

# DOT

# FTA

U.S. Department of Transportation

Federal Transit Administration

## Application

<b>Federal Award Identification Number (FAIN)</b>	NC-2020-011-03
<b>Temporary Application Number</b>	1005-2020-1
<b>Application Name</b>	CARES ACT - FY2020 SEC 5311 CARES -Operating, Capital, Administration
<b>Application Status</b>	Final Concurrence / Reservation
<b>Application Budget Number</b>	0

<b>Period of Performance Start Date</b>	4/29/2020	
<b>Original Period of Performance End Date</b>	6/30/2023	
<b>Current Period of Performance End Date</b>	3/30/2026	Revision #: 1

### Part 1: Recipient Information

**Name: TRANSPORTATION, NORTH CAROLINA DEPARTMENT OF**

Recipient ID	Recipient OST Type	Recipient Alias	Recipient DUNS
1005	State Agency	NORTH CAROLINA DEPARTMENT OF TRANSPORTATION	948614169

Location Type	Address	City	State	Zip
Headquarters	1 S WILMINGTON ST	RALEIGH	NC	276101453
Physical Address	1 S WILMINGTON ST RM 542	RALEIGH	NC	27611
Mailing Address	NCDOT - PUBLIC TRANSPORTATION DIVISION	RALEIGH	NC	27699

### Union Information

<b>Union Name</b>	<b>AMALGAMATED TRANSIT UNION</b>
<b>Address 1</b>	5025 Winsonsin Avenue, NW

Address 2	
City	Washington
State	District of Columbia
Zipcode	20016
Contact Name	Meghan Ritson
Telephone	2025371645
Fax	2022447824
E-mail	
Website	

<b>Union Name</b>	<b>AMALGAMATED TRANSIT UNION</b>
Address 1	5025 Wisconsin Avenue, NW
Address 2	
City	Washington
State	District of Columbia
Zipcode	20016
Contact Name	Leo Wetzel
Telephone	2025371645
Fax	2022447824
E-mail	
Website	

<b>Union Name</b>	<b>NONE</b>
Address 1	
Address 2	
City	
State	
Zipcode	00000
Contact Name	
Telephone	
Fax	00000
E-mail	
Website	

<b>Union Name</b>	<b>UNITED TRANSPORTATION UNION</b>
Address 1	Local # 36
Address 2	204 Forest Manor Drive
City	Garner
State	North Carolina
Zipcode	27529
Contact Name	R.H. Westbrook, Jr.
Telephone	9197794852

Fax	
E-mail	
Website	
<b>Union Name</b> <b>UNITED TRANSPORTATION UNION</b>	
Address 1	14600 Detroit Avenue
Address 2	
City	Cleveland
State	Ohio
Zipcode	44107
Contact Name	Victor Baffoni
Telephone	2162289400
Fax	
E-mail	
Website	

## Part 2: Application Information

**Title: CARES ACT - FY2020 SEC 5311 CARES -Operating, Capital, Administration**

FAIN	Application Status	Application Type	Date Created	Last Updated Date	From TEAM?
NC-2020-011-03	Final Concurrence / Reservation	Grant	10/29/2021	10/29/2021	No

### Application Executive Summary

Amendment #3 - NCDOT is applying for an additional \$18,852,958 (100% Federal Share) from FFY 20 Section 5311 Cares Formula for state administration and operating to help respond to, provide vaccination trips and recover from the COVID-19 pandemic. The total application to date is: \$79,130,400; the total FY 20 5311 amount of CARES Act funding is \$93,491,001 and \$1,450,00 Appalachian. Intercity bus has been addressed in another application.

Purpose: To assist Subrecipients in the rural areas of North Carolina with financial assistance for operating transit systems in responding to and recovery of Covid-19 and the delta variant and providing transportation trips for vaccinations, flu and booster shots.

Activities to be performed: Subrecipients will perform administrative duties for operations and continue operations of current existing transportation systems in providing trips to employment, shopping centers, dr. appointments and vaccination sites. Funding will also be used for 100% of operational needs to include scheduling software and customer facing apps for trips. State administration funds will be used to pay salaries and fringes of IMD employees and IMD contractors for administering the grant program. Contractors will assist with FTA grant applications, federal reporting, application and claim review of Subrecipients

Expected Outcomes: To continue existing current services of trips provided to citizens of NC so there is not a lack of service in rural areas. A number of citizens lack their own transportation and are dependent upon public transportation for all of their transportation needs.

Intended beneficiaries: All NC citizens living in rural areas with population of less than 50,000.

Subrecipient Activities: Subrecipients will perform administrative duties for operations and continue operations of current existing transportation systems in providing trips to the public. Funding will pay salaries and fringes of drivers and transportation managers, loss of revenue, bonuses, incentive pay and scheduling software maintenance used for trips.

The project has neither applied for nor received funding from FEMA or any other Federal Agency. Insurance is non-applicable for this project. North Carolina Department of Transportation is a designated recipient of the Section 5311 Rural Area Formula (CARES Act) funds.

Capital items are not being requested at his time but will be considered after assessment of needs. North Carolina Department of Transportation will follow all 3rd party procurement policies as defined in C4220.1F (Third Party Contracting Guidance).

Per the CARES Act, the project(s) in this application is not required to be programmed in the Long-Range Transportation Plan or Statewide Transportation Improvement Program.

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

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Amendment #2 -NCDOT is applying for an additional \$9,591,801 (100% Federal Share) from FFY 20 Section 5311 Cares Formula for state administration and operating to help respond to, provide vaccination trips and recover from the COVID-19 pandemic. The total application to date is: \$60,277,442; the total FY 20 5311 amount of CARES Act funding is \$93,491,001 and \$1,450,00 Appalachian. Intercity bus is not included in this application; the required 15% will be addressed in a future application.

The project has neither applied for nor received funding from FEMA or any other Federal Agency. Insurance is non-applicable for this project. North Carolina Department of Transportation is a designated recipient of the Section 5311 Rural Area Formula (CARES Act) funds.

Capital items are not being requested at his time but will be considered after assessment of needs. North Carolina Department of Transportation will follow all 3rd party procurement policies as defined in C4220.1F (Third Party Contracting Guidance).

Per the CARES Act, the project(s) in this application is not required to be programmed in the Long-Range Transportation Plan or Statewide Transportation Improvement Program.

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

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Amendment #1 - This is a FFY2020 amendment request additional funds in the amount of \$28,910,546 (100% Federal Share) for total award. This application utilizes CARES ACT funding for operating, and state administration to help respond to and recover from the COVID-19 pandemic. 15% of the funds will be applied for on behalf of Intercity needs which will be addressed after the assessment, in a future application.

The project has neither applied for nor received funding from FEMA or any other Federal Agency. Insurance is non-applicable for this project. North Carolina Department of Transportation is a designated recipient of the Section 5311 Rural Area Formula (CARES Act) funds.

Capital items are not being requested at his time but will be considered after assessment of needs. North Carolina Department of Transportation will follow all 3rd party procurement policies as defined in C4220.1F (Third Party Contracting Guidance).

Per the CARES Act, the project(s) in this application is not required to be programmed in the Long-Range Transportation Plan or Statewide Transportation Improvement Program.

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

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This is a FFY 2020 Section 5311 Rural Area Formula (CARES Act) application in the amount of \$21,775,095 (100% Federal Share), for the total award. The total amount of CARES Act funding is \$93,491,001 5311 and \$1,450,00 Appalachian and the balance will be applied for in a future application. 15% of the funds will be applied for on behalf of Intercity needs which will be addressed after the assessment, in a future application. This application utilizes CARES ACT funding to help respond to and recover from the COVID-19 pandemic. This application is for for operating, and state administration costs related to the response of the coronavirus public health emergency as described in Section 319 of the Public Health Services Act. The Operational Expenses requested in this application were determined by NCDOT's SFY 2020 5311 distribution of Admin/Operating funds in the "Project Selection Criteria and Method" section of the 2016 State Management Plan. The NCDOT understands that the expenses requested in this application are subject to review as part of the agency's next Triennial/State Management Review. Management Review

Funds are being programmed to provide initial funds for subrecipients with a secondary process to award remaining funds to address additional needs. Due to the changing nature of the current public health emergency this will provide maximum flexibility to NCDOT. NCDOT will revise the grant to provide a more finalized budget once all funds are programmed.

The project has neither applied for nor received funding from FEMA or any other Federal Agency. Insurance is non-applicable for this project. North Carolina Department of Transportation is a designated recipient of the Section 5311 Rural Area Formula (CARES Act) funds.

Capital items are not being requested at his time but will be considered after assessment of needs. North Carolina Department of Transportation will follow all 3rd party procurement policies as defined in C4220.1F (Third Party Contracting Guidance).

The Recipient agrees that if it receives Federal funding from the Federal Emergency Management Agency (FEMA) or through a pass-through entity through the Robert T. Stafford Disaster Relief and Emergency

Assistance Act, a different Federal agency, or insurance proceeds for any portion of a project activity approved for FTA funding under this Grant Agreement, it will provide written notification to FTA, and reimburse FTA for any Federal share that duplicates funding provided by FEMA, another Federal agency, or an insurance company.

**Frequency of Milestone Progress Reports (MPR)**

Annual

**Frequency of Federal Financial Reports (FFR)**

Annual

**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.

**Will this Grant be using Lapsing Funds?**

No, this Grant does not use Lapsing Funds.

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

This award is applying an approved Indirect cost rate(s).

*Indirect Rate Details:* Subrecipients will charge indirect cost to the project based on an approved indirect cost rate set by the NCDOT Integrated Mobility Division.

**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
Myra	Freeman	Financial Manager	msfreeman1@ncdot.gov	9197074672
Holly	Liles	Community Planner	holly.liles@dot.gov	(404) 865-5637

**Application Budget Control Totals**

Funding Source	Section of Statute	CFDA Number	Amount
5311 - Rural Area Formula (CARES Act)	5311-5	20509	\$79,130,400
Local			\$0
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>\$79,130,400</b>

## Application Budget

Project Number	Budget Item	FTA Amount	Non-FTA Amount	Total Eligible Amount	Quantity
NC-2020-011-01-03	300-00 (300-A1) OPERATING ASSISTANCE	\$71,765,338.00	\$0.00	\$71,765,338.00	0
NC-2020-011-01-03	30.09.08 EMER RELIEF - OPERATING ASSIST - 100% Fed Share	\$71,765,338.00	\$0.00	\$71,765,338.00	0
NC-2020-011-01-03	610-00 (610-A2) STATE / PROGRAMS ADMINISTRATION	\$7,365,062.00	\$0.00	\$7,365,062.00	0
NC-2020-011-01-03	11.80.00 STATE OR PROGRAM ADMINISTRATION	\$7,365,062.00	\$0.00	\$7,365,062.00	0

## Discretionary Allocations

This application does not contain discretionary allocations.

## Part 3: Project Information

### Project Title: Cares Act - FY20 Sec 5311

Project Number	Temporary Project Number	Date Created	Start Date	End Date
NC-2020-011-01-03	1005-2020-1-P1	10/29/2021	1/20/2020	6/30/2023

#### Project Description

Amendment #3 - NCDOT Integrated Mobility Division requests \$18,852,958 from Section 5311 Cares Formula for operating and state administration to continue to respond and recover from Covid-19 pandemic.

Amendment #2 - NCDOT requests \$9,591,801 from Section 5311 Cares Formula for operating and state administration to continue to respond and recover from Covid-19 pandemic.

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Amendment #1 - This is a FFY2020 amendment request in the amount of \$28,910,546 (100% Federal Share) for total award. This application utilizes CARES ACT funding for operating, and state administration to help respond to and recover from the COVID-19 pandemic. This application is programmed to provide additional funds for subrecipients to meet operational needs. Due to the changing nature of the current public health emergency, this will provide maximum flexibility to NCDOT. .

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This is a FFY 2020 Section 5311 application in the amount of \$21,775,095 (100% Federal Share) for total award, This application utilizes CARES ACT funding for operating, and state administration to help respond to and recover from the COVID-19 pandemic. This application is programmed to provide immediate funds for subrecipients with a secondary process to award remaining funds to address additional needs. Due to the changing nature of the current public health emergency, this will provide maximum flexibility to NCDOT. .

### **Project Benefits**

Amendment #2 - Funds will be used for operations, provide trips to vaccination sites and to purchase PPE equipment and supplies. State Administration funds will be used for salaries and fringes and to manage the projects.

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Amendment #1 - This project will continue to enable rural transit systems to provide and operate established transit routes and to add new services as needed to aid communities during the COVID-19 pandemic. This includes necessary trips to work and medical appointments and provide services such as meal delivery and and other critical services as needed. This project also provides for extra maintenance of transit buses including sanitizing, modifications for social distancing and driver and other staff personal protective devices. Other benefits are the provision of salaries for staff on administration leave, agency administration and continued connections for travelers between rural areas.

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This project enables rural transit provides to continue operating established transit routes and to add new services as needed to aid communities during the COVID-19 pandemic. This includes necessary trips to work and medical appointments. Such services such as meal delivery and and other critical services as needed may be provided during this time. This project also provides for extra maintenance of transit buses including sanitizing, modifications for social distancing and driver and other staff personal protective devices. Other benefits are the provision of salaries for staff on administration leave, agency administration and continued connections for travelers between rural areas.

### **Additional Information**

*None provided.*

### **Location Description**

Project activities will take place across the state of NC. in rural areas.

## **Project Location (Urbanized Areas)**

<b>UZA Code</b>	<b>Area Name</b>
370000	North Carolina
371900	Gastonia, NC--SC
371920	High Point, NC



372630	Burlington, NC
372700	Wilmington, NC
373170	Concord, NC
373310	Goldsboro, NC
373400	Hickory, NC
373420	Rocky Mount, NC
373440	Jacksonville, NC
378400	New Bern, NC
373410	Greenville, NC
370750	Charlotte, NC-SC
371330	Greensboro, NC
371780	Durham, NC
372310	Asheville, NC
379630	Fayetteville, NC

## Congressional District Information

State	District	Representative
North Carolina	1	G. K Butterfield
North Carolina	2	Renee L Ellmers
North Carolina	3	Walter B Jones
North Carolina	4	David E Price
North Carolina	5	Virginia Foxx
North Carolina	6	Mark Walker
North Carolina	7	David Rouzer
North Carolina	8	Richard Hudson
North Carolina	9	Robert Pittenger
North Carolina	10	Patrick T McHenry
North Carolina	11	Mark Meadows
North Carolina	12	Alma S Adams
North Carolina	13	George Holding

## Program Plan Information

### STIP/TIP

Date: Not Provided

Description: This project only includes operating expenses and/or capital expenses that do not include substantial functional, location, or capacity changes to the asset or system. Therefore, no additional Transportation Improvement Program (TIP) or the Statewide Transportation Improvement Program (STIP) is needed. CARES funds used to pay for operating and capital expenses for emergency relief do not need to be included in the TIP/STIP

**UPWP**

Date: N/A

Description: N/A

**Long Range Plan**

Date: N/A

Description: N/A

**Project Control Totals**

Funding Source	Section of Statute	CFDA Number	Amount
5311 - Rural Area Formula (CARES Act)	5311-5	20509	\$79,130,400
Local			\$0
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>\$79,130,400</b>

**Project Budget**

Project Number	Budget Item	FTA Amount	Non-FTA Amount	Total Eligible Amount	Quantity
NC-2020-011-01-03	300-00 (300-A1) OPERATING ASSISTANCE	\$71,765,338.00	\$0.00	\$71,765,338.00	0
NC-2020-011-01-03	30.09.08 EMER RELIEF - OPERATING ASSIST - 100% Fed Share	\$71,765,338.00	\$0.00	\$71,765,338.00	0
NC-2020-011-01-03	610-00 (610-A2) STATE / PROGRAMS ADMINISTRATION	\$7,365,062.00	\$0.00	\$7,365,062.00	0
NC-2020-011-01-03	11.80.00 STATE OR PROGRAM ADMINISTRATION	\$7,365,062.00	\$0.00	\$7,365,062.00	0

**Project Budget Activity Line Items**

**Budget Activity Line Item: 30.09.08 - EMER RELIEF - OPERATING ASSIST - 100% Fed Share**

Scope Name / Code	Line Item #	Line Item Name	Activity	Quantity
OPERATING ASSISTANCE (300-00)	30.09.08	EMER RELIEF - OPERATING ASSIST - 100% Fed Share	OPERATING ASSISTANCE	0

**Extended Budget Description**

Amendment #3 - NCDOT is applying for an additional \$16,967,663 from FFY20 Section 5311 Cares Formula for its Subrecipients to continue providing operating services for the citizens of NC to respond to Covid 19 and to transport citizens to various vaccination sites throughout the State. The period of performance is June 30, 2021-June 30, 2022.

Amendment #2 - NCDOT is applying for an additional \$8,719,819 from FFY20 Section 5311 Cares Formula for its Subrecipients to continue providing operating services for the citizens of NC to respond to Covid 19 and to transport citizens to various vaccination sites throughout the State. The period of performance is June 30, 2021-June 30, 2022.

Amendment #1- This amendment will add \$26,282,315 in additional funds for rural operating assistance for the 75 transit providers for the period of January 20, 2020- June 30, 2021. Funds are being requested to meet the additional needs of the transit providers.

This grant will use \$19,795,541 in CARES ACT funding for rural operating assistance for 75 transportation providers for the period of January 20, 2020 thru June 30,2022. Funds are being programmed to provide immediate funds for subrecipients with a secondary process to award remaining funds to address additional needs. Due to the changing nature of the current public health emergency, this will provide maximum flexibility to NCDOT. See the attached POP detail.

\$534,839 will be transferred to FTA for Eastern Band of Cherokee Indians (EBCI). This amount totals their full allocation.

**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
5311 - Rural Area Formula (CARES Act)	5311-5	20509	\$71,765,338
Local			\$0
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>\$71,765,338</b>

Milestone Name	Est. Completion	Description
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Date		
Contract Award	1/20/2020	Emer Relief - Operating Assist - 100% Fed Share
RFP/IFB Issued	4/13/2020	Emer Relief - Operating Assist - 100% Fed Share
Contract End	6/30/2021	Emer Relief - Operating Assist - 100% Fed Share

**Budget Activity Line Item: 11.80.00 - STATE OR PROGRAM ADMINISTRATION**

Scope Name / Code	Line Item #	Line Item Name	Activity	Quantity
STATE / PROGRAMS ADMINISTRATION (610-00)	11.80.00	STATE OR PROGRAM ADMINISTRATION	STATE / PROGRAM ADMINISTRATION	0

**Extended Budget Description**

Amendment #3 -NCDOT Integrated Mobility Division requests to add \$1,885,295 for State Administration for the period of January 20, 2020 thru June 30, 2024. Funds are being programmed for salaries and administering the CARES ACT grant.

Amendment #2 - NCDOT requests to add \$871,982 for State Administration for the period of January 20, 2020 thru June 30, 2024. Funds are being programmed for salaries and administering the CARES ACT grant.

Amendment #1 - This amendment will add \$2,628,231 for State Administration for the period of January 20, 2020 thru June 30, 2023. Funds are being programmed for salaries and administering the CARES ACT grant. Due to the changing nature of the current public health emergency, this will provide maximum flexibility to NCDOT. See attached POP detail.

This grant will use \$1,979,554 in CARES ACT fund for State administration for the period of January 20, 2020 thru June 30, 2020. Funds are being programmed for salaries and administering the CARES ACT grant. Due to the changing nature of the current public health emergency, this will provide maximum flexibility to NCDOT. See the attached POP detail.

**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
5311 - Rural Area Formula (CARES Act)	5311-5	20509	\$7,365,062
Local			\$0
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>\$7,365,062</b>

Milestone Name	Est. Completion Date	Description
Start Date	1/20/2020	State Or Program Administration
End Date	6/30/2023	State Or Program Administration

## Project Environmental Findings

### 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	Date
Class IIc CE Approved	

Scope Name / Code	Line Item Number	Line Item Name	Quantity	FTA Amount	Total Eligible Cost
OPERATING ASSISTANCE (300-00)	30.09.08	EMER RELIEF - OPERATING ASSIST - 100% Fed Share	0	\$71,765,338.00	\$71,765,338.00

### 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	Date
Class IIc CE Approved	

Scope Name / Code	Line Item	Line Item Name	Quantity	FTA Amount	Total Eligible
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	Number			Cost
STATE / PROGRAMS ADMINISTRATION (610-00)	11.80.00	STATE OR PROGRAM ADMINISTRATION	0	\$7,365,062.00 \$7,365,062.00

## Part 4: Fleet Details

No fleet data exists for this application.

## Part 5: FTA Review Comments

### FTA Comments for DOL

**Comment By** Holly Liles

Comment Type DOL Review for Information

Date 12/6/2021

Comment For information only.

### Application Review Comments

**Comment By** Holly Liles

Comment Type Pre-Award Manager Returns Application

Date 11/9/2021

Comment NCDOT will modify funding to CARES Balance.

**Comment By** Holly Liles

Comment Type Pre-Award Manager Returns Application

Date 12/1/2021

Comment Please add language satisfying the new OMB Executive Summary Requirements to the Executive Summary <https://www.transit.dot.gov/funding/grantee-resources/teamtrams/transit-award-management-system-trams>

### Application Review Comments

**Comment By** Holly Liles

Comment Type Application Details

Date 12/1/2021

Comment Please add language satisfying the new OMB Executive Summary Requirements to the Executive Summary <https://www.transit.dot.gov/funding/grantee-resources/teamtrams/>

## Part 6: Agreement

**UNITED STATES OF AMERICA  
DEPARTMENT OF TRANSPORTATION  
FEDERAL TRANSIT ADMINISTRATION**

**GRANT AGREEMENT  
(FTA G-28, February 9, 2021)**

On the date the authorized U.S. Department of Transportation, Federal Transit Administration (FTA) official signs this Grant Agreement, FTA has obligated and awarded federal assistance as provided below. Upon execution of this Grant Agreement by the Recipient named below, the Recipient affirms this FTA Award, enters into this Grant Agreement with FTA, and binds its compliance with the terms of this Grant Agreement.

The following documents are incorporated by reference and made part of this Grant Agreement:

- (1) "Federal Transit Administration Master Agreement," FTA MA(28), February 9, 2021, <http://www.transit.dot.gov>,
- (2) The Certifications and Assurances applicable to the FTA Award that the Recipient has selected and provided to FTA, and
- (3) Any Award notification containing special conditions or requirements, if issued.

WHEN THE TERM "FTA AWARD" OR "AWARD" IS USED, EITHER IN THIS GRANT AGREEMENT OR THE APPLICABLE MASTER AGREEMENT, "AWARD" ALSO INCLUDES ALL TERMS AND CONDITIONS SET FORTH IN THIS GRANT AGREEMENT.

FTA OR THE FEDERAL GOVERNMENT MAY WITHDRAW ITS OBLIGATION TO PROVIDE FEDERAL ASSISTANCE IF THE RECIPIENT DOES NOT EXECUTE THIS GRANT AGREEMENT WITHIN 90 DAYS FOLLOWING FTA's AWARD DATE SET FORTH HEREIN.

### **FTA AWARD**

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

#### **Recipient Information**

Recipient Name: TRANSPORTATION, NORTH CAROLINA DEPARTMENT OF

Recipient ID: 1005

DUNS No: 948614169

#### **Application Information**

Federal Award Identification Number: NC-2020-011-03

Application Name: CARES ACT - FY2020 SEC 5311 CARES -Operating, Capital, Administration

Application Start Date: 4/29/2020

Original Award End Date: 6/30/2023

Current Award End Date: 3/30/2026

Application Executive Summary: Amendment #3 - NCDOT is applying for an additional \$18,852,958 (100% Federal Share) from FFY 20 Section 5311 Cares Formula for state administration and operating to help respond to, provide vaccination trips and recover from the COVID-19 pandemic. The total application to date is: \$79,130,400; the total FY 20 5311 amount of CARES Act funding is \$93,491,001 and \$1,450,00 Appalachian. Intercity bus has been addressed in another application.

**Purpose:** To assist Subrecipients in the rural areas of North Carolina with financial assistance for operating transit systems in responding to and recovery of Covid-19 and the delta variant and providing transportation trips for vaccinations, flu and booster shots.

**Activities to be performed:** Subrecipients will perform administrative duties for operations and continue operations of current existing transportation systems in providing trips to employment, shopping centers, dr. appointments and vaccination sites. Funding will also be used for 100% of operational needs to include scheduling software and customer facing apps for trips. State administration funds will be used to pay salaries and fringes of IMD employees and IMD contractors for administering the grant program. Contractors will assist with FTA grant applications, federal reporting, application and claim review of Subrecipients

**Expected Outcomes:** To continue existing current services of trips provided to citizens of NC so there is not a lack of service in rural areas. A number of citizens lack their own transportation and are dependent upon public transportation for all of their transportation needs.

**Intended beneficiaries:** All NC citizens living in rural areas with population of less than 50,000.

**Subrecipient Activities:** Subrecipients will perform administrative duties for operations and continue operations of current existing transportation systems in providing trips to the public. Funding will pay salaries and fringes of drivers and transportation managers, loss of revenue, bonuses, incentive pay and scheduling software maintenance used for trips.

The project has neither applied for nor received funding from FEMA or any other Federal Agency. Insurance is non-applicable for this project. North Carolina Department of Transportation is a designated recipient of the Section 5311 Rural Area Formula (CARES Act) funds.

Capital items are not being requested at his time but will be considered after assessment of needs. North Carolina Department of Transportation will follow all 3rd party procurement policies as defined in C4220.1F (Third Party Contracting Guidance).

Per the CARES Act, the project(s) in this application is not required to be programmed in the Long-Range Transportation Plan or Statewide Transportation Improvement Program.

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

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Amendment #2 -NCDOT is applying for an additional \$9,591,801 (100% Federal Share) from FFY 20 Section 5311 Cares Formula for state administration and operating to help respond to, provide vaccination trips and recover from the COVID-19 pandemic. The total application to date is: \$60,277,442; the total FY 20 5311 amount of CARES Act funding is \$93,491,001 and \$1,450,00 Appalachian. Intercity bus is not included in this application; the required 15% will be addressed in a future application.

The project has neither applied for nor received funding from FEMA or any other Federal Agency. Insurance is non-applicable for this project. North Carolina Department of Transportation is a designated recipient of the Section 5311 Rural Area Formula (CARES Act) funds.

Capital items are not being requested at his time but will be considered after assessment of needs. North Carolina Department of Transportation will follow all 3rd party procurement policies as defined in C4220.1F (Third Party Contracting Guidance).

Per the CARES Act, the project(s) in this application is not required to be programmed in the Long-Range Transportation Plan or Statewide Transportation Improvement Program.

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

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Amendment #1 - This is a FFY2020 amendment request additional funds in the amount of \$28,910,546 (100% Federal Share) for total award. This application utilizes CARES ACT funding for operating, and state administration to help respond to and recover from the COVID-19 pandemic. 15% of the funds will be applied for on behalf of Intercity needs which will be addressed after the assessment, in a future application.

The project has neither applied for nor received funding from FEMA or any other Federal Agency. Insurance is non-applicable for this project. North Carolina Department of Transportation is a designated recipient of the Section 5311 Rural Area Formula (CARES Act) funds.

Capital items are not being requested at his time but will be considered after assessment of needs. North Carolina Department of Transportation will follow all 3rd party procurement policies as defined in C4220.1F (Third Party Contracting Guidance).

Per the CARES Act, the project(s) in this application is not required to be programmed in the Long-Range Transportation Plan or Statewide Transportation Improvement Program.

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

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This is a FFY 2020 Section 5311 Rural Area Formula (CARES Act) application in the amount of \$21,775,095 (100% Federal Share),for the total award. The total amount of CARES Act funding is \$93,491,001 5311 and \$1,450,00 Appalachian and the balance will be applied for in a future application.

15% of the funds will be applied for on behalf of Intercity needs which will be addressed after the assessment, in a future application. This application utilizes CARES ACT funding to help respond to and recover from the COVID-19 pandemic. This application is for for operating, and state administration costs related to the response of the coronavirus public health emergency as described in Section 319 of the Public Health Services Act. The Operational Expenses requested in this application were determined by NCDOT's SFY 2020 5311 distribution of Admin/Operating funds in the "Project Selection Criteria and Method" section of the 2016 State Management Plan. The NCDOT understands that the expenses requested in this application are subject to review as part of the agency's next Triennial/State Management Review.

Funds are being programmed to provide initial funds for subrecipients with a secondary process to award remaining funds to address additional needs. Due to the changing nature of the current public health emergency this will provide maximum flexibility to NCDOT. NCDOT will revise the grant to provide a more finalized budget once all funds are programmed.

The project has neither applied for nor received funding from FEMA or any other Federal Agency. Insurance is non-applicable for this project.

North Carolina Department of Transportation is a designated recipient of the Section 5311 Rural Area Formula (CARES Act) funds.

Capital items are not being requested at his time but will be considered after assessment of needs. North Carolina Department of Transportation will follow all 3rd party procurement policies as defined in C4220.1F (Third Party Contracting Guidance).

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

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

Indirect Costs: This award is applying an approved Indirect cost rate(s).

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.

## **Application Budget**

Total Application Budget: \$79,130,400.00

Amount of Federal Assistance Obligated for This FTA Action (in U.S. Dollars): \$18,852,958.00

Amount of Non-Federal Funds Committed to This FTA Action (in U.S. Dollars): \$0.00

Total FTA Amount Awarded and Obligated (in U.S. Dollars): \$79,130,400.00

Total Non-Federal Funds Committed to the Overall Award (in U.S. Dollars): \$0.00

**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>
5311 - Rural Area Formula (CARES Act)	5311-5	20509	\$79,130,400
Local			\$0
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>\$79,130,400</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:

**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:

**EXECUTION OF THE GRANT AGREEMENT**

Upon full execution of this Grant Agreement by the Recipient, the Effective Date will be the date FTA or the Federal Government awarded Federal assistance for this Grant Agreement.

By executing this Grant Agreement, the Recipient intends to enter into a legally binding agreement in

which the Recipient:

- (1) Affirms this FTA Award,
- (2) Adopts and ratifies all of the following information it has submitted to FTA:
  - (a) Statements,
  - (b) Representations,
  - (c) Warranties,
  - (d) Covenants, and
  - (e) Materials,
- (3) Consents to comply with the requirements of this FTA Award, and
- (4) Agrees to all terms and conditions set forth in this Grant Agreement.

Executed By:

*TRANSPORTATION, NORTH CAROLINA DEPARTMENT OF*