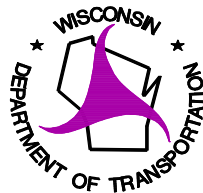


PUBLIC TRANSPORTATION
2010 OPERATING ASSISTANCE
APPLICATION BOOKLET



FOR:
STATE AID (85.20)
FEDERAL AID (SECTION 5311)



Issued July 2009

ALTERNATIVE ACCESSIBLE FORMATS OF THIS DOCUMENT WILL BE PROVIDED UPON
REQUEST

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* Exhibit is prepared as part of an Excel operating assistance spreadsheet found at:
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I. INTRODUCTION

This booklet is intended to outline the procedures necessary to apply for public transit operating assistance under the State Urban Mass Transit Operating Assistance Program and/or the Federal Section 5311 Program for calendar year 2010. **It should be noted that transit systems operating in Federally designated “urbanized” areas (areas with populations of over 50,000) must use this booklet to apply for state operating assistance, but must also apply separately for Federal operating under the Federal Section 5307 program.** Information in this booklet is applicable to both bus and shared-ride taxi systems. The booklet is not intended to provide detailed program information, rules and regulations. For the State Urban Mass Transit Operating Assistance Program, this information can be found in Chapter TRANS 4 of the Wisconsin Administrative Code. For the Federal Section 5311 Program, the information can be found in Chapter TRANS 6. Copies of these administrative rules can be obtained at these links:

TRANS 4: <http://www.legis.state.wi.us/rsb/code/trans/trans004.pdf>

TRANS 6: <http://www.legis.state.wi.us/rsb/code/trans/trans006.pdf>

II. PROGRAM ELIGIBILITY AND DEFINITIONS

A. State Urban Mass Transit Operating Assistance Program Definitions

The following definitions are taken from the administrative code.

Urban Area: Any area that includes a city or village having a population of 2,500 or more or an area that includes two American Indian reservations and that is served by a mass transit system operated by a transit commission.

Mass Transit System: An entity which provides the general public with passenger transportation services on a regular and continuing basis. Transportation services for the general public may be provided by buses, rail, shared-ride taxicabs or another conveyance. An agency providing transportation services exclusively for a subgroup of the general public is not a “mass transit system” for purposes of this chapter.

Urban Mass Transit System: A mass transit system providing at least two-thirds of its revenue miles of service within the boundaries of an urban area.

Shared-ride Taxicab: A taxicab legally able to simultaneously transport passengers having different origins or destinations.

Eligible Applicant: A local public body in an urban area which is served by an urban mass transit system incurring an operating deficit.

Local Public Body: (a) Counties, municipalities or towns or agencies thereof; (b) Transit or transportation commissions or authorities and public corporations established by law or by interstate compact to provide mass transportation services or facilities; (c) Two or more of any such bodies acting jointly under s. 66.0301. Wis. Stats.

B. State Urban Mass Transit Operating Assistance Program Information

In a given urban area, more than one local public body may support a shared-ride taxi system and may receive state aids under s. 85.20, Wis. Stats. The department will, however, contract with only one entity. That entity in turn contracts with the public bodies in other contributing communities to share the state aids received.

Operating assistance funds are available for calendar year 2010 to eligible applicants for public transportation projects where operating revenue is insufficient to cover eligible operating expenses. The operating project cost is the difference between the costs of operating an eligible public transportation service and the revenues derived from system operations. Operating assistance projects must meet the following eligibility requirements:

1. The project must be for passenger transportation service. At least two-thirds of the miles of service must be within the boundaries of the urban area in order for the project to be considered for the State of Wisconsin's program for operating assistance known as the "85.20 program."
2. The project transportation service must be open to the general public. Service provided exclusively for a particular subgroup of the general public (e.g. elderly, disabled, or school children) is not eligible.
3. The project transportation service must be provided on a regular and continuing basis.
4. Fares must be collected for the project transportation service in accordance with established schedules.
5. Charter services may not be provided with vehicles purchased under any Federal grant program unless private operators are not willing and able to provide the charter service.
6. Local projects may not engage in school bus operations, exclusively for the transportation of students and school personnel, in competition with private school bus operators. Vehicles must remain open to the public at all times and be clearly marked as available for public use.
7. The applicant must provide assurances that the local share of the project funding is available.
8. The applicant must provide assurances that the project meets all requirements described in the various exhibits under these application procedures.

C. Federal Section 5311 Program for Small Urban and Rural Areas

Small Urban Transit Systems

This category includes all transit systems, both bus and shared-ride taxi, operating in urban areas with populations of at least 2,500, but not greater than 49,999. Other eligibility requirements are the same as defined in part A above. Systems in this category will use this booklet to apply for both state and Federal operating assistance. Based on administrative rules and available funding, the department will distribute funds such that the combination of Federal and state operating assistance cover an equal percentage of costs for all systems in this category applying for aid.

Rural and Intercity Transit Systems

These systems, serving areas not eligible for state operating assistance, are eligible for Federal operating assistance under the Federal Section 5311 program. Eligible applicants include public bodies, agencies thereof and recognized Native American tribes. Services may be provided directly by the applicant, or contracted to a private transportation provider. More than one public body may financially participate in a project, but one agency should take the lead role in preparing the application and contracting with WisDOT.

Operating assistance funds are available to eligible applicants for projects where operating revenue is not sufficient to cover eligible operating expenses. The operating project cost is the difference between the costs of operating an eligible public transportation service and the operating revenues derived from the project. Section 5311 funding can cover up to 50% of net eligible project costs (operating deficit), depending on the availability of funds. The other 50% of the operating deficit is local share. The local share may include cash or in-kind contributions. Any funds except U.S. DOT Federal transportation funds may be used as match.

An applicant wishing to use non-DOT Federal funds as match should contact the Federal or state agency administering such funds to determine any restrictions on their use as local share for the transportation project.

Projects must meet all of the following criteria in order to receive 5311 funding.

- 1) The project must be for passenger transportation service in a “non-urbanized” area. The following types of service are eligible:
 - a. Service intended to transport rural residents to small urban or urbanized areas.
 - b. Service intended to transport passengers around the rural area.
 - c. Service between small urban areas (under 50,000 population).
 - d. Service between urbanized areas which serve at least one stop outside an urban area.
 - e. The project transportation service may constitute an entire public transit system or may be an individual route of a larger system. A project route is established by the termini points listed in the

provider's published schedules and the highway over which the service is provided. For intercity routes whose termini are outside Wisconsin, the route termini for this program shall be the state boundary. All service provided on the defined route will be included in the project.

Note: Service intended to transport urbanized area residents to a rural area is not eligible for funding under this program.

D. Operating Expenses for State and Federal Aid

Operating expenses are those expenses related to the day-to-day operation of the transit system. Eligible operating expenses include: labor, fringe benefits; services (e.g. legal, advertising); materials and supplies consumed (e.g. fuel and tires); utilities; insurance; taxes; purchased transportation service; license fees and lease costs. Federal acquisition regulations at 48 CFR Part 31 provide cost principles applicable to contracts with commercial organizations. Depreciation of capital assets is an eligible expense for private providers only, and then only under certain circumstances.

The following items are not eligible for operating assistance per Trans 6.03(b) of the Wisconsin Administrative Code:

- a) Entertainment expenses.
- b) Fines and penalties.
- c) Bad debts.
- d) Charitable contributions.
- e) Interest expenses on debt.
- f) Self insurance tax.
- g) Costs of advisory councils, including meeting expenses and per diems.
- h) (For private mass transportation operators) Costs of Federal, state, and local income taxes.
- i) Indirect transit-related functions or activities of regional or local entities performed as a normal or direct aspect of general public administration (e.g., expenses of a City Council in considering transit matters, expenses of an MPO in programming formula funds).
- j) Depreciation accrued by public operators, depreciation on facilities or equipment purchased with public (Federal, State or Local) capital assistance, depreciation of an intangible asset, and depreciation in excess of the rate allowed using generally accepted accounting principles.
- k) Expense for contingencies or capital acquisitions, including contributions to a capital

reserve account or fund.

- l) Any portion of services funded by other state and Federal transportation grants.

E. Operating Revenue

In determining operating revenue, the applicant should include all passenger revenue derived from the project service, as well as any other amounts collected or received for providing public transportation under the project for the period January 1, 2010 to December 31, 2010.

Operating revenue shall also include any unrestricted Federal, state or local funds received as a result of providing the project service and not used to match Section 5311 funds.

Charter and package delivery operation expenses and income are assumed to be equal and therefore will not have any net financial effect on the project.

F. Application for Funds

Eligible applicants desiring to participate in the State of Wisconsin's Urban Mass Transit Operating Assistance Program must submit an application on behalf of all local public bodies providing financial assistance for the operation of the transit system. Application deadlines and transmittal requirements are as follows:

FEDERAL SECTION 5311 PROGRAM:

Applications for Federal operating assistance (Section 5311) must be received by the department no later than **October 15, 2009**. No extensions to this deadline will be granted. The original application must be sent to the **Bureau of Transit, Local Roads, Railroads and Harbors**, with copies of the application sent to:

- a) Appropriate Regional Office of the Wisconsin Department of Health Services (see Appendix A)
- b) Area Agency on Aging (see Appendix B)
- c) Appropriate Regional Planning Commission (see Appendix C)

STATE URBAN MASS TRANSIT ASSISTANCE PROGRAM:

Applications for state assistance **ONLY** must be received by the department no later than **November 15, 2008**. Applicants may request up to a 45-day extension of this due date. Extensions should be requested from the Bureau of Transit, Local Roads, Railroads and Harbors. The original application must be sent to the Bureau of Transit, Local Roads, Railroads and Harbors.

Please note that for public bodies applying to WisDOT for **BOTH** state and Federal (Section 5311) operating assistance, the absolute deadline for receipt of the application is October 15, 2009.

G. Participation in Statewide Consortium/Third Party Administrator

All existing members of the drug and alcohol testing consortium and any new projects funded under this program will be required to participate in the drug and alcohol statewide testing consortium administered by WisDOT's approved Third Party Administrator that complies with 49 CFR Part 655. Additionally, the Recipient will produce any documentation necessary to establish its compliance with Part 655, and permit any authorized representative of the United States Department of Transportation or its operating administrations and/or the State of Wisconsin, Department of Transportation or its authorized agents, to inspect the facilities and records associated with the implementation of the drug and alcohol testing program as required under 49 CFR Part 655 and review the testing process.

The recipient is responsible for and shall pay all fees assessed by WisDOT's Third Party Administrator pursuant to any agreement between the recipient and WisDOT's Third Party Administrator. WisDOT shall not be responsible for paying any portion of such fees. Such fees are, however, program expenses that are eligible for reimbursement under this contract, subject to the limitations set forth in this contract.

Additional Application Information

- ◆ Only one version of the operating assistance application booklet is being distributed for use by all transit systems.

Certain parts of the booklet apply only to a specific type of transit system (e.g., those applying for Section 5311 operating assistance). The following points help clarify which portions of the booklet are applicable to your transit system:

- “Section 5311 applicants” refers to shared-ride taxi, bus, and rural/intercity transit systems in small urban or rural areas that apply to WisDOT to receive Federal 5311 funds. “Urbanized applicants” refers to urbanized area bus and urbanized area taxi systems.
- **Certain application requirements are marked with a ☆ and should only be completed by municipalities applying for Federal Section 5311 operating assistance.**
- In addition to this application, Section 5311 applicants should access the required Federal Certifications and Assurances (Exhibits P and Q) at the WisDOT internet website: <http://www.dot.wisconsin.gov/localgov/transit/ruralsmall.htm>. These forms should be completed and submitted as part of the application. FTA generally publishes its updated certifications/assurances in November of each year. If there are changes or additions to the attached certifications, WisDOT will publish an addendum to the application materials to update the information submitted in your application.
- The operating assistance spreadsheet which contains the automated versions of several exhibits will remain customized to each specific type of transit system. Your municipality should use the spreadsheet specific to the type of transit system (shared ride taxi or bus) for which operating assistance is being requested. Operating assistance spreadsheet can be accessed electronically at:
<http://www.dot.wisconsin.gov/localgov/transit/ruralsmall.htm>.
- The application deadlines for operating assistance are: **October 15** for small urban bus, taxi, and rural/intercity applications; **November 15** (with a 45-day extension available) for urbanized area bus and urbanized area taxi applications.

There is a separate capital assistance application for those wishing to apply for capital funding under the Section 5311 program. Capital assistance applications are also due by **October 15, 2009**. Capital application materials can be accessed electronically at:
<http://www.dot.wisconsin.gov/localgov/transit/ruralsmall.htm>

III. IMPORTANT INFORMATION AND APPLICATION CHECKLIST

A. DRUG AND ALCOHOL – PARTICIPATION IN STATEWIDE CONSORTIUM/THIRD PARTY ADMINISTRATOR

WisDOT now requires all existing members and new applicants to join the statewide testing consortium, which is administered by WisDOT's approved Third Party Administrator. The section also outlines requirements that authorize WisDOT's and other agencies ability to request documentation and inspect facilities related to drug and alcohol testing compliance, as required by 49 CFR Part 655.

B. EXHIBIT F-2, DEPRECIATION SCHEDULE

The Depreciation Schedule exhibit includes more detailed instructions at the bottom of the page, as well as more information throughout the worksheet. The following tips will help you complete this exhibit accurately:

- Exhibit F-2 can include depreciation on any vehicles, facilities, or equipment that will be in your inventory at the end of the calendar year for which the application is made. However, depreciation will only be paid on equipment that is actually purchased and in use. At the time of audit, depreciation will be prorated based on the date the vehicle/equipment was put into use.
- Leased buildings, vehicles, or equipment should be included as leased costs in Exhibit F under "Leases and Rentals." These items should not be included in the Depreciation Schedule.
- All assets with an original cost of less than \$1,000 should not be capitalized. Items of less than \$1,000 should not be included in the depreciation schedule and should be expensed at the time of purchase.

Indicate the depreciation method used in the appropriate column in Exhibit F-2 (e.g. straight line, double declining balance, mileage, age, etc.). See useful life information below:

USEFUL LIFE INFORMATION (FOR USE IN EXHIBIT F-2, DEPRECIATION SCHEDULE)

Useful life of a vehicle, facility, or equipment shall be determined from the time of actual acquisition/purchase. A table identifying useful life standards is included below.

Description	N – New	U – Used	Useful Life
Taxicab		N	150,000 miles (1)
Taxicab		U	150,000 miles (1)
Van, Lift-Equipped		N	150,000 miles (1)
Van, Lift-Equipped		U	150,000 miles (1)
Office Equipment (2)		N or U	5 years
Office Furniture		N or U	10 years
Radio Tower		N or U	10 years
Building		N or U	31 years
Land		All	(3)

Notes:

1. The useful life is 150,000 miles for automobiles, small buses and vans used in transit operations. Transit buses of over 30 feet. in length shall have a useful life of 10 years. Used vehicles will be depreciated on the following basis:
 - **Under 150,000 miles** – over the remaining miles up to 150,000 or over a minimum of two years.
 - **Over 150,000 miles** – may be expensed in the year of purchase for the amount exceeding the 15% salvage value or equally over a 12-36 month period. Salvage value of 15% will be recognized on all vehicles.
2. Includes, but is not limited to, the following items: phone system, computer, printer, copier, fax machine, and radio equipment.
3. Land is not depreciable. The cost of the land must be separated from the purchase price of the facilities to determine an acceptable value of the depreciable building.

Other Important Information

1. It is required that certain Federal Clauses be included in third-party operating contracts.

The Federal Transit Administration has issued a set of Federally required clauses that are to be included in all contracts between WisDOT and any municipality receiving transit aid. WisDOT’s subgrantees are also required to include these Federal clauses in their third-party contracts with private operators to provide transit service, including paratransit service. A letter to this effect containing a list of the specific clauses is sent out annually. If you need sample language to include in your third party contracts, please contact the Section 5311 Program Manager.

2. If sharing facilities, personnel, or equipment with another business, a cost allocation plan must be submitted for WisDOT review and approval as part of this application.

Allocation may be based on square footage occupied by each enterprise, percent of revenues generated from each business, or number of rides provided by each business. Applications submitted without an allocation plan, if required will be considered incomplete and will not be approved until a plan is submitted and approved.

GRANT APPLICATION CHECKLIST

- Exhibit A, Letters of Transmittal
- Exhibit B, Service Characteristics Form*
- Exhibit C, Management Plan
- Exhibit D, Operating Statistics*
- Exhibit E, Labor Analysis*
- Exhibit F, Projected Operating Expenses*
- Exhibit F-1, Competitive Bid Options (If required)*
- Exhibit F-2, Depreciation Schedule (If required)*
- Exhibit F-3, City Administrative Fee Worksheet (If required)*
- Exhibit F-4, Management Fee Worksheet (If required)*
- Exhibit G, Projected Operating Revenues*
- Exhibit H, Projected Operating Assistance Requirements*
- Exhibit I, Sharing of Projected Deficit*
- Exhibit J, Four-Year Transit Development Plan*
- Exhibit K, Draft Contract with Private Operator
- Exhibit L, Project Coordination★
- Exhibit M, Involvement of Private Operator★
- Exhibit N, Competitive Procurement Requirement★
- Exhibit O, Public Involvement★
- Exhibit P, Labor Protection★
- Exhibit Q, Federal Certifications and Assurances★
- Exhibit R, Information That WisDOT Needs From You

* Exhibit found in Excel spreadsheet.

IV. APPLICATION FORMAT

EXHIBIT A - LETTERS OF TRANSMITTAL

A.1 - LETTER OF APPLICATION

The applicant must prepare a letter of application to the Wisconsin Department of Transportation containing the following items:

1. Name of applicant.
2. A statement that state and/or Federal operating assistance is requested for the period January 1, 2010 through December 31, 2010.
3. Name of the transit system for which operating assistance is being requested.
4. A statement assuring that local funds have been budgeted and will be available for the twelve month period January 1, 2010 through December 31, 2010. (*For urbanized bus systems, local funds must be equal to at least 20% of state aids received.*)
5. A list of all local units of government participating in sharing of the local share.
6. Name and telephone number of person who prepared the financial exhibits contained in the application.
7. Signature of the chief elected or administrative officer of the applicant public body.

An example of a letter of application is provided on the following page.

SEND ORIGINAL TO:

Wisconsin Department of Transportation
Bureau of Transit, Local Roads, Railroads and Harbors
Public & Specialized Transit Section, Room 951
P. O. Box 7913
Madison, WI 53707-7913
Attn: 5311 Program Manager

Wisconsin Department of Transportation
Bureau of Transit, Local Roads, Railroads and Harbors
Public & Specialized Transit Section , Room 951
P. O. Box 7913
Madison, WI 53707-7913

Dear 5311 Program Manager:

The (Name of Applicant) is hereby requesting state mass transit operating assistance under Section 85.20 of the Wisconsin Statutes to assist in the operating expenses of the (Name of Transit System) during the period of January 1, 2010 through December 31, 2010.

The applicant also requests Federal Section 5311 operating assistance to assist in financing up to 50% of the transit system's operating deficit for the same period. ☆

It is recognized that the actual amount of funding received has yet to be determined, and will be subject to the funds available for distribution.

The applicant assures that the resulting local portion of the operating deficit incurred during this period will be available for this purpose.

While we understand the applicant is responsible for the local share of the deficit, the following local units of government have agreed to participate in the sharing of the local share.

UNIT OF GOVERNMENT

(Applicant Public Body)

(Participant Public Body)

(Participant Public Body)

(Participant Public Body)

(Participant Public Body)

(Participant Public Body)

The applicant represents that the information submitted to the Wisconsin Department of Transportation in support of this application is true and correct.

The financial exhibits were prepared by (Name of Contact Person) who can be contacted at (telephone number).

Sincerely,

(Chief Elected or Administrative Officer of Applicant Public Body)

A.2 - LETTER TO THE REVIEW AGENCIES ☆ (See Sample Letter A.2)

1. Name of Applicant.
2. A request that the agency review the application and forward the comments to the Bureau of Transit, Local Roads, Railroads and Harbors, Public & Specialized Transit Section with a copy to the applicant.
3. The name of a contact person for further information.

The letter should be signed by the chief elected or administrative officer of the organization or public body.

An example of the letter of transmittal is shown in Sample Letter A.2.

A copy of the transmittal letter should be included in the application.

A.3 - LETTER TO THE REGIONAL PLANNING COMMISSIONS ☆ (See Sample Letter A.3)

1. Name of applicant.
2. A request that the Regional Planning Commission review the project under Presidential Executive Order 12372 and implementing regulations at 49 CFR Part 17, and forward the review to the Bureau of Transit, Local Roads, Railroads and Harbors, Public & Specialized Transit Section with a copy to the applicant.
3. An indication of what other agencies have review copies of the application.
4. Name of the contact person for further information.

The letter should be signed by the chief elected or administrative officer of the organization or public body.

An example of this letter is shown in Sample Letter A.3.

A copy of the transmittal letter should be included in the application.

SAMPLE LETTER A.2 ☆

(DATE)

(Addressee)

(See Appendix B or C)

Dear _____:

In accordance with Chapter TRANS 6, Wisconsin Administrative Code, (Name of Applicant) hereby submits for your agency's review this application for operating assistance under Section 5311 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act –a Legacy for Users (SAFETEA-LU), as amended. Please forward any comments to the Bureau of Transit, Local Roads, Railroads and Harbors, Public & Specialized Transit Section by (specify the date 45 days after the date of the transmittal letter to the Bureau of Transit, Local Roads, Railroads and Harbors). In addition, please forward a copy of your review comments to (Name of Person).

If you need further information, please contact (Name of Contact Person).

Sincerely,

(Name and Title of the Chief Elected
or Administrative Officer of Applicant)

SAMPLE LETTER A.3 ☆

(DATE)

(Addressee)

(See Appendix D)

Dear _____:

The (Name of Applicant) hereby submits for your agency's review this application for operating assistance under Section 5311 of the Safe, Accountable, Flexible, Efficient Transportation Equity Act –a Legacy for Users (SAFETEA-LU), as amended.

Copies of this application have also been sent to the following agencies:

1. Bureau of Transit, Local Roads, Railroads and Harbors, Public & Specialized Transit Section
2. Wisconsin Department of Health and Family Services, Office of Strategic Finance
Regional Office
3. Area Agency on Aging

Please note we are requesting you initiate an intergovernmental review under Presidential Executive Order 12372 and implementing regulations at 49 CFR Part 17.

Please forward any comments to the Bureau of Transit, Local Roads, Railroads and Harbors, Public & Specialized Transit Section by (specify the date 45 days after the date of the transmittal letter to the Bureau of Transit and Local Roads, Public & Specialized Transit Section). In addition, please forward a copy of your review comments to (Name of Person).

If you need further information, please contact (Name of Contact Person).

Sincerely,

(Name and Title of the Chief Elected
or Administrative Officer of Applicant)

Exhibits B, B-2, C-E, F-1, F-2, F-3, F-4, G-J, and O6

Are part of the operating assistance spreadsheet available at <http://www.dot.wisconsin.gov/localgov/transit/ruralsmall.htm>.

EXHIBIT B - SERVICE CHARACTERISTICS FORM

A "Service Characteristics Form" has been developed by the Department to document the type and level of transit services being provided in an urban area. The form provides much of the information necessary to compute and calculate operating cost information. Instructions for completing the form for taxi systems are found below. Bus systems have forms for regular routes and special services. This exhibit is found in the Excel operating assistance spreadsheet available at <http://www.dot.wisconsin.gov/localgov/transit/ruralsmall.htm>.

Each applicant must submit an updated Service Characteristics Form as Exhibit B of its application detailing service levels as of January 1, 2010.

If during the course of 2010, an applicant modifies its schedules and if the modifications have not been incorporated into the original 2010 Management Plan, then the applicant must submit an updated Service Characteristics Form to the Department for approval prior to implementing the proposed changes.

REPORTING INSTRUCTIONS AND DEFINITIONS

An accurate and up-to-date Service Characteristics form for regular urban service must be on file with the Department of Transportation. Any approved service modifications to the transit system will necessitate revising the Service Characteristics form.

The following are some common definitions used by fixed-route systems:

- **Total Service Hours:** Total hours a vehicle is active, including driver prep. time, breaks, etc.
- **Revenue Hours:** Total time the vehicle is providing service. For shared-ride taxi systems, revenue hours are equal to total service hours.
- **Dead Hours:** Total time the driver is in the vehicle, but the vehicle is NOT in service. (total service hours – revenue hours)
- **Platform Hours:** Total time from when the vehicle leaves the garage until the time it is returned (total time the driver is in the seat).

This form is for reporting service characteristics for those vehicles serving the community throughout the day. Complete this form for each day of the week in which service characteristics are different. If the same level of service is provided all week, only one form would be required. If weekend service is different from weekday, separate forms should be prepared. On the form, space is provided to indicate which day or days the level of service applies. If in a given day service is provided during two or more separate periods, indicate this in columns 2 and 3. Report instructions follow:

COLUMN 1: VEHICLE FLEET NUMBER - This column should be used to identify each vehicle in service by its fleet number.

COLUMN 2: BEGIN SERVICE -- The time that each vehicle begins service.

COLUMN 3: END SERVICE -- The time that each vehicle ends service.

COLUMN 4: TOTAL HOURS -- The total hours of daily service for each vehicle each day. (automatically calculated)

COLUMN 5: DAILY MILEAGE -- In this column the operator should estimate the mileage that is traveled by each taxi.

2010 Service Days

Day of the Week	# of Days	Holidays	# After Holidays
Sunday	52	Easter Sunday 4th of July	50
Monday	52	Memorial Day Labor Day	50
Tuesday	52		52
Wednesday	52		52
Thursday	52	Thanksgiving	51
Friday	53	New Years	52
Saturday	52	Christmas	51
Total of 257 weekdays after holidays			

A 2010 calendar is found in Appendix F.

EXHIBIT C - MANAGEMENT PLAN

The 2010 Management Plan is a description of all actually planned or anticipated events affecting the participating transit system's operating revenues and expenses during the twelve month period January 1, 2010 through December 31, 2010. Urbanized systems should also include a description of the transit system's multi-year goals and objectives for a four-year period.

The essential purposes of the management plan are: (1) provide the Department with a description of the services to be provided during the ensuing year; (2) to insure the maintenance or improvement of service available to the public; (3) to identify and implement various policies and practices to increase the efficiency of transit operations; and (4) to insure that state funds will be spent wisely. The Department will use the management plan as a basis for final allocation of state funds to an applicant within the framework of the statutory and budgetary constraints of the operating assistance program. The Department will also use the management plan as a basis for monitoring and evaluating the performance of the participating transit system during the contract period. Transit policy and management decisions made and actions taken during the contract period must be in conformance with the management plan. Any proposed deviations from the management plan must be reported to the Department and approved by the Department prior to implementation. Failure to do so will jeopardize continued state assistance.

Each applicant is required to prepare a management plan in accordance with the outline given below. The

level of detail required will vary according to the size and complexity of the system involved, but each topic must be addressed by all applicants.

I. OPERATING AUTHORITY ☆

The applicant should submit a copy of any local ordinance or contract that grants the authority to perform this service.

II. FARES

This section should document in detail the tariff schedule in effect on January 1, 2010. For Section 5311 applicants, the tariff schedule should include the tariff rates which are in effect for various age groups and the hours of the day and days of the week, etc. for which they apply.

In addition to documenting your January 1, 2010 tariff, describe any anticipated changes in fare structure during the period January 1, 2010 through December 31, 2010. Any proposed changes in fare structure must be coordinated with your passenger counting program when the average fare method is used.

III. LEVELS OF SERVICE

This section should describe anticipated changes in the levels of service provided by the participating transit system effective during the period of January 1, 2010 through December 31, 2010. Each change in level of service should be discussed separately and each discussion should include the following:

- (1) The date on which the change is to be implemented;
- (2) The reasons for instituting the change;
- (3) A statement indicating why the change is essential to the preservation of the transit system;
- (4) A detailed description of the change; and
- (5) The projected impact of the change upon operating revenues and expenses during calendar year 2010.

NOTE: Any normal service adjustments made to coincide with the opening and closing of the school year need not be documented.

IV. PROCEDURES FOR ESTABLISHING 2010 REVENUE PASSENGERS

This section should describe in detail the procedures to be utilized for establishing 2010 revenue passenger trips. Explain whether passengers will be determined by actual count or by the average-fare method. If the average fare method is to be used, include a schedule of the surveys required to determine the average-fare.

V. SERVICE AND PERFORMANCE GOALS

The section must document multi-year service and performance goals for the participating transit system as required by s.85.20, Wis. Stats. The goals must set annual targets and cover a 4-year period (2010-2013). At a minimum, system wide goals must be established for the following performance indicators:

- (a) Expense/Revenue Hour
- (b) Expense/Passenger
- (c) Revenue/Expense Ratio (Operating Ratio)
- (d) Passengers/Revenue Hour
- (e) Passengers/Capita
- (f) Revenue Hours/Capita

EXHIBITS D through J and Q-6

The following exhibits are found in the Excel 97-2003 (.xls) document available with this application. The format of some exhibits varies according to the type of transit system for which operating assistance is being requested, and only those exhibits required for the type of transit system operated in your municipality are included in the spreadsheet.

- ◆ Exhibit D - Operating Statistics
- ◆ Exhibit E - Labor Analysis
- ◆ Exhibit F - Projected Operating Expenses
 - ◆ Supplemental Exhibit F-1, Competitive Bid Options (*for shared-ride taxi systems only*) ☆
 - ◆ Supplemental Exhibit F-2, Depreciation Schedule (*for shared-ride taxi systems only*) ☆
 - ◆ Supplemental Exhibit F-3, City Administrative Fee Worksheet (*for shared-ride taxi systems only*) ☆
- ◆ Exhibit G - Projected Operating Revenue
- ◆ Exhibit H - Projected Operating Assistance Requirements
- ◆ Exhibit I - Sharing of Projected Operating Deficit
- ◆ Exhibit J - Four-Year Transit Development Plan
- ◆ Exhibit Q-6 - DBE Participation ☆

EXHIBIT K - DRAFT CONTRACT WITH PRIVATE OPERATOR –(5311 APPLICANTS)

For all applicants, it is necessary for a draft contract to be prepared between the local unit of government and any private operator (profit or non-profit) providing transportation service. A state assistance contract will not be executed with the applicant until the applicant's contract with the private operator is fully executed and a copy has been reviewed and approved by the Department.

The contract or agreement between the local public body and the private operator must cover the period January 1, 2010, through December 31, 2010, and address at least the following:

The operator must agree to:

- (1) Operate in accordance with the provisions of the 2010 state operating assistance contract.
- (2) Continue with existing fares unless given approval by the Governing body and the Department of Transportation.
- (3) Continue with existing officers salaries unless given approval by the Governing body and the Department of Transportation.
- (4) Continue to provide the current level of service without reduction or change unless given approval by the Governing body and Department.
- (5) Provide financial statements as may be required by the local public body and the Department.
- (6) Maintain true and accurate records of all gross revenues, depreciations, salaries, return on investment and all operating expenses as required by the Department of Transportation. The books and records shall be available to the local public body and be subject to audit by the Department of Transportation.
- (7) Initiate a drug and alcohol testing and control program in accordance with applicable Federal regulations.
- (8) Assist the city in complying with requirements of the American with Disabilities Act (ADA).
- (9) Comply with all requirements of Federally required contract clauses, which shall be included in their contract with the local public body.

The local public body agrees to:

- (1) Review and approve monthly statements.
- (2) Issue a payment check on a regular or monthly basis.
- (3) Accept the Department of Transportation's determination of total operating deficit and expenses.
- (4) Pay the portion of the total operating deficit not paid by the U.S. Department of Transportation and/or the Wisconsin Department of Transportation.
- (5) Include all Federally required clauses in all third party contracts with a private transit provider. Third party contracts, which do not contain this language will not be considered valid. (Do we have a copy of this posted on our web site.

If the applicant leases any vehicles to a contracted service provider, a draft lease agreement must also be submitted with this application. A sample lease agreement is shown below. While the draft agreement need not be identical to the sample, it must contain the basic provisions shown in the sample.

SAMPLE VEHICLE LEASE ☆

WHEREAS, the City of _____ purchased a vehicle with a grant from the "Section 5311" Program of the Federal Transit Administration (FTA); and

WHEREAS, it is proposed that said vehicle be leased from the City of _____ by _____ located in the City of _____, Wisconsin, and operated by said Lessee under the terms of certain licenses granted by the City and its agreement to provide _____ service dated _____, 20____, copies of which documents are attached hereto and incorporated herein by reference.

NOW, THEREFORE, it is agreed by and between the City of _____, as Lessor and _____ as Lessee, as follows:

The Lessor shall and does hereby lease the following vehicle to the Lessee for a period of ____ year(s), commencing _____, 200____,

Year	Make	Model	VIN Number
------	------	-------	------------

on the following terms and conditions:

1. Lessee shall lease said vehicle and operate the same in accordance with its authority to operate _____ service in the City of _____ and surrounding area pursuant to the licenses and agreement set forth therein, copies of which are attached hereto and incorporated herein by reference.
2. Title to the vehicle shall be in the name of the City of _____ with _____ named on the registration as Lessee. The Lessee may not sublease this vehicle.
3. The vehicle shall only be used by the Lessee for the purpose of providing _____ service in accordance with its operating assistance contract referred to above.
4. The Lessee shall immediately notify the City if the vehicle is no longer used in the provision of _____ service. The Lessee shall also keep satisfactory records with regard to the use of the equipment and submit to the City upon request such information as may be required by the City to assure compliance.
5. The Lessee shall perform preventive maintenance on the vehicle and any ADA (Americans with Disabilities Act) accessibility equipment at a level no less than the manufacturer's recommended specifications. The vehicle shall be maintained in accordance with the maintenance plan filed with WisDOT.

6. The Lessee shall make the vehicle available to the Wisconsin Department of Transportation (Department) and the City upon demand for the purpose of an annual verification or other inspections deemed necessary by the Department or City.
7. A certificate of insurance for each of the following coverages shall be filed with the City Clerk prior to any operation of said vehicle:
 - (a) the vehicle shall be insured for damage or loss from fire, theft, collision, and shall contain a comprehensive damage provision.
 - (b) the vehicle shall be insured for liability for personal injury and property damage for not less than \$1,000,000 combined single limit policy. The City shall be named co-insured.
 - (c) the collision insurance shall provide for a deductible of not more than \$250.
 - (d) the Lessor shall be named as an additional insured on the liability policy and all other policies shall contain a provision providing for loss to be payable to the Lessor as its interest may appear.
8. Lessor reserves the right to require the Lessee to restore the vehicle or pay for damages to the vehicle as a result of abuse or misuse of such vehicle with Lessee's knowledge and consent.
9. In the event of a default on the part of the Lessee in the payment of its lease required hereunder, or by its failure to perform any of its other obligations under this agreement, the Lessor may, at its option, declare this lease terminated and may take immediate possession of the vehicle leased hereunder, without notice.

This agreement shall extend to and be binding upon the parties hereto and their respective successors and assigns.

City of _____

Lessee _____

By _____
 Name Title

By _____
 Name Title

Attest _____
 Name Title

EXHIBIT K - DRAFT CONTRACT WITH PRIVATE OPERATOR – (URBANIZED APPLICANTS)

Exhibit K is required only by applicants contracting with private transit providers. For these applications it is necessary for a draft contract to be prepared between the recipient agency and the private transit operator. A state assistance contract will not be executed with the local applicant until the applicant's contract with the private operator is fully executed and a copy has been received by the Wisconsin Department of Transportation.

The contract or agreement between the local public body and the private operator must address the following:

The transit company must agree to:

- (1) Operate in accordance with the provisions of the state operating assistance contract.
- (2) Continue with existing fares unless given approval by the local governing body and the Wisconsin Department of Transportation.
- (3) Continue with existing officers salaries unless given approval by the local governing body and the Wisconsin Department of Transportation.
- (4) Continue to provide the current level of service without reduction or change unless local governing body and Department approval is given.
- (5) Provide financial statements as may be required by the local body and the Department.
- (6) Maintain true and accurate records of all gross revenues, depreciations, salaries, return on investment and all operating expenses as required by the Wisconsin Department of Transportation. The books and records shall be available to the local public body and be subject to audit by the Wisconsin Department of Transportation.
- (7) Comply with all requirements of Federally required contract clauses, which shall be included in their contract with the local public body.

The local public body agrees to:

- (1) Review and approve monthly statements.
- (2) Issue a payment check on a regular basis.
- (3) Accept the Wisconsin Department of Transportation's determination of total operating deficit.
- (4) Pay the portion of the total operating deficit not paid by the U.S. Department of Transportation and/or the Wisconsin Department of Transportation.
- (5) Include all Federally required clauses in all third party contracts with a private transit provider, including contracts for paratransit service. Third party contracts which do not contain this language will not be considered valid.

EXHIBIT L - PROJECT COORDINATION ☆

Planning for the use of Section 5311 federal funding should go hand-in-hand with coordination between different organizations that provide transportation services.

This exhibit describes project coordination accomplished with other providers of transportation in the service area and the applicant's efforts to maximize the integration of existing funding sources with funds being applied for under the Section 5311 program. The following items must be included in this exhibit. Attach additional sheets as necessary.

1. A list of all other providers of transportation operating in the service area. (Include taxicab systems, inter-city bus operators, and any public or private paratransit system serving the elderly and/or disabled.)

2. A description of efforts that have been made to coordinate with any of the above listed transportation providers. Efforts may include transfer arrangements, coordination of routes to avoid unnecessary duplication of service, coordination of fare structure, etc.

3. A description of efforts made to coordinate with social service agencies in the service area, particularly with those agencies providing services (non-transportation) to low income, elderly, or disabled clientele, and capable of purchasing transportation services. Efforts might include purchase-of-service agreements, establishing routes and schedules based on the transportation needs of agency clients, providing front-door service to the agencies and to traffic generators frequented by their clients (e.g., senior citizen centers, nursing homes, clinics), providing schedules, route maps and other information aids.

4. Identification of any transportation coordinating committees on which you serve. List all members (agencies) that are a part of this committee.

EXHIBIT M - INVOLVEMENT OF PRIVATE ENTERPRISE ☆

If the transit system contracts with a private provider for all or part of its transportation service, please complete the following:

→ **Bid in _____ (bid year) for service year _____ (year).**

It is the policy of the Federal Transit Administration (FTA) that private transit and paratransit operators be allowed the opportunity to participate in the provision of rural transportation service to the maximum extent feasible. In order for the state to make the required assurances to FTA, each applicant is required to provide the following information with its application for Section 5311 funds. Attach additional sheets if needed

A. Process and Procedures. **This exhibit must be completed every year and submitted to WisDOT.** Information will be considered valid for the entire year. If changes are made during the year, a revised exhibit must be submitted to WisDOT.

1. In planning your public transportation services, private sector providers must be given ample opportunity to express their views. Describe how you have given private sector providers an opportunity to submit such comments. An example would be a transportation committee meeting held prior to the submission of a grant application.

2. Describe how you decide whether the public transportation service should be publicly operated or contracted out to the private sector.

3. If your public transportation is put out to bid, proposals may be submitted by a variety of passenger service providers. It is important to evaluate all of the costs of the public and private non-profit bidders when comparing them to private for-profit bids. Operating costs, capital grants and the use of public facilities should be reflected in the cost comparisons.

Describe how you make true cost comparisons of the bid proposals you receive.

4. If a private operator has a complaint about your decision to go either public or private, what is your

EXHIBIT N - COMPETITIVE PROCUREMENT REQUIREMENT ☆

Applicants that contract with a provider for eligible public transportation service shall use the competitive bid process outlined in TRANS 6.03(c), Wisconsin Administrative Code, and Wisconsin's Procurement Manual for the Acquisition of Goods and Services Under FTA Funded Grant Programs, not less than once every five years for each of its contracts. A copy of the manual is available at <http://www.dot.wisconsin.gov/localgov/transit/documents.htm>. The applicant is required to provide the following information on each of its public transportation service contracts. If this exhibit is not applicable, please so state.

What service do you contract for?
In what year was this service last offered for competitive procurement?
Was the competitive procurement process outlined in TRANS 6.03 (c) and Wisconsin's <u>Procurement Manual for the Acquisition of Goods and Services Under FTA Funded Grant Programs</u> used?
Was there more than one firm interested in providing the service?
How many years was the contract written for?

EXHIBIT O - PUBLIC INVOLVEMENT

This exhibit is required if the applicant is applying for state operating assistance.

It is not required if:

- A. The applicant is applying only for federal operating assistance.
- B. The applicant has previously applied for and received State operating assistance and anticipates no major service changes in 2010 such as fleet expansion, fare increases, substantive service hour changes or changes to the service area.

The applicant for state operating assistance must offer an opportunity for a public hearing.

The applicant shall publish notice of intent to hold the public hearing in newspapers of general circulation in the locality, including newspapers oriented to the minority community. This notice shall be advertised at least twice, with the first advertisement occurring not less than 30 days before the date of the hearing and the second notice not less than 7 days before the hearing.

A sample hearing notice is contained in Attachment O-1.

In addition, a copy of the hearing notice must be sent to all other providers of "public transportation" in the service area. The term "public transportation" means any transportation by bus, rail, or other conveyance which provides either general or special service to the general public on a regular and continuing basis. "Public transportation" does not include the following: (1) school bus, sightseeing, or charter service; (2) exclusive ride taxi service; and (3) service to individuals or groups which excludes use by the general public.

This exhibit must contain:

- 1) A transcript of the hearing, or an explanation as to why no hearing occurred.
- 2) A certified copy of the published notice (sample of required hearing notice is shown in Attachment O-1).
- 3) A list of public transportation providers to whom hearing notices were sent.
- 4) Certification of Public Hearing (sample certification is shown in Attachment O-2).
- 5) Process used to address the comments received at the hearing.

ATTACHMENT O-1

NOTICE OF PUBLIC HEARING

CY 2010 Operating Assistance for (name of applicant transit system)

Notice is hereby given that a public hearing will be held by the (applicant) at (address of hearing location) at (time and date) for the purpose of considering a project for which Federal operating assistance under Section 5311 of the Federal Transit Act, is being sought, generally described as follows:

- A. The (applicant) is applying for Federal aid for the (name of applicant transit system) for the period January 1, 2010 to December 31, 2010. The service area of the (name of applicant transit system) is generally described as (include all political entities served by applicant transit system). The total anticipated deficit for 2010 is \$_____, of which the state and local share is estimated at \$_____ and the maximum Federal share, for which this hearing is held, will be \$_____.
- B. No persons, families, or businesses will be displaced by this project.
- C. There is expected to be no significant environmental impact upon the urban/service area by this project.
- D. This project is in conformance with comprehensive land use and transportation planning in the area.

At the hearing (name of applicant) will afford an opportunity for interested persons or agencies to be heard with respect to the social, economic, and environmental aspects of the project. Interested persons may submit orally or in writing evidence and recommendations with respect to said project. Additionally, written comments will be considered if sent to (address of applicant) by (deadline date).

A copy of the application for a Federal grant for the proposed project is currently available for public inspection at (location).

(Applicant's Authorized Representative)

ATTACHMENT O-2

CERTIFICATION OF PUBLIC HEARING

(Applicant) HEREBY CERTIFIES THAT, in the development of this application for mass transportation operating assistance grant under Section 5311 of the Federal Transit Act, it:

1. Has afforded adequate opportunity for public hearings pursuant to adequate prior notice, and has held such hearings, in accordance with the rules and regulations pertinent to the Section 5311 program.
2. Has considered the economic and social effects of this proposed project and its impact on the environment.
3. Has found that this proposed project is consistent with official plans for the comprehensive development of the urban area.

By _____
(Chief Elected or Administrative Official)

Date _____

EXHIBIT P - LABOR PROTECTION ☆

EXHIBIT Q - FEDERAL ASSURANCES AND CERTIFICATIONS ☆

Exhibits P and Q are required only for grantees applying for Federal operating assistance under the Section 5311 program. You can download the certifications and assurances on the Wisconsin Department of Transportation's Web site at:

<http://www.dot.wisconsin.gov/localgov/transit/ruralsmall.htm>.

EXHIBIT R

INFORMATION THAT WisDOT NEEDS FROM YOU...

APPLICANT INFORMATION

PROVIDER INFORMATION

City Official, Mayor, Administrator, Manager

Name: _____

Address: _____

Contact Person: _____

Phone Number: _____

Fax Number: _____

Email Address: _____

Transit Manager - Operator
(Program Correspondence Address)

Name: _____

Address: _____

Contact Person: _____

Phone Number: _____

Fax Number: _____

Email Address: _____

City's Transit Contact Person
(Contact Person for WisDOT)

Name: _____

Address: _____

Contact Person: _____

Phone Number: _____

Fax Number: _____

Email Address: _____

Provider Location
(Actual Service Location in Community)

Name: _____

Address: _____

Contact Person: _____

Phone Number: _____
(Number to call for Service)

Fax Number: _____

Email Address: _____

City's Payment Address
(If different from City Official Address)

Name: _____

Address: _____

Contact Person: _____

Phone Number: _____

Fax Number: _____

FEIN Number: _____

Email Address: _____

Contributing Municipality Address
Add Extra Pages If Needed

Name: _____

Address: _____

Contact Person: _____

Phone Number: _____

Fax Number: _____

Email Address: _____

APPENDICES

APPENDIX A – Wisconsin Department of Health Services

Audrey Roecker, Area Administrator
WI Department of Health Services
Western Region

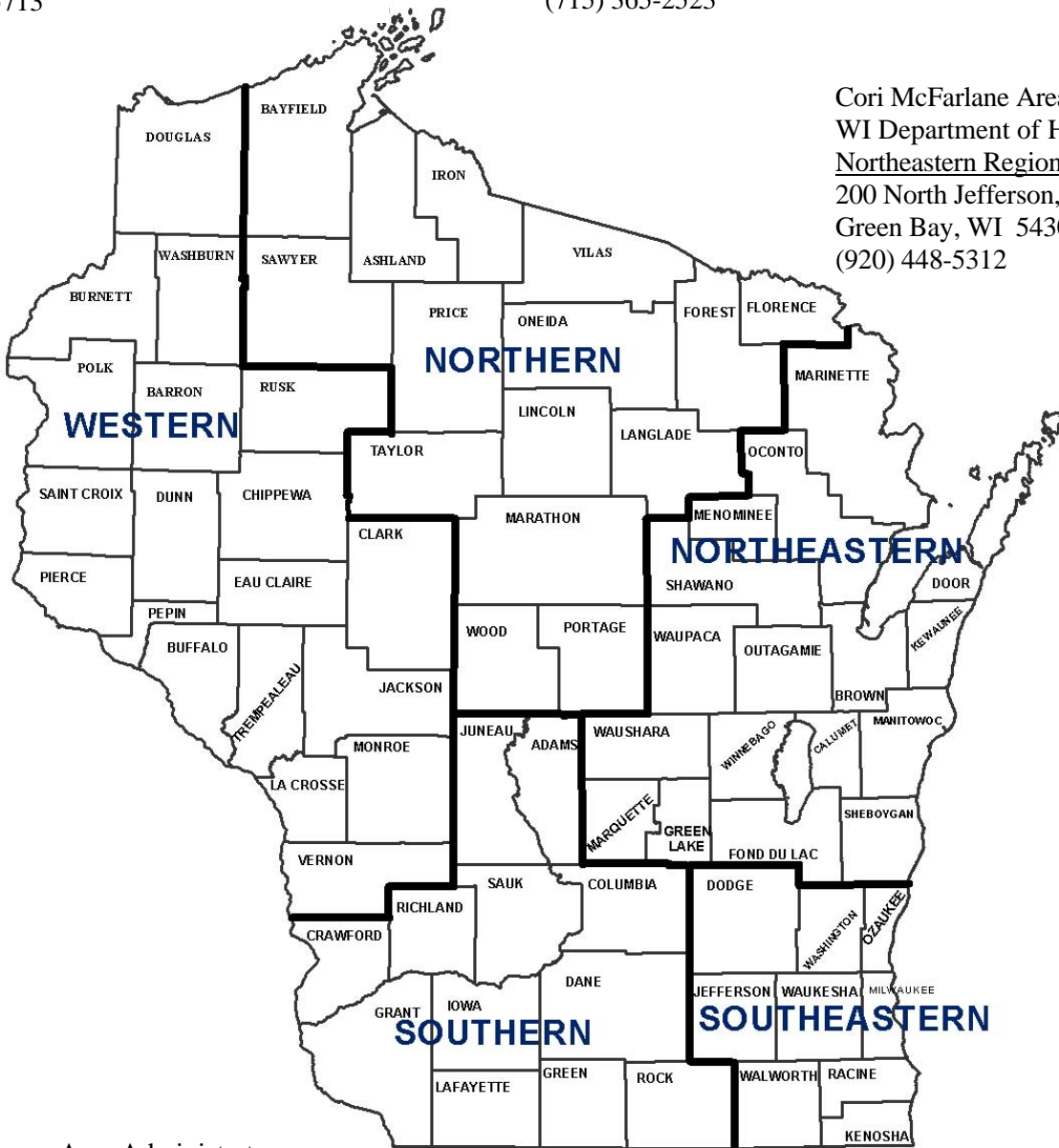
610 Gibson St.
Eau Claire, WI 54701
(715) 836-5713

Patrick Cork, Area Administrator
WI Department of Health Services
Northern Region

2187 North Stevens, Suite C
Rhineland, WI 54501
(715) 365-2523

Cori McFarlane Area Administrator
WI Department of Health Services
Northeastern Region

200 North Jefferson, Suite 411
Green Bay, WI 54301-5191
(920) 448-5312



Patty Hames, Area Administrator
WI Department of Health Services
Southern Region

1 West Wilson Street, Rm 639
PO Box 7850 Madison, WI 53704
(608) 261-9431

Laura Klebler, Area Administrator
WI Department of Health Services
Southeastern Region

141 N.W. Barstow St., Room 104
Waukesha, WI 53188-3789
(262) 521-5113

APPENDIX B - AREA AGENCIES ON AGING

Dane County Area Agency on Agency

Barbara Thoni
Executive Director
2322 S. Park Street # A
Madison, WI 53713

Milwaukee County Area Agency on Aging

Stephaine Sue Stein
Director
310 W. Wisconsin Ave. #5W
Milwaukee, WI 53203

Greater Wisconsin Agency on Aging Resources – all other counties

Bob Kellerman
Executive Director
2850 Dairy Drive, #200
Madison, WI 53718

Appendix C – Regional Planning Commissions

Bay-Lake Regional Planning Commission

(Brown, Door, Florence, Kewaunee, Manitowoc, Marinette, Oconto, Sheboygan counties)

Mark A. Walter, Director
441 South Jackson Street
Green Bay, WI 54301

East Central Wisconsin Regional Planning Commission

(Calumet, Fond du Lac, Green Lake, Marquette, Menominee, Outagamie, Shawano, Waupaca, Waushara, Winnebago counties)

Eric Fowle, Director
132 Main Street
Menasha, WI 54952-3100

Mississippi River Regional Planning Commission

(Buffalo, Crawford, Jackson, La Crosse, Monroe, Pepin, Pierce, Trempealeau, Vernon counties)

Gregory Flogstad, Director
1707 Main Street, Suite 240
La Crosse, WI 54601

North Central Wisconsin Regional Planning Commission

(Adams, Forest, Juneau, Langlade, Lincoln, Marathon, Oneida, Portage, Vilas, Wood counties)

Dennis Lawrence, Director
210 McClellan Street, Suite 210
Wausau, WI 54403

Northwest Regional Planning Commission

(Ashland, Bayfield, Burnett, Douglas, Iron, Price, Rusk, Sawyer, Washburn, Taylor counties)

Myron Schuster, Director
1400 South River Street
Spooner, WI 54801

Southeastern Wisconsin Regional Planning Commission

(Kenosha, Milwaukee, Ozaukee, Racine, Walworth, Washington, Waukesha counties)

Ken Yunker, Director
W239 N1812 Rockwood Drive
P.O. Box 1607
Waukesha, WI 53188

Southwestern Wisconsin Regional Planning Commission

(Grant, Green, Iowa, Lafayette, Richland counties)

Larry Ward, Director
One University Plaza, Room 719
Platteville, WI 53818

West Central Wisconsin Regional Planning Commission

(Barron, Chippewa, Clark, Dunn, Eau Claire, Polk, St. Croix counties)

Jerry Chasteen, Director
800 Wisconsin Street, Mailbox #9
Eau Claire, WI 54703-3606

No Commission is designated for Columbia, Dane, Dodge, Jefferson, Rock, Sauk counties. No letter should be sent.

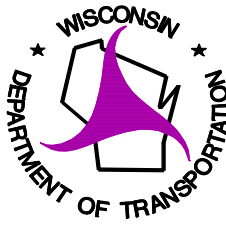
APPENDIX D

FORMS REQUIRED BY WisDOT

The table below identifies the forms WisDOT requires for each type of transit system:

Type of System	Required Forms
Urbanized Bus	<ul style="list-style-type: none"> • Urban Bus Operations Report (Quarterly) • System Effectiveness & Performance Goals Quarterly Report
Urbanized Taxi	<ul style="list-style-type: none"> • Shared-Ride Taxi Operations Report (Quarterly) • Shared-Ride Taxi Revenue and Expense Statement (due Feb. 28) • System Effectiveness & Performance Goals Quarterly Report
Shared-Ride Taxi	<ul style="list-style-type: none"> • Shared-Ride Taxi Operations Report (Quarterly) • Section 5311 Quarterly Requisition • Section 5311 DBE Semi Annual Report • Shared-Ride Taxi Revenue and Expense Statement (due Feb. 28) • System Effectiveness & Performance Goals Quarterly Report
Non-Urbanized Bus	<ul style="list-style-type: none"> • Urban Bus Operations Report (Quarterly) • Section 5311 Quarterly Requisition • Section 5311 DBE Semi Annual Report • System Effectiveness & Performance Goals Quarterly Report
Rural/Intercity	<ul style="list-style-type: none"> • Section 5311 Quarterly Requisition • Section 5311 DBE Semi Annual Report

Please submit as required the appropriate forms for the type of transit system for which operating assistance is being requested, as found in Appendix E.



System Effectiveness and Performance Goals

1. MUNICIPALITY / TRANSIT SYSTEM:

2. REPORTING PERIOD: Calendar Year _____ (Check one below)

1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
<input type="checkbox"/> (Jan 1-Mar 31)	<input type="checkbox"/> (Apr 1-Jun 30)	<input type="checkbox"/> (Jul 1-Sep 30)	<input type="checkbox"/> (Oct 1-Dec 31)

3. PERFORMANCE MEASURES

	Projected	Actual by Quarter				Year To Date Actual
		1 st Qtr.	2 nd Qtr.	3 rd Qtr.	4 th Qtr.	
Expense / Revenue Hour						
Expense / Passenger						
Revenue/Expense Ratio (Operating Ratio)						
Passengers/ Revenue Hour						
Passengers / Capita						
Revenue Hours / Capita						

4. CERTIFICATION: *I certify that the information presented on this form to the Wisconsin Department of Transportation is true and correct.*

(Preparer)

X _____
(Authorized Municipal Official)

(Date)

SYSTEM EFFECTIVENESS AND PERFORMANCE GOALS REPORT REPORTING INSTRUCTIONS AND DEFINITIONS

The Wisconsin Department of Transportation requires each urban transit system receiving state operating assistance under s.85.20 to file a quarterly report of urban transit system effectiveness and performance. This form is for reporting transit operations data associated with a system's regularly scheduled urban transit operation. This report is due within 60 days following the end of the reporting quarter, or within 60 days following the end of each calendar year.

1. **MUNICIPALITY / TRANSIT SYSTEM:** identify the sponsoring municipality or grantee, and the transit system by its official name.
2. **REPORTING PERIOD:** Check the box representing the year's quarter to which the report pertains, or check the year end box for the annual report.
3. **PERFORMANCE MEASURES:** Establish annual service and performance goals and assess the effectiveness of the applicant's transit system in relation to those goals. Enter the initial projected statistic for each measure in the 'Projected' column. This statistic should remain the same for each report in a calendar year. Report on each measure by quarter, and track actual year-to-date performance in the last column.
 - 3A. **EXPENSE/REVENUE HOUR:** The ratio of operating expenses to revenue hours.
 - 3B. **EXPENSE/PASSENGER:** The ratio of operating expenses to passengers, as expressed in unlinked trips.
 - 3C. **REVENUE/EXPENSE RATIO (OPERATING RATIO):** The ratio of revenues to operating expenses.
 - 3D. **PASSENGERS/REVENUE HOUR:** The ratio of passengers, as expressed in unlinked trips, to revenue hours.
 - 3E. **PASSENGERS/CAPITA:** The ratio of passengers, as expressed in unlinked trips, to service area population.
 - 3F. **REVENUE HOURS/CAPITA:** The ratio of revenue hours to service area population.
4. **CERTIFICATION:** Must be made by a municipal official authorized to execute the grant award and request payments under this program. Sign and date the report. **SEND TO:**

WISCONSIN DEPARTMENT OF TRANSPORTATION
BUREAU OF TRANSIT, LOCAL ROADS, RAILROADS AND HARBORS
4802 SHEBOYGAN AVE
P O BOX 7913
MADISON WI 53707-7913

APPENDIX E

ACCOUNT CLASSIFICATIONS

Wisconsin Department of Transportation Bureau of Transit, Local Roads, Railroads and Harbors Account Classifications

Expense Classifications

501.01 Operator's Salaries

The labor of employees of the transit system who are classified as revenue vehicle drivers.

501.02 Other Salaries

The labor of non-drivers which includes dispatchers, in-house accountants, custodial help and mechanics. This category does not include the negotiated management fee.

502.00 Fringe Benefits

Payments or accruals to others (insurance companies, state and Federal government) on behalf of an employee. This also includes benefits paid to an employee arising from other than the performance of work (holiday, vacation, other).

503.01 Management Fee

Amount reported should be equal to the amount specified in the contract.

503.02 Advertising Agency Fees

This account includes outside advertising agency fees for labor and materials. *All other advertising costs, including media, should be charged to 509.08 Miscellaneous Expenses: Advertising/Promotion Media.*

503.03 Professional/Technical

This account includes items such as legal and accounting costs purchased from an outside vendor.

503.03 Computer

Includes items such as payroll processing services from an outside vendor.

503.05 Contract Maintenance

Includes items such as maintenance agreements for office equipment (photocopy machines and computers) radio equipment.

503.08 City Administrative Fee

Includes costs incurred by the recipient for grant administration, administrative staff time, advertising costs of public hearings, procurement notices, etc.

503.99 Other Services

Includes temporary help cost and custodial services provided by an outside vendor.

504.01 Fuel and Lubricants

Includes costs of gasoline, diesel fuel, propane, lubricating oil, transmission fluid, grease etc., purchased during the contract period for use in vehicles. The cost reported should be net of all fuel taxes paid. State taxes are refundable and should be removed from fuel costs. *Federal fuel taxes are to be reported separately under account 507.05 Fuel and Lubricant Tax.*

504.02 Tires and Tubes

Includes cost of replacement tires and tubes installed on vehicles. Large quantity purchases of tires which are not being installed on vehicles at time of purchase, should be inventories and charged against the grant as used. Also includes lease payments for tires and tubes rented from a vendor.

504.99 Other Materials and Supplies

Includes cost of all other materials and supplies not included in 504.01 and 504.02 such as vehicle maintenance parts, office supplies, forms, cleaning supplies, etc.

505.02 Telephone

Includes cost of telephone and facsimile services.

505.03 Other Utilities

Includes cost of electric, gas, water and sewer. If a shared facility is used, include only the pro-rated percentage of utilities as negotiated with the Bureau of Transit and specified in your grant application.

506.00 Casualty and Liability

Report liability insurance premiums separately from physical damage insurance premiums.

507.03 Property Tax

Includes taxes on facilities only up to the percentage of facilities funded under the grant.

507.04 License and Registration

Includes costs on revenue vehicles only.

507.05 Federal Fuel Tax

Federal taxes paid on purchases of fuel made during the calendar year. Sales and excise taxes on materials and services purchased other than fuel and lubricants are not included in this category, but are to be accounted for as part of the base price of the material or service.

508.00 Purchased Transportation

Payments to other transit systems to support their operations of passenger transit services. If your grant was competitively bid, report the bid amount on this line.

509.00 Miscellaneous Expenses

Includes cost items such as dues, subscriptions, travel, meetings and all other items which cannot be attributable to any of the other major expense categories. A description of the cost item must be shown for all miscellaneous items. *Advertising media fees and expenses should be shown under 509.08.*

511.01 Interest Expense

Include only eligible short-term operating interest expense. Interest paid on capital purchases is not eligible and should not be included.

512.00 Leases and Rentals

Include costs of leasing facilities or vehicles. Lease payments to a related party which are made under less than an arms-length agreement, are limited to the actual costs of owning the property. The actual expenses of owning the property include depreciation expense, taxes, and maintenance expense.

513.00 Depreciation Expense

Include only depreciation on fixed assets owned by the operator and used directly in the operation of the transit program. Depreciation expense of assets purchased with Capital Assistance Funding may not be included under this grant program. Detail depreciation expense by passenger vehicle, service vehicle, and operating yards and stations (facilities and radio equipment).

Less Package Delivery

Include expenses associated with freight services, charter operations or other businesses whose expenses are included in the expenses above. If these expenses are not segregated from the transit operation, an amount equal to the revenue generated would be reported on this line.

514.01 Return on Investment

Include the negotiated amount per contract. Average net book value from the depreciation schedule times the allowable percentage.

Revenue Classifications**400.00 Passenger Fares**

Includes passenger fares for all fare categories. The reported fares should include all fares earned during the contract period January 1 through December 31. Uncollected fares at year-end should be accrued and reported on this statement.

404.01 Freight Tariffs

Includes all revenues from package or freight delivery.

406.00 Miscellaneous Revenues

Includes station and vehicles concessions, advertising revenue, sale of maintenance services, rental revenues, sales of fixed assets, and investment income. A description of the revenue item must be shown for all miscellaneous revenues.

405.00 Other Revenue

Includes financial assistance from the local government unit for operating the transit services.

Other Account Classifications as Identified on the Grant Application

Revenue Classifications from Grant Application

400.00 Passenger Fares
401.01 Full Adult Fares
401.02 Senior Citizen Fares
401.03 Student Fares
401.04 Child Fares
401.05 Handicapped Rider Fares
401.99 Other Primary Ride Fares
404.01 Freight Tariffs (Package Delivery)
405.01 Charter Service Revenue
406.00 Auxiliary Transportation Revenues
406.01 Station Concessions
406.02 Vehicle Concessions
406.03 Advertising Services
406.04 Automotive Vehicle Ferriage
406.99 Other
407.00 Non Transportation Revenues
407.01 Sale of Maintenance Services
407.02 Rental of Revenue Vehicles
407.03 Rental of Bldg. And Other Property
407.04 Investment Income
407.99 Other Non Transportation Revenue
405.00 Other Revenue

Expense Classifications from Grant Application

501.00 Salaries and Wages
501.01 Operators Salaries
501.02 Other Salaries
502.00 Fringe Benefits
502.01 FICA
502.02 Pension
502.03 Medical
502.04 Dental
502.05 Life Insurance
502.06 Short-term Disability
502.07 Unemployment
502.08 Workman's Compensation
502.09 Sick Leave
502.10 Holiday Pay
502.11 Vacation Pay
502.12 Other Paid Absences
502.13 Uniform Allowances
502.14 Other Benefits
503.00 Services
503.01 Management Fees
503.02 Advertising Fees
503.03 Professional Technical Fees
503.03 Computer
503.04 Temporary Help
503.05 Contract Maintenance
503.06 Custodial Services

503.08 City Administrative Fee
503.99 Other Services
504.00 Materials and Supplies
504.1 Gasoline, Diesel Fuel, Oil

Expense Classifications cont'd

504.02 Tires and Tubes
504.99 Vehicle Parts, Postage, Supplies
504.99 Office Furniture and Expenses
505.00 Utilities
505.02 Telephone
505.02 Electric, Gas, Other Utilities
506.00 Casualty and Liability
506.01 Physical Damage Premiums
506.02 Physical Damage Recovery
506.03 Public Liability Premium
506.04 Uninsured PL/PD Payouts
506.05 Uninsured PL/PD Provisions
506.00 Casualty & Liability Cont'd
506.06 Insured PL/PD Payouts
506.07 PL/PD Recoveries
506.08 Other Corporate Insurance
506.09 Other Corporate Loss
506.10 Other Corporate Loss Recovery
507.00 Taxes
507.03 Property Tax
507.04 License and Registration
507.05 Fuel and Lubricant Tax
507.99 Other Tax
508.00 Purchased Transportation
509.01 Dues and Subscriptions
509.02 Travel and meetings
509.08 Advertising and Promotion
509.99 Other miscellaneous
511.01 Interest Expense
512.00 Leases and Rentals
512.02 Passenger Stations
512.01 Passenger Revenue Vehicles
512.05 Service Vehicles
512.06 Operating Yards and Stations
512.07 Shops and Garages
512.10 Data Processing Facilities
512.11 Revenue Collection Processing Facilities
512.12 Other Administrative Facilities
513.00 Depreciation
513.04 Passenger Revenue Vehicles
513.05 Service Vehicles
513.06 Operating yards and Stations
514.01 Return on Investment

JANUARY						
M	T	W	T	F	S	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

MARCH						
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29	30	31				

MAY						
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31						

JULY						
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SEPTEMBER						
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NOVEMBER						
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FEBRUARY						
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APRIL						
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JUNE						
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28	29	30				

AUGUST						
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23	24	25	26	27	28	29
30	31					

OCTOBER						
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18	19	20	21	22	23	24
25	26	27	28	29	30	31

DECEMBER						
M	T	W	T	F	S	S
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6	7	8	9	10	11	12
13	14	15	16	17	18	19
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27	28	29	30	31		