of performance should match the ALI milestone dates.

\*Indicate whether any individual PM item(s) will be over \$5,000. If an individual item is expected to be over \$5,000, list item(s) with respective useful life and individual dollar amount. When there are no items over \$5,000, include “The agency [Name] does not anticipate the purchase of items over \$5,000 in value at this time. Any items with value over \$5,000 identified during the execution of the activities under this ALI will be included via budget revision (actual value and useful life).”

**Will 3rd Party contractors be used to fulfill this activity line item?**

No, 3rd Party Contractors will not be used for this line item.

Funding Source	Section of Statute	CFDA Number	Amount
49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward)	5307-2A	20507	\$80
Local			\$20
Local/In-Kind			\$0
State			\$0
State/In-Kind			\$0
Other Federal			\$0
Transportation Development Credit			\$0
Adjustment			\$0
<b>Total Eligible Cost</b>			<b>\$100</b>

Milestone Name	Est. Completion Date	Description
Start Date	10/1/2018	FY18 Start Date
End Date	9/30/2019	FY18 End Date

**Project Environmental Findings**

\*TIP: generally speaking, there is typically one environmental finding per ALI.

**Finding: Class II(c) - Categorical Exclusions (C-List)**

**Class Level Description**

April 2022



Class II(c) consists of projects called categorical exclusions (CEs) which are known not to have, either individually or cumulatively, a significant environmental impact on the human or natural environment and are therefore categorically excluded from the requirement to prepare an environmental assessment or an environmental impact statement. Class II(c) does not require documentation.

**Categorical Exclusion Description**

**Type 07:** Acquisition, installation, rehabilitation, replacement, and maintenance of vehicles or equipment, within or accommodated by existing facilities, that does not result in a change in functional use of the facilities, such as: equipment to be located within existing facilities and with no substantial off-site impacts; and vehicles, including buses, rail cars, trolley cars, ferry boats and people movers that can be accommodated by existing facilities or by new facilities that qualify for a categorical exclusion.

Date	Description
	Class IIc CE Approved

Scope Name / Code	Line Item Number	Line Item Name	Quantity	FTA Amount	Total Eligible Cost
OTHER CAPITAL ITEMS (BUS) (117-00)	11.7A.00	PREVENTIVE MAINTENANCE	0	\$80.00	\$100.00

**Finding: Class II(c) - Categorical Exclusions (C-List)**

**Class Level Description**

Class II(c) consists of projects called categorical exclusions (CEs) which are known not to have, either individually or cumulatively, a significant environmental impact on the human or natural environment and are therefore categorically excluded from the requirement to prepare an environmental assessment or an environmental impact statement. Class II(c) does not require documentation.

**Categorical Exclusion Description**

**Type 04:** Planning and administrative activities which do not involve or lead directly to construction, such as: training, technical assistance and research; promulgation of rules, regulations, directives, or program guidance; approval of project concepts; engineering; and operating assistance to transit authorities to continue existing service or increase service to meet routine demand.

Date	Description
	Class IIc CE Approved

Scope Name / Code	Line Item Number	Line Item Name	Quantity	FTA Amount	Total Eligible Cost
-------------------	------------------	----------------	----------	------------	---------------------

OPERATING ASSISTANCE (300-00)	30.09.04	SPECIAL RULE - OPERATING ASSISTANCE/76 - 100 BUSES	0	\$50.00	\$100.00
----------------------------------	----------	---	---	---------	----------

<b>Finding: Class II(c) - Categorical Exclusions (C-List)</b>
---

**Class Level Description**

Class II(c) consists of projects called categorical exclusions (CEs) which are known not to have, either individually or cumulatively, a significant environmental impact on the human or natural environment and are therefore categorically excluded from the requirement to prepare an environmental assessment or an environmental impact statement. Class II(c) does not require documentation.

**Categorical Exclusion Description**

**Type 07:** Acquisition, installation, rehabilitation, replacement, and maintenance of vehicles or equipment, within or accommodated by existing facilities, that does not result in a change in functional use of the facilities, such as: equipment to be located within existing facilities and with no substantial off-site impacts; and vehicles, including buses, rail cars, trolley cars, ferry boats and people movers that can be accommodated by existing facilities or by new facilities that qualify for a categorical exclusion.

Date Description	Date
Class IIc CE Approved	

Scope Name / Code	Line Item Number	Line Item Name	Quantity	FTA Amount	Total Eligible Cost
BUS - ROLLING STOCK (111-00)	11.13.02	BUY 35-FT BUS FOR EXPANSION	4	\$80.00	\$100.00

<b>Finding: Class II(c) - Categorical Exclusions (C-List)</b>
---

**Class Level Description**

Class II(c) consists of projects called categorical exclusions (CEs) which are known not to have, either individually or cumulatively, a significant environmental impact on the human or natural environment and are therefore categorically excluded from the requirement to prepare an environmental assessment or an environmental impact statement. Class II(c) does not require documentation.

**Categorical Exclusion Description**

**Type 07:** Acquisition, installation, rehabilitation, replacement, and maintenance of vehicles or equipment, within or accommodated by existing facilities, that does not result in a change in functional use of the facilities, such as: equipment to be located within existing facilities and with no substantial off-site impacts; and vehicles, including buses, rail cars, trolley cars, ferry boats and people movers that can be accommodated by existing facilities or by new facilities that qualify for a categorical exclusion.

Date Description	Date

Class IIc CE Approved

Scope Name / Code	Line Item Number	Line Item Name	Quantity	FTA Amount	Total Eligible Cost
BUS - ROLLING STOCK (111-00)	11.12.02	BUY REPLACEMENT 35-FT BUS	4	\$80.00	\$100.00

**Project Title: ADA Complementary Paratransit**

Project Number	Temporary Project Number	Date Created	Start Date	End Date
1234-2021-2-P2	1234-2021-2-P2	12/21/2020	10/1/2018	9/30/2019 ←

**Project Description**

Recipient will enter into a contract with a private entity to operate demand responsive service. Recipient will ensure the private entity meets the federal requirements.

Include here:

- FTA program section
- Project Dollar amounts: Federal, nonfederal, funding added in this application (or grant amendment).
- Fiscal year of funds and break down – (if there are multiple years of funding in the application source of nonfederal match

These Project Level Start/End Dates reflect the earliest & latest milestones entered & are different than the Application Period of Performance. The End Date at the Project Level should be used to calculate the End Date you enter at the Application Level.

**Project Benefits**

Project will provide needed and reliable paratransit service to citizens.

**Additional Information**

None provided

**Location Description**

XXXX AR Urbanized Areas

\*Note: for applications created in FFY21, there is no longer a 1% security radio button.

**Project Location (Urbanized Areas)**

UZA Code	Area Name
490000	State
490560	XXXX AR

April 2022

## Congressional District Information

State	District	Representative
State	1	Name
State	1	Name
State	8	Name
State	9	Name

## Program Plan Information

### STIP/TIP

Date: 12/21/2020

Description: Projects that request FTA funding are required to be part of an approved program plan: 1) Transportation Improvement Plan (TIP) 2) Statewide Transportation Improvement Plan (STIP)

### UPWP

Date: N/A

Description: N/A

\*TIP: relevant page(s) of the Unified Planning Work Program (UPWP) should be attached to an application that contains planning activities/ALIs.

### Long Range Plan

Date: N/A

Description: N/A

## Project Control Totals [Project Level budget data automatically pulled up from the ALI Level]

Funding Source	Section of Statute	CFDA Number	Amount
49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward)	5307-2A	20507	\$40
Local			\$10
Local/In-Kind			\$0
State			\$0
State/In-Kind			\$0

April 2022

Other Federal		\$0
Transportation Development Credit		\$0
Adjustment		\$0
<b>Total Eligible Cost</b>		<b>\$50</b>

## Project Budget

Project Number	Budget Item	FTA Amount	Non-FTA Amount	Total Eligible Amount	Quantity
1234-2021-2-P2	117-00 (117- ) OTHER CAPITAL ITEMS (BUS)	\$40.00	\$10.00	\$50.00	0
1234-2021-2-P2	11.7C.00 NON FIXED ROUTE ADA PARATRANSIT SERVICE	\$40.00	\$10.00	\$50.00	0

## Project Budget Activity Line Items

**Budget Activity Line Item: 11.7C.00 - NON FIXED ROUTE ADA PARATRANSIT SERVICE**

Scope Name / Code	Line Item #	Line Item Name	Activity	Quantity
OTHER CAPITAL ITEMS (BUS) (117-00)	11.7C.00	NON FIXED ROUTE ADA PARATRANSIT SERVICE	OTHER CAPITAL ITEMS (BUS)	0

### Extended Budget Description

[Recipient] will use third party contractors for this service, Start date of service is 11/1/2018, ending on 9/30/2019.

### TIPs:

\*Paratransit and Preventative Maintenance (PM) ALIs cannot be in the same Project, but can be in the same Application. Recipients operating fixed route systems may use up to 10 percent of their annual formula apportionment (5307) for ADA Paratransit at 80% Federal.

\*Activities w/contract award have minimum of 3 milestones (RFP, Contract award and Contract Complete)

\*Operating service period (start/end) should match milestone start/end dates.

**Will 3rd Party contractors be used to fulfill this activity line item?**

Yes, 3rd Party Contractors will be used for this line item.

Funding Source	Section of Statute	CFDA Number	Amount
49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward)	5307-2A	20507	\$40
Local			\$10
Local/In-Kind			\$0
State			\$0
State/In-Kind			\$0
Other Federal			\$0
Transportation Development Credit			\$0
Adjustment			\$0
<b>Total Eligible Cost</b>			<b>\$50</b>

Milestone Name	Est. Completion Date	Description
RFP	10/1/2018	ADA Complementary RFP published
Start Date	11/1/2018	ADA Complementary Paratransit Start Date
End Date	9/30/2019	ADA Complementary Paratransit End Date

## Project Environmental Findings

\*TIP: generally speaking, there is typically one environmental finding per ALI.

<b>Finding: Class II(c) - Categorical Exclusions (C-List)</b>
---

**Class Level Description**

April 2022

Class II(c) consists of projects called categorical exclusions (CEs) which are known not to have, either individually or cumulatively, a significant environmental impact on the human or natural environment and are therefore categorically excluded from the requirement to prepare an environmental assessment or an environmental impact statement. Class II(c) does not require documentation.

**Categorical Exclusion Description**

**Type 04:** Planning and administrative activities which do not involve or lead directly to construction, such as: training, technical assistance and research; promulgation of rules, regulations, directives, or program guidance; approval of project concepts; engineering; and operating assistance to transit authorities to continue existing service or increase service to meet routine demand.

Date	Description	Date
	Class IIc CE Approved	

Scope Name / Code	Line Item Number	Line Item Name	Quantity	FTA Amount	Total Eligible Cost
OTHER CAPITAL ITEMS (BUS) (117-00)	11.7C.00	NON FIXED ROUTE ADA PARATRANSIT SERVICE	0	\$40.00	\$50.00

**Part 4: Fleet Details**

No fleet data exists for this application.

\*TIP: If the Fleet Details needs to be updated, it is now at the recipient level



There are no review comments to display at this time.



**FTA AWARD**

Federal Transit Administration (FTA) hereby awards a Federal Grant as follows:

April 2022

## Recipient Information

Recipient Name: XXXX Area Transit Authority

Recipient ID: 1234

DUNS No: 123456789

## Application Information

Federal Award Identification Number: 1234-2021-2

Application Name: 5307 Capital and Operating Assistance, Springfield Area Transit Authority, AR UZA (e.g. [Section of Statute] [Application Description] [Agency] [UZA])

Application Start Date: N/A

Original Award End Date: 3/30/2023

Current Award End Date: N/A

### Application Executive Summary:

1. First sentence template, "This is an FFY XXXX Section XXXX application in the amount of \$XXXX, total Federal Funds are \$XXXX and nonfederal share is [insert amount and source(s) of nonfederal share (State, Local, TDCs, etc.)]. The application is for (provide brief overview of activities)." Should include: the section of FTA funding, the total application cost, fiscal year, amount of Federal share amount of nonfederal share, source(s) of nonfederal share, and brief summary of application.
2. State [GRANTEE NAME] and who the Designated Recipient of [Section of Statute] Program Funds is.  
If application includes documentation attached to the application, please refer to this here. This may or may not include:
3. If there are multiple Designated Recipients and/or if applying as a Direct Recipient, please attach the applicable "Split" (large urban) or "Governor's Apportionment" (small urban) letter and/or sub-allocation table for the UZA in TrAMS. The letter must be signed by the Designated Recipient. Where there is only one FTA recipient in the urbanized area, attach and reference the FTA Apportionment Table(s).
4. Relevant TIP/STIP page(s) and project number(s).
5. If applicable, attach:
  - o Toll Development Credit approval letter/memo (FL, PR, KY only)
  - o For 5307 planning activities, relevant UPWP page(s).
  - o For Large Urban operating assistance, Table 3a.
  - o Indirect Cost documentation.

April 2022



If application includes rolling stock procurement:

6. [RECIPIENT NAME] certifies that all vehicles purchased are accessible, purchased from an FTA approved TVM, and reported to FTA within 30 days after contract is signed.

7. [RECIPIENT] will check the current listing of Transit Vehicle Manufacturers (TVM) (<https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/eligible-tvms-list>) to ensure each is listed as a certified TVM in compliance with FTA regulations.

If application includes activities to be carried out by 3rd Party Contractors:

8. The Recipient or Sub-recipient (when applicable) will follow all 3rd party procurement policies as defined in C4220.1F (Third Party Contracting Guidance)

9. The Recipient or Sub-recipient (when applicable) will ensure contractors procured will not be on the FTA Suspension and Debarment list.

If there are multiple projects in the application:

10. Breakdown of each project's cost (federal, nonfederal amounts and sources)

11. Brief description of each project's activities.

TIPs:

\*It is not necessary to include Research, Indirect Cost, and Period of Performance statements in the Application Details box, as those are now included as TrAMS prompts.

\*If you are applying for multiple urbanized areas, please separate each UZA into a different project.

\*ADA paratransit and Preventive Maintenance must be separated into different projects, so that funds may be reserved without issue.

\*If indirect costs will be charged, please attach the respective documentation (Cognizant Agency's Indirect Cost Rate approval or associated documentation) and ensure the correct selection is marked to the Indirect Cost Question.

\*If amending a grant, use the titles "Original Application" and "Amendment X" to label each section throughout the application (Application Executive Summary, Project Description, Extended Budget Descriptions) to clearly denote what funding/activities are being added or changed in the amendment record and what was in existence within the original application record.

\*Amendments/Budget Revision (BR) – As first sentence for each amended ALI, include: "Amendment X/Budget Revision X – This amendment/BR will increase/decrease this ALI by \$XXXX." Include justification for the amendment/BR. Insert line separator between amendment language and original language. It is also good practice to label the original text below the line separator as "Original Application".

\*If application activities are also funded with other FTA awards, please include the associated FAIN(s).

\*The 1% security requirement is applied at the UZA level; however please however.

Research and Development: This award does not include research and development activities.

Indirect Costs: This award does not include an indirect cost rate.

Suballocation Funds: Recipient organization is the Designated Recipient and can apply for and receive these apportioned funds.

Pre-Award Authority: This award is using Pre-Award Authority.

April 2022

**Application Budget**

Total Application Budget: \$450.00

Amount of Federal Assistance Obligated for This FTA Action (in U.S. Dollars): \$330.00

Amount of Non-Federal Funds Committed to This FTA Action (in U.S. Dollars): \$120.00

Total FTA Amount Awarded and Obligated (in U.S. Dollars): \$330.00

Total Non-Federal Funds Committed to the Overall Award (in U.S. Dollars): \$120.00

**Application Budget Control Totals**

(The Budget includes the individual Project Budgets (Scopes and Activity Line Items) or as attached)

<b>Funding Source</b>	<b>Section of Statute</b>	<b>CFDA Number</b>	<b>Amount</b>
49 USC 5307 - (MAP 21) Urbanized Area Formula (FY2013 and forward)	5307-2A	20507	\$330
Local			\$120
Local/In-Kind			\$0
State			\$0
State/In-Kind			\$0
Other Federal			\$0
Transportation Development Credit			\$0
Adjustment			\$0
<b>Total Eligible Cost</b>			<b>\$450</b>

(The Transportation Development Credits are not added to the amount of the Total Award Budget.)

**U.S. Department of Labor Certification of Public Transportation Employee Protective Arrangements:**

Original Certification Date:

April 2022

**Special Conditions**

There are no special conditions.

**FINDINGS AND DETERMINATIONS**

By signing this Award on behalf of FTA, I am making all the determinations and findings required by federal law and regulations before this Award may be made.

**FTA AWARD OF THE GRANT AGREEMENT**

Awarded By:

FEDERAL TRANSIT ADMINISTRATION  
U.S. DEPARTMENT OF TRANSPORTATION  
Contact Info:  
Award Date:

Executed By:

*XXXX Area Transit Authority*

April 2022