Agenda for the
Regular Meeting of the
Englewood City Council
Monday, May 19, 2014
7:30 pm

Englewood Civic Center – Council Chambers
1000 Englewood Parkway
Englewood, CO 80110

1. Call to Order.

2. Invocation.

3. Pledge of Allegiance.

4. Roll Call.

5. Consideration of Minutes of Previous Session.
   a. Minutes from the Regular City Council Meeting of May 5, 2014.

6. Recognition of Scheduled Public Comment. (This is an opportunity for the public to address City Council. There is an expectation that the presentation will be conducted in a respectful manner. Council may ask questions for clarification, but there will not be any dialogue. Please limit your presentation to five minutes.)
   a. Englewood High School students Sofia Montoya and Kennedy Watson will be present to address City Council regarding the National Future Business Leaders of America competition in Tennessee.

7. Recognition of Unscheduled Public Comment. (This is an opportunity for the public to address City Council. There is an expectation that the presentation will be conducted in a respectful manner. Council may ask questions for clarification, but there will not be any dialogue. Please limit your presentation to three minutes. Time for unscheduled public comment may be limited to 45 minutes, and if limited, shall be continued to General Discussion.)

   Council Response to Public Comment.
8. Communications, Proclamations, and Appointments.

   a. Proclamation declaring the month of May as Asian American and Pacific Islander Heritage Month.

9. Consent Agenda Items

   a. Approval of Ordinances on First Reading.

   i. Council Bill No. 28 — Recommendation from the Finance and Administrative Services Department to adopt a bill for an ordinance authorizing the deletion and addition of language to Title 5, Chapter 3D-3 (Definitions) of the Englewood Municipal Code regarding good cause for denying or refusing the renewal, reinstatement, or initial Medical Marijuana licenses. **Staff Source: Frank Gryglewicz, Director of Finance and Administrative Services.**

   ii. Council Bill No. 29 — Recommendation from the Finance and Administrative Services Department to adopt a bill for an ordinance authorizing the deletion and addition of language to Title 5, Chapter 3D-5 (Public Hearing Notice – Posting and Publication) of the Englewood Municipal Code. **Staff Source: Frank Gryglewicz, Director of Finance and Administrative Services.**

   iii. Council Bill No. 32 — Recommendation from the Community Development Department to adopt a bill for an ordinance approving an intergovernmental agreement with the Regional Transportation District (RTD) for the purpose of conducting the Englewood Light Rail Corridor Next Step Study. **Staff Source: John Voboril, Long Range Planner II.**

   b. Approval of Ordinances on Second Reading.

   i. Council Bill No.26, authorizing an amendment to Title 7, Chapter 6B, Subsection (A)(2) of the Englewood Municipal Code pertaining to the prohibition of loitering in or about a school building or grounds.

   ii. Council Bill No. 27, authorizing the addition of Section 6 to Title 7, Chapter 5 of the Englewood Municipal Code adding language regarding the method used (resolution) for setting fees and charges related to the registration of sex offenders.

   c. Resolutions and Motions.

   i. Recommendation from the Finance and Administrative Services Department to approve a resolution setting fees for sex offender registration. **Staff Source: Frank Gryglewicz, Director of Finance and Administrative Services.**
   a. A public hearing to gather input on Council Bill No. 24, amending sections of Title 16 of the
      Englewood Municipal Code pertaining to site improvement plans.

11. Ordinances, Resolutions and Motions
   a. Approval of Ordinances on First Reading.
      i. Council Bill No. 31 — Recommendation from the Community Development
         Department to adopt a bill for an ordinance approving Shadow Creek Homes request
         to rezone 3265-3299 South Logan Street (former Shrine Club property) to a Planned
         Unit Development. Staff further recommends that Council set a Public Hearing for
         Monday, June 2, 2014 to gather public input on the proposed amendments. Staff
         Source: Brook Bell, Planner II.
   b. Approval of Ordinances on Second Reading.
   c. Resolutions and Motions.

12. General Discussion.
   a. Mayor’s Choice.
   b. Council Members’ Choice.


15. Adjournment.
WHEREAS, each May we celebrate the rich history and innumerable contributions that Asian Americans, Native Hawaiians, and Pacific Islanders and we reflect on the many ways they have enriched and continue to make to our Nation; and

WHEREAS, May was chosen because of two important anniversaries which occurred during this time: the arrival of the 1st Japanese immigrants in America on May 7, 1843 and the completion of the transcontinental railroad (by many Chinese laborers) on May 10, 1869; and

WHEREAS, like America itself, the Asian American and Pacific Islander community draws strength from the diversity of its many distinct cultures – each with vibrant histories and unique perspectives to bring to our national life; and

WHEREAS, Asian Americans, Native Hawaiians, and Pacific Islanders have helped build, defend, and strengthen our Nation – as farm workers, railroad laborers, entrepreneurs, scientists, artists, activists, and leaders of government, going beyond, embodying the American spirit; and

WHEREAS, this month marks 145 years since the final spike was hammered into the transcontinental railroad, an achievement made possible by Chinese laborers, who did the majority of this back breaking and dangerous work; and

WHEREAS, generations of Asian Americans, Native Hawaiians and Pacific Islanders have helped make this country what it is today; and

WHEREAS, they have also faced a long history of injustice, from the overthrow of the Kingdom of Hawaii and its devastating impact on the history, language, and culture of Native Hawaiians; to opportunity-limiting laws like the Chinese Exclusion Act of 1882 and the Immigration Act of 1924; to internment of Japanese Americans during World War II, as their loved ones fought bravely abroad.

NOW THEREFORE, I, Randy P. Penn, Mayor of the City of Englewood, Colorado, hereby proclaim May 2014, as:

ASIAN AMERICAN AND PACIFIC ISLANDERS HERITAGE MONTH

in the City of Englewood, Colorado. I call the Englewood residents to learn more history of Asian Americans and Pacific Islanders and give recognition of the many contributions and achievements, and to observe this month with appropriate programs, ceremonies and activities.

GIVEN under my hand and seal this 19th day of May, 2014.

Randy P. Penn, Mayor
COUNCIL COMMUNICATION

Date: May 19, 2014
Agenda Item: 9 a i
Subject: A Bill for an Ordinance Adding Language to Title 5, Chapter 3D-3 (Definitions) of the Englewood Municipal Code Regarding Good Cause for Denying or Refusing the Renewal, Reinstatement, or Initial Medical Marijuana License Issuance

Initiated By: Finance and Administrative Services Department
Staff Source: Frank Gryglewicz, Director

COUNCIL GOAL AND PREVIOUS COUNCIL ACTION

City Council has discussed Medical Marijuana issues on many occasions. Council discussed this particular issue with staff at the Study Session on April 28, 2014. After discussing draft language to address issues regarding the denial of Medical Marijuana licenses for good cause, Council requested staff prepare a bill for an ordinance adding additional language to the Englewood Municipal Code to provide “good cause” to deny, renew, or reinstate licenses.

RECOMMENDED ACTION

Staff recommends Council approve the attached bill for an ordinance deleting and adding language to Title 5, Chapter 3D-3 (Definitions) of the Englewood Municipal Code regarding Good Cause for denying or refusing the Renewal, Reinstatement, or Initial Medical Marijuana License Issuance.

BACKGROUND, ANALYSIS, AND ALTERNATIVES IDENTIFIED

In November of 2000, voters in the State of Colorado passed Amendment 20 to the States Constitution legalizing limited amounts of medical marijuana for patients and their primary caregivers.

The City of Englewood added Chapter 3D, Medical Marijuana to the Code with the approval of Ordinance 27, Series of 2011 on May 20, 2011. The regulation of Medical Marijuana is constantly evolving as the City gains experience in administering the issuance of licenses as well as denial initial licenses, the denial of a renewal or a reinstatement of a licenses.

FINANCIAL IMPACT

This change to the Code is revenue neutral.

LIST OF ATTACHMENTS

Proposed bill for an ordinance
A BILL FOR

AN ORDINANCE AMENDING TITLE 5, CHAPTER 3(D), SECTION 3 OF THE ENGLEWOOD MUNICIPAL CODE 2000, PERTAINING TO THE STANDARD OF "GOOD CAUSE".

WHEREAS, the City of Englewood has an established moratorium of any new Medical Marijuana Centers, Manufacture Infused Products and Optional Premises Cultivation License applications; and

WHEREAS, during that moratorium the City Council has directed staff to develop appropriate recommendations to Council consistent with the Constitutional Amendment language and State regulations; and

WHEREAS, the moratorium terminates after October 7, 2014; and

WHEREAS, this ordinance modifies the definition of "Good Cause" to include evidence to support findings whether the public health, welfare, safety of the neighborhood and creates a new condition for refusal or denial of a license based upon impairment or adjacent conforming properties, or altering essential character of the neighborhood.

NOW, THEREFORE, BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF ENGLEWOOD, COLORADO, THAT:

Section 1. The City Council of the City of Englewood, Colorado hereby authorizes amending Title 5, Chapter 3(D), Section 3, entitled "Definitions" of the Englewood Municipal Code 2000, to read as follows:

Title 5-3D: Medical Marijuana.

5-3D-3: Definitions.

Good Cause: for purposes of refusing or denying a license renewal, reinstatement, or initial license issuance means:

1. The licensee or applicant has violated, does not meet, or has failed to comply with any of the terms, conditions, or provisions of Article 43.3 of Title 12 C.R.S., and rules promulgated pursuant to this Title, or any supplemental local law, rules, or regulations;
2. The licensee or applicant has failed to comply with any special terms or conditions that were placed on its license pursuant to an order of the State or Local Licensing Authority;

3. The licensed premises have been operated in a manner that adversely affects the public health, welfare or the safety of the immediate neighborhood in which the establishment is located. Evidence to support such a finding may include:
   a. A continuing pattern of offenses against the public peace, as defined in Title 7 of this Code.
   b. A continuing pattern of drug-related criminal conduct within the premises or in the immediate area.
   c. A continuing pattern of criminal conduct directly related to or arising from the facility.

4. The licensed premises will impair the use or development of adjacent conforming properties or alter the essential character of the neighborhood.

Section 2. Safety Clauses. The City Council hereby finds, determines, and declares that this Ordinance is promulgated under the general police power of the City of Englewood, that it is promulgated for the health, safety, and welfare of the public, and that this Ordinance is necessary for the preservation of health and safety and for the protection of public convenience and welfare. The City Council further determines that the Ordinance bears a rational relation to the proper legislative object sought to be obtained.

Section 3. Severability. If any clause, sentence, paragraph, or part of this Ordinance or the application thereof to any person or circumstances shall for any reason be adjudged by a court of competent jurisdiction invalid, such judgment shall not affect, impair or invalidate the remainder of this Ordinance or it application to other persons or circumstances.

Section 4. Inconsistent Ordinances. All other Ordinances or portions thereof inconsistent or conflicting with this Ordinance or any portion hereof are hereby repealed to the extent of such inconsistency or conflict.

Section 5. Effect of repeal or modification. The repeal or modification of any provision of the Code of the City of Englewood by this Ordinance shall not release, extinguish, alter, modify, or change in whole or in part any penalty, forfeiture, or liability, either civil or criminal, which shall have been incurred under such provision, and each provision shall be treated and held as still remaining in force for the purposes of sustaining any and all proper actions, suits, proceedings, and prosecutions for the enforcement of the penalty, forfeiture, or liability, as well as for the purpose of sustaining any judgment, decree, or order which can or may be rendered, entered, or made in such actions, suits, proceedings, or prosecutions.

Section 6. Penalty. The Penalty Provision of Section 1-4-1 EMC shall apply to each and every violation of this Ordinance.

Introduced, read in full, and passed on first reading on the 19th day of May, 2014.
Published by Title as a Bill for an Ordinance in the City’s official newspaper on the 23rd day of May, 2014.

Published as a Bill for an Ordinance on the City’s official website beginning on the 21st day of May, 2014 for thirty (30) days.

ATTEST:

Randy P. Penn, Mayor

Loucrishia A. Ellis, City Clerk

I, Loucrishia A. Ellis, City Clerk of the City of Englewood, Colorado, hereby certify that the above and foregoing is a true copy of a Bill for an Ordinance, introduced, read in full, and passed on first reading on the 19th day of May, 2014.

Loucrishia A. Ellis
COUNCIL COMMUNICATION

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<td>A Bill for an Ordinance Adding Language to Title 5, Chapter 3D-5 (Public Hearing Notice – Posting and Publication) of the Englewood Municipal Code</td>
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Initiated By: Finance and Administrative Services Department

Staff Source: Frank Gryglewicz, Director

COUNCIL GOAL AND PREVIOUS COUNCIL ACTION

City Council has discussed Medical Marijuana issues on many occasions. Council discussed this particular issue with staff at the Study Session on April 28, 2014. Medical Marijuana Centers are currently addressed in the Code. After discussing draft language to address issues regarding the addition of Medical Marijuana Optional Premises Cultivation and Medical Marijuana-Infused Product Manufacturer to 5-3D-5 and adding 5-3D-5-E, “Mailed Notice” to the Code, Council requested staff prepare a bill for an ordinance adding “Medical Marijuana Optional Premises Cultivation and Medical Marijuana-Infused Product Manufacturer” to 5-3D-A, of the Code.

Also, Council requested staff prepare a bill for an ordinance that would add language to the Code giving the Liquor and Medical Marijuana Licensing Authority the authority to set boundaries for notification as well as who will be mailed notification of hearings as well as when mailings must be sent in manner of liquor license hearings. The notification and mailing process will be for all types of Medical Marijuana establishments.

RECOMMENDED ACTION

Staff recommends Council approve the attached bill for an ordinance deleting and adding language to Title 5, Chapter 3D-5, Public Hearing Notice – Posting and Publication.

BACKGROUND, ANALYSIS, AND ALTERNATIVES IDENTIFIED

In November of 2000, voters in the State of Colorado passed Amendment 20 to the States Constitution legalizing limited amounts of medical marijuana for patients and their primary caregivers.

The City of Englewood added Chapter 3D, Medical Marijuana to the Code with the approval of Ordinance 27, Series of 2011 on May 20, 2011. The regulation of Medical Marijuana is constantly evolving as the City gains experience in administering the issuance of licenses.

This Bill for an Ordinance adds Medical Marijuana Optional Premises Cultivation and Medical Marijuana-Infused Product Manufacturer to 5-3D-5 and adding 5-3D-5-E, “Mailed Notice” to the Code. The addition of the “Mailed Notice” requires the City to provide written notice of the date, time and place of any scheduled hearing to the applicant. The applicant is required to provide written notice to occupants and property owners to a neighborhood as determined by the local licensing authority.
The notifications must be sent to owners of record from data obtained from the Arapahoe County Assessor's Office within 30 days of the required mailing date. The mailings must include the same information included in required signage.

The applicant is required to provide the mailing list to the City and certify the letters were mailed by the United States Postal Service ten days prior to the hearing.

**FINANCIAL IMPACT**

This change to the Code is revenue neutral.

**LIST OF ATTACHMENTS**

Proposed bill for an ordinance
AN ORDINANCE AMENDING TITLE 5, CHAPTER 3(D), SECTION 5 OF THE ENGLEWOOD MUNICIPAL CODE 2000, PERTAINING TO PUBLIC HEARING NOTICE – POSTING AND PUBLICATIONS.

WHEREAS, the City of Englewood has an established moratorium of any new Medical Marijuana Centers, Manufacture Infused Products and Optional Premises Cultivation License applications; and

WHEREAS, during that moratorium the City Council has directed staff to develop appropriate recommendations to Council consistent with the Constitutional Amendment language and State regulations; and

WHEREAS, the moratorium terminates after October 7, 2014; and

WHEREAS, the Englewood City Council received complaints concerning the methodology of posting; and

WHEREAS, the City Council desires to have the property posted in the same manner as zoning; and

WHEREAS, provisions have been modified to address signage on the adjoining street right-of-way as well as mailed notice; and

WHEREAS, the mailed notice provisions provide for mailing to a neighborhood as determined by the local licensing authority; and

WHEREAS, the language makes it clear that Medical Marijuana Optional Premises Cultivation and Medical Marijuana-Infused Product manufacturers are included in the public notice provisions together with Medical Marijuana Centers.

NOW, THEREFORE, BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF ENGLEWOOD, COLORADO, THAT:

Section 1. The City Council of the City of Englewood, Colorado hereby authorizes amending Title 5, Chapter 3(D), Section 5, entitled “Public Hearing Notice – Posting and Publication” of the Englewood Municipal Code 2000, to read as follows:

Title 5-3D: Medical Marijuana.
5-3D-5: Public Hearing Notice – Posting and Publication.

A. Upon receipt of an application for a Local License, except an application for renewal or for transfer of ownership, a Local Licensing Authority may schedule a public hearing upon the application, to be held not less than thirty (30) days after the date of the application. If the Local Licensing Authority schedules a hearing for a Medical Marijuana Center, Medical Marijuana Optional Premises Cultivation and Medical Marijuana-Infused Product Manufacturer Application, it shall post and publish public notice thereof not less than ten (10) days prior to the hearing. The Local Licensing Authority shall give public notice by the posting by the applicant of a sign in a conspicuous place on the Medical Marijuana Center, Medical Marijuana Optional Premises Cultivation and Medical Marijuana-Infused Product Manufacturer premises for which application has been made, by having the applicant mail a notice and by publication in a newspaper of general circulation or the City’s official website in the City in which the Medical Marijuana Center, Medical Marijuana Optional Premises Cultivation and Medical Marijuana-Infused Product Manufacturer Premises are located.

B. Public notice given by posting shall include a sign of suitable material, not less than twenty-two inches (22") wide and twenty-six inches (26") high, composed of letters not less than one inch (1") in height and stating the type of License applied for, the date of the application, the date of the hearing, the name and address of the applicant, and such other information as may be required to fully apprise the public of the nature of the application. The sign shall contain the names and addresses of the officers, directors, or manager of the facility to be licensed.

C. Public notice given by publication shall contain the same information as that required for signs.

D. If the building in which Medical Marijuana is to be sold, cultivated or manufactured is in existence at the time of the application, a sign posted as required in this Section shall be placed so as to be conspicuous and plainly visible to the general public from the adjoining street right-of-way. If the building is not constructed at the time of the application, the applicant shall post a sign at the premises upon which the building is to be constructed in such a manner that the notice shall be conspicuous and plainly visible to the general public from the adjoining street right-of-way.

E. Mailed Notice.

1. Mailed Notice to Applicant. The City shall give written notice of the date, time, and place of any scheduled hearing to the applicant either in person or by first class mail.

2. The applicant shall mail written notification of the hearing at least ten (10) days prior to the hearing to occupants and property owners within the neighborhood boundaries established by the Local Licensing Authority. Notification shall be sent to property owners of record from data available within thirty (30) days before the required mailing date from the Arapahoe County Assessor’s Office. Public notice given by mail shall contain the same information as that required for signs.

3. The applicant shall provide a mailing list to the City and certify that letters were mailed via the U.S. Postal Service to the listed addresses ten (10) days prior to the hearing.
E. F. Concurrent Review.

1. A Local Licensing Authority, the Local Licensing Official, or a License Applicant with Local Licensing Authority approval, may request that the State Licensing Authority conduct a concurrent review of a new License Application prior to the Local Licensing Authority's final approval of the License Application. Local Licensing Authorities who permit a concurrent review will continue to independently review the Applicant's License Application.

2. When conducting a concurrent application review, the State Licensing Authority may advise the Local Licensing Official and the Local Licensing Authority of any items that it finds that could result in the denial of the License Application. Upon correction of the noted discrepancies, if the correction is permitted by the State Licensing Authority, the State Licensing Authority shall notify the Local Licensing Authority of its conditional approval of the License Application subject to the final approval by the Local Licensing Authority. The State Licensing Authority shall then issue the Applicant's State License upon receiving evidence of final approval by the Local Licensing Authority.

3. All applications submitted for concurrent review shall be accompanied by all applicable State and Local License and Application Fees. Any applications that are later denied or withdrawn may allow for a refund of License Fees only. All Application Fees provided by an applicant shall be retained by the respective Licensing Authority.

Section 2. Safety Clauses. The City Council hereby finds, determines, and declares that this Ordinance is promulgated under the general police power of the City of Englewood, that it is promulgated for the health, safety, and welfare of the public, and that this Ordinance is necessary for the preservation of health and safety and for the protection of public convenience and welfare. The City Council further determines that the Ordinance bears a rational relation to the proper legislative object sought to be obtained.

Section 3. Severability. If any clause, sentence, paragraph, or part of this Ordinance or the application thereof to any person or circumstances shall for any reason be adjudged by a court of competent jurisdiction invalid, such judgment shall not affect, impair or invalidate the remainder of this Ordinance or it application to other persons or circumstances.

Section 4. Inconsistent Ordinances. All other Ordinances or portions thereof inconsistent or conflicting with this Ordinance or any portion hereof are hereby repealed to the extent of such inconsistency or conflict.

Section 5. Effect of repeal or modification. The repeal or modification of any provision of the Code of the City of Englewood by this Ordinance shall not release, extinguish, alter, modify, or change in whole or in part any penalty, forfeiture, or liability, either civil or criminal, which shall have been incurred under such provision, and each provision shall be treated and held as still remaining in force for the purposes of sustaining any and all proper actions, suits, proceedings, and prosecutions for the enforcement of the penalty, forfeiture, or liability, as well as for the purpose of sustaining any judgment, decree, or order which can or may be rendered, entered, or made in such actions, suits, proceedings, or prosecutions.
COUNCIL COMMUNICATION

Date:  
May 19, 2014

Agenda Item:  
9 a iii

Subject:  
Englewood Light Rail Corridor Next Steps Study
Intergovernmental Agreement (IGA) between the City of Englewood and the Regional Transportation District (RTD), and Intergovernmental (IGA) between the City of Englewood and the City of Sheridan

Initiated By:  
Community Development Department

Staff Source:  
John Voboril, Planner II

PREVIOUS COUNCIL ACTION

Council was informed about the opportunity to apply for a second round of light rail station area planning funding for “Next Step” studies at the July 8, 2013 Council study session. Council was briefed on the progress in developing an IGA between the City and RTD, as well as a separate agreement with the City of Sheridan allowing Sheridan to participate as a secondary partner.

RECOMMENDED ACTION

Staff recommends Council adopt a Bill for an Ordinance to authorize an IGA between the City of Englewood and RTD for the purpose of conducting the Englewood Light Rail Corridor Next Steps Study, and a separate IGA between the City of Englewood and City of Sheridan to allow the City of Sheridan to contribute financially and participate in the plan process as a secondary partner.

BACKGROUND AND ANALYSIS

The Englewood Light Rail Corridor Next Steps Study is intended to take a closer, more comprehensive look at various implementation projects identified in the Englewood Light Rail Corridor Station Area Master Plan.

The key project goals are described as follows:

• Provide a strategic road map of sequential actions which local governments can take to foster redevelopment as depicted in the vision of the Englewood Light Rail Corridor Station Area Master Plan.

• Advance the design of specific transportation improvements in a way that will maximize the potential for project funding and implementation through the DRCOG TIP process, as well as other direct federal grant opportunities.

• Comply with and address all of the relevant points articulated within the criteria described by the DRCOG Station Area/Urban Center Studies Eligibility Criteria and the RTD TOD Policy.
The study will be comprised of the following elements:

- Project Kickoff: Agency Coordination And Public Involvement Plan
- Real Estate Development Feasibility Analysis and Marketing/Implementation Strategy
- Englewood Transportation Improvements: Alternatives Development, Design, and Evaluation
- Sheridan Transportation Improvements: Alternatives Development, Design, and Evaluation
- Floyd Avenue/Englewood Parkway Extension and Bus Transfer/Piazza Redesign Planning and Environmental Linkages (PEL) Study

FINANCIAL IMPACT

The City of Englewood’s matching fund contribution of $40,000 is included in the 2014 capital project budget. The City is also contributing an in-kind match of $10,000 in City project management staff time. The City of Sheridan’s matching fund contribution of $10,000 will be transferred to the City of Englewood for the purposes of grant administration.

ATTACHMENTS

Proposed Bill for an Ordinance
A BILL FOR

AN ORDINANCE AUTHORIZING AN INTERGOVERNMENTAL AGREEMENT BETWEEN THE REGIONAL TRANSPORTATION DISTRICT (RTD) AND THE CITY OF ENGLEWOOD PERTAINING TO THE ENGLEWOOD LIGHT RAIL CORRIDOR NEXT STEPS STUDY AND AN INTERGOVERNMENTAL AGREEMENT ENGLEWOOD LIGHT RAIL CORRIDOR NEXT STEPS STUDY BETWEEN THE CITY OF SHERIDAN AND ENGLEWOOD, COLORADO.

WHEREAS, the Englewood City Council was informed about the opportunity to apply for a second round of light rail station area planning funding for “Next Step” studies in 2013; and

WHEREAS, the Englewood City Council was briefed on the progress in developing an intergovernmental and intergovernmental agreement between Englewood and RTD, an Intergovernmental Agreement with the City of Sheridan allowing Sheridan to participate as a secondary partner, and the details of the study itself at the April 21, 2014 Council Study Session

WHEREAS, the Englewood Light Rail Corridor Next Steps Study is intended to take a closer, more comprehensive look at various implementation projects identified in the Englewood Light Rail Corridor Station Area Master Plan; and

WHEREAS, the key project goals are described as follows:

- Provide a strategic road map of sequential actions local governments can take to foster redevelopment as depicted in the vision of the Englewood Light Rail Corridor Station Area Master Plan.
- Advance the design of specific transportation improvements in a way that will maximize the potential for project funding and implementation through the DRCOG TIP process, as well as other direct federal grant opportunities.
- Comply with the address all of the relevant points articulated within the criteria described by the DRCOG Station Area/Urban Center Studies Eligibility Criteria and the RTD TOD Policy.

WHEREAS, the study will be comprised of the following elements:

- Project Kickoff: Agency Coordination and Public Involvement Plan.
• Floyd Avenue/Englewood Parkway Extension and Bus Transfer/Piazza Redesign Planning and Environmental Linkages (PEL) Study.

WHEREAS, the City of Englewood matching fund contribution of $40,000 is included in the 2014 capital project budget plus $10,000 in staff time; and

WHEREAS, the IGA between the City of Sheridan and the City of Englewood will allow Sheridan to contribute financially and participate in the plan process as a secondary partner; and

WHEREAS, the City of Sheridan matching fund contribution of $10,000 will be transferred to the City of Englewood for the purposes of grant administration; and

WHEREAS, federal funds will be used for this project.

NOW, THEREFORE, BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF ENGLEWOOD, COLORADO, THAT:

Section 1. The City Council of the City of Englewood hereby authorizes an intergovernmental agreement entitled “Station Area Master Plan: Englewood Light Rail Corridor Next Steps Study City of Englewood, Colorado” attached hereto as Exhibit A.

Section 2. The City Council of the City of Englewood hereby authorizes and intergovernmental agreement between the City of Sheridan, Colorado and the City of Englewood entitled “Intergovernmental Agreement Englewood Light Rail Corridor Next Steps Study” attached hereto as Exhibit B.

Section 3. The Mayor and the City Clerk are hereby authorized to sign and attest said Intergovernmental Agreements on behalf of the City of Englewood.

Introduced, read in full, and passed on first reading on the 19th day of May, 2014.

Published by Title as a Bill for an Ordinance in the City’s official newspaper on the 23rd day of May, 2014.

Published as a Bill for an Ordinance on the City’s official website beginning on the 21st day of May, 2014 for thirty (30) days.

ATTEST:

Randy P. Penn, Mayor

Loucrishia A. Ellis, City Clerk
INTERGOVERNMENTAL AGREEMENT

by and between

CITY OF ENGLEWOOD
1000 Englewood Parkway
Englewood, CO 80110

and

REGIONAL TRANSPORTATION DISTRICT
1600 Blake Street
Denver, Colorado 80202

This Intergovernmental Agreement, made this ___ day of ________, 2014 (the Agreement), between the Regional Transportation District (RTD), a political subdivision of the State of Colorado, and City of Englewood, a Colorado home rule municipality (City), collectively referred to as the “Parties” or individually as “Party”, is to provide funding assistance for the development of a Station Area Master Plan Next Steps Study (Plan) for the area designated as the Bates, Englewood, and Oxford Station areas located adjacent to the Southwest Light Rail Transit Line. The project area is identified in Exhibit A.

RECITALS:

The context for this Agreement is established in the Denver Regional Council of Governments (DRCOG) FY14-15 Station Area/Urban Center Studies Eligibility & Evaluation Criteria, attached hereto as Exhibit B, and the RTD TOO Policy dated September 21, 2010, attached hereto as Exhibit C.

This Plan needs to be practical, feasible, and satisfy the following key objectives:

- Provides a strategic road map of sequential actions local governments can take to foster redevelopment as depicted in the vision of the Englewood Light Rail Corridor Plan.
- Advances the design of specific transportation improvements in a way that will maximize the potential for project funding and implementation through the DRCOG TIP process, as well as other direct federal grant opportunities.
- Complies with and addresses all of the relevant points articulated within the criteria described by the DRCOG Station Area/Urban Center Studies Eligibility Criteria and the RTD TOD Policy.

Generally, the Parties wish to promote regional sustainability by contributing to transit oriented development sites that collectively will reduce regional per capita vehicle miles traveled, air pollution, greenhouse gas emissions, and water consumption.

49 U.S.C. §5307 (Section 5307), provides funding for federal grants to assist states and local governmental authorities in financing capital and planning projects, job access and reverse
commute projects, associated transit improvements, and certain operating costs. See generally Federal Transit Administration (FTA) Circular 9030.1E (effective 1/16/14). The FTA has designated RTD as a recipient for Section 5307 funds. DRCOG has managed the competitive process for the award of Section 5307 funds to eligible subrecipients including the City. The City has agreed to receive Section 5307 funds for fiscal year 2014 to provide Section 5307 eligible services pursuant to this Agreement. The City is a public entity otherwise eligible to become a direct recipient under Section 5307. The Plan is an eligible project under Section 5307 and FTA Circular 9030.1E.

As the Designated Recipient for Section 5307 funds, RTD is responsible for submitting a grant application to the FTA, contracting with Subrecipients for projects selected through DRCOG’s competitive selection process, and ensuring that Subrecipients comply with FTA requirements. RTD and the City therefore desire to enter into this Agreement for RTD to pass through Section 5307 funding to the City as Subrecipient, and for the City to use such funding in full and complete accordance with all federal requirements and all other provisions of this Agreement, and with full, timely and accurate accounting and reporting by the City of such use.

NOW, THEREFORE, it is hereby agreed that:

1. **Recitals, Exhibits.** The Recitals set forth above and all exhibits attached hereto are incorporated herein by this reference.

2. **Funding.** Funding for the development of the Plan shall be provided through a Congestion Mitigation and Air Quality (CMAQ) grant (Grant) from the Federal Highway Administration (FHWA) through the FTA and administered by RTD. It is anticipated that the Grant available to RTD for the development of the Plan will be Two Hundred and Forty Thousand Dollars ($240,000). In no event shall RTD be responsible for payment of funds for the development of the Plan in any amount greater than that received through the Grant. In no event shall federal funding exceed 80 percent of the net project cost. If the amount of Grant funds received by RTD is less than Two Hundred Forty Thousand Dollars ($240,000), the City may, at its discretion, (i) pay additional local match funds; (ii) reduce the scope of work for the development of the Plan; or (iii) terminate the Plan and this Agreement as set forth below. Unless the City determines to expend additional funds for the development of the Plan, the City shall contribute Fifty Thousand Dollars ($50,000) in local match funds for the Plan, plus Ten Thousand Dollars ($10,000) of in-kind project management billable hours. All local match funds must be provided from sources other than federal Department of Transportation (DOT) funds. Any additional funds required for the development of the Plan over and above the Grant funds received by RTD and committed local match funds shall be the responsibility of the City. The City shall use the funds solely for eligible purposes defined under Section 5307 and FTA Circular 9030.1E, as they may be amended, promulgated or updated from time to time during the term of this Agreement.

Englewood Light Rail Corridor Next Steps Study Project Funding Summary:

<table>
<thead>
<tr>
<th>Funding Source</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Federal Grant Share</td>
<td>$ 240,000</td>
</tr>
<tr>
<td>City Local Match Share</td>
<td>$ 50,000</td>
</tr>
<tr>
<td>City Local In-Kind Project Management Share</td>
<td>$ 10,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$ 300,000</strong></td>
</tr>
</tbody>
</table>
3. **City Local In-Kind Project Management Share Accounting.** The City Project Manager will track hours spent managing the project calculated by the City Project Manager's hourly salary and benefit rate of $42.90 per hour, in order to account for the City Local In-Kind Project Management Share contribution of Ten Thousand Dollars ($10,000) to the Project.

4. **Project Accounting.** Expenditure of funds from the Grant will be documented separately by the City and Consultant (as defined in Section 5) to ensure dollars spent coincide with task deliverables assignable to each funding source.

5. **Scope of Work.** The scope of work (Scope) and cost for the development of the Plan are shown in Exhibit D. No changes to the Scope shall be made without prior written agreement between the Parties.

6. **Consultant.** The City shall issue a Request for Proposals to engage one or more consultants (Consultant) to develop the Plan. The City shall choose the Consultant after considering the recommendation of a committee consisting of representatives from the Parties. (Committee). The Parties shall each be entitled to review the form of Consultant's contract prior to award, and RTD shall advise the City of changes necessary to comply with the Grant or other RTD requirements, including but not limited to required contract clauses for federally assisted subcontracts and third party contracts as shown in Exhibit E. Compliance by City, Consultant and any other Plan contractors and subcontractors with RTD required contract clauses for federally assisted subcontracts and third party subcontracts, and other requested changes by RTD, shall be a condition of receipt of Grant funding through RTD for the development of the Plan. The City and Consultant shall be the parties to the consulting contract; and the City, as the contracting agency, shall have authority for administration of the Consultant's contract.

7. **Review.** The City shall manage all work performed by any Consultant for the development of the Plan. RTD shall have the opportunity to review and comment upon all documents, drawings, exhibits, etc., produced by the Consultant as part of the Plan, including preliminary drafts. RTD shall withhold payment of the last ten percent (10%) of the Grant funding until it has had an opportunity to provide comments on the final draft of the Plan, prior to adoption by the City. Any property or information provided by RTD for the Plan remains the property of RTD and shall be returned to RTD upon completion of the development of the Plan. RTD shall be entitled to receive electronic copies of all reports, drawings, data, and other material produced or collected in electronic format by the Consultant at no additional cost.

8. **Meetings.** RTD shall have the right to attend and shall receive notice of all formal meetings with the Consultant not less than forty-eight (48) hours in advance. RTD shall not give direction to the Consultant but shall submit all comments on the Consultant's work through the City.

9. **Reporting Requirements.** RTD shall be responsible for all Grant reporting for the development of the Plan. The City shall cooperate with RTD in providing information required by RTD for Grant reporting, and shall also require its Consultant and any other Plan contractors and subcontractors to provide such cooperation with RTD. The City shall be responsible for providing data to support the calculation of air quality benefits derived from the Plan which is required as part of the federal CMAQ process. The methodology for the data collection on the air quality benefits will be provided by RTD in
sufficient time in advance of the reporting deadline to allow the City to prepare the data for submission.

10. **Invoices.** The City shall invoice RTD for Consultant's work up to a maximum amount of Two Hundred and Forty Thousand Dollars ($240,000) (if the Grant is in that amount as anticipated; otherwise up to the actual Grant amount). Such invoices shall only be for verified, eligible expenses consistent with the Grant award. City invoices may be submitted to RTD on a monthly basis effective June 1, 2014. Such invoices shall include the Consultant's invoice and other available background information regarding the work being invoiced. RTD shall reimburse the City only for actual Consultant work. Prior to utilizing the value of City staff time to meet the local match requirements contained herein, RTD shall review and approve the methodology for calculation of such utilization. RTD shall pay all approved invoices within thirty (30) days of receipt. If RTD disputes any invoice or portion thereof, it shall provide written notice to the City of the dispute within fourteen (14) calendar days of receipt of the invoice; otherwise the invoice is deemed to be approved by RTD. RTD shall not be liable for any financial contribution to the Plan funded pursuant to this IGA other than as set forth herein, unless previously authorized in writing. RTD shall not be responsible for paying Consultant bills directly.

11. **Civil Rights Small Business Office.**

   a. It shall be the responsibility of the Parties to ensure that the compliance and implementation of Disadvantaged Business Enterprise (DBE) requirements are in accordance with 49 CFR Part 26 and RTD's FTA approved DBE Plan and Program. RTD shall be responsible for administering its own DBE program to set and monitor compliance with the goals on this project.

   b. The RTD Small Business Office (SBO) has established a DBE goal of Twelve Percent (12%) of the total Agreement amount for this project, for a total of Thirty-Six Thousand Dollars ($36,000).

   c. It shall be the responsibility of the City to provide a DBE Liaison (Liaison) for the RTD Small Business Office which can be a collateral duty. The Liaison will be responsible for contact information, submittals, invoicing/payment information, federal reporting information and interfacing with the SBO to address various issues or concerns related to compliance with the DBE Program requirements.

   d. It shall be the responsibility of the City to provide RTD's Small Business Opportunity Office with a copy of all proposals received in response to the Request for Proposals at least two weeks in advance of selection of the successful Consultant.

   e. It shall be the responsibility of the City to include the RTD Attachment A, included herewith as Exhibit F, in the RFP and in all executed contracts for Consultant services. The proposers must complete and submit all forms to the City for the City to return to RTD's Small Business Office. All forms from the Attachment A must be submitted to the Small Business Office prior to execution of the Consultant contract to ensure compliance with regard to RTD's DBE Plan and Program. Failure to submit completed forms may result in a proposer being deemed non-responsive. The prime Consultant must provide documented proof of good faith efforts using the RTD Small Business Office documentation process should it be unable to meet the DBE goal.
f. Immediately upon execution of the Consultant contract, the City shall provide a copy of the contract to RTD's Small Business Office. It shall be the responsibility of the City's DBE Liaison to ensure that RTD's Small Business Office reviews all amendments and change orders prior to their execution.

g. The selected proposer must submit to the City's DBE Liaison Officer, a copy of all DBE subcontracts and/or purchase orders within thirty (30) days of Notice to Proceed. Under no circumstances shall a DBE begin work without an executed subcontract or purchase order.

h. No DBE shall be replaced, removed, substituted or terminated without good cause as set forth in 49 CFR Part 26.53 (f) and pre-approval by RTD's SBO. This includes reductions to scopes of services and/or subcontract values.

i. RTD's Small Business Office will directly contact the Prime Consultant and Sub-consultants for compliance monitoring, reviews and/or auditing purposes.

j. The City will withhold payment from the Prime Consultant for non-compliance with the DBE Program requirements as directed by RTD's Small Business Office.

12. **Plan Recommendations.** The Parties acknowledge this Agreement is for the development of the Plan only. The Parties commit that they will make reasonable efforts to secure approvals from their respective governing bodies to implement needed infrastructure improvements within their capital improvements program; adopt appropriate zoning code, master plan and other regulatory changes; and incorporate Plan recommendations into local ordinances, regulations or requirements governing development of the Plan area. Nothing herein commits either governing body to grant such approvals, and nothing herein commits either Party to fund any improvements identified in the Plan or any other adopted plans.

13. **Third Parties.** No person or entity not a party to this Agreement shall have rights hereunder.

14. **Conflicts.** No officer, member, or employee of RTD or the City, no members of the respective governing bodies of RTD or the City, and no other public officials or employees of RTD or the City during his or her tenure, or for one year thereafter, shall have any personal interest, direct or indirect, in any solicitation for services made pursuant to this Agreement or the proceeds thereof.

15. **Termination: Suspension of Work.** This Agreement may be terminated for any of the following reasons:

a. **Funds not Available.** In the event that Grant funds required for funding of this Agreement are not made available, this Agreement shall terminate unless the City elects to pay additional local match funds or reduce the Scope of Work for development of the Plan as set forth above. Whether or not Grant funds are available, or whether or not City local match funds are sufficient to pay for the Plan costs, RTD is under no obligation to provide any funds for the Plan other than Grant funds actually received by RTD.

b. **Termination for Mutual Convenience.** The Parties may terminate this Agreement and terminate the development of the Plan if both Parties agree in writing that the
continued development of the Plan would not produce beneficial results commensurate with the further expenditure of funds.

c. **Termination of Contract for Cause.** If through any cause, either Party should fail to fulfill in a timely and proper manner its obligations under this Agreement, or violate any of the covenants, agreements, or stipulations of this Agreement, the other Party has the right to terminate this Agreement by giving written notice of its intent to terminate. Said notice shall be delivered to the notified Party a minimum of seven (7) days in advance of the date set for termination. The notified Party shall have five (5) days after receipt of said notice of intent to terminate to respond with a proposal to cure the failure or violation. Approval of the proposal shall not be unreasonably withheld. This Agreement shall not so terminate if the proposal is accepted and the failure or violation is fully cured within a thirty (30)-day period after receipt of said notice of intent to terminate.

d. **RTD's Right to Terminate Contract for Convenience or Default.** RTD shall also have the right to terminate this Agreement for convenience or default, and the right to suspend the work, in accordance with provision FTA 8, Termination, of the FTA contract provisions attached as Exhibit E.

e. **City's Right to Terminate Contract for Convenience.** The City shall also have the right to terminate this Agreement for convenience by giving fourteen (14) calendar days written notice to RTD.

f. In the event this Agreement is terminated, RTD shall pay the City for all work previously authorized and satisfactorily performed up to and including the date of receipt by the City of the termination notice. If, however, the City has substantially or materially breached the standards and terms of this Agreement, RTD shall have any remedy or right of set-off available at law and equity.

16. **Compliance with Federal Grant Requirements.** The Parties acknowledge that development of the Plan will be partially federally funded. This Agreement and all subgrants, third party contracts and subcontracts are therefore subject to the FTA Master Agreement and all other applicable federal transit regulations, and all subgrants, third party contracts, and subcontracts must include as flow down provisions the FTA contract provisions attached as Exhibit E.

a. City shall at all times comply with all applicable FTA regulations, policies, procedures, reporting requirements, and directives, including without limitation those in FTA Circular 9070.1F, 49 C.F.R. part 18, and those listed directly or by reference in the current Master Agreement between RTD and FTA, as they may be amended or promulgated from time to time during the term of this Agreement. In addition to all such requirements imposed directly upon City, those requirements imposed upon RTD as a grantee or recipient are also hereby imposed upon City, and those rights reserved by DOT, FTA or any other applicable agency are hereby reserved by RTD. City's failure to comply with any and all such requirements shall constitute a material breach of this Agreement. City may contact either RTD or FTA for a copy of the current FTA Master Agreement.

b. Without limiting the foregoing, the following are specifically incorporated herein by this reference and shall govern this Agreement: (i) 49 CFR Part 18, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State
and Local Governments"; (ii) 49 CFR Part 19, "Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations" (parts 18 and 19 are collectively known as the "common rule" or "common grant rule"); (iii) FTA Circular 9030.1E, Urbanized Area Formula Program: Program Guidance and Application Instructions; (iv) FTA Circular 5010.D, Grants Management – General; and (v) FTA Master Agreement. Those requirements imposed upon RTD as a grantee or recipient are hereby imposed upon City to the fullest extent permitted by law, and those rights reserved by DOT, FTA or any other applicable agency are hereby reserved by RTD.

c. All DOT-required contractual provisions as stated in FTA Circular 4220.1F are hereby incorporated by reference. City will adhere to FTA’s third-party procurement requirements as set out in FTA Circular 4220.1F and shall include contractual provisions as stated in FTA Circular 4220.1F in contracts funded in whole or in part by this Agreement for all such contracts as specified in FTA Circular 4220.1F. The incorporation of FTA-required terms has unlimited flow down.

d. All FTA-mandated terms will be deemed to control in the event of a conflict with other provisions contained in this Agreement. City shall not perform any act, fail to perform any act, or refuse to comply with any RTD requests which would cause RTD to be in violation of the FTA terms and conditions.

e. City shall not assign, transfer, or convey this Agreement, or any part thereof, without the prior written consent of RTD.

f. The Federal Certifications and Assurances applicable to this Agreement are attached and fully incorporated by reference herein as Exhibit G. Such certifications, assurances and terms are subject to updating by FTA; City shall timely provide and comply with any additional FTA-required certifications and assurances. City shall comply with all applicable requirements of such certifications, assurances and terms, and shall extend and require its contractors to extend all such requirements to each of City's contractors, subcontractors, and any other third party participants whose work is funded in whole or in part by the Grant.

17. **Audits.** RTD, FHWA, FTA, or any auditor or contractor acting on their behalf shall have the right to audit the City's books and records and the books and records of the Consultant(s) performing the work for the Plan, and the contracts awarded for this Plan shall provide that RTD, FHWA and/or FTA shall have the right to audit the Consultant's and all of Consultant's subcontractors' books and records as they pertain to the development of the Plan for a period of three (3) years from the date of completion of the Consultant's work to develop the Plan.

18. **Merger.** This Agreement represents the entire agreement between the Parties and may be amended only in writing, signed by the Parties.

19. **Disputes.** Disputes shall initially be resolved by the Party Liaisons defined as: (i) first, RTD's Assistant General Manager for Planning and Development and the City's Community Development Director and (ii) second, RTD's General Manager and the City Manager if the Party Liaisons set forth in subsection (i) above are unable to resolve the
dispute. If none of the Party Liaisons are able to resolve the dispute, they shall agree to an impartial mediator to resolve the dispute.

20. **Notices.** All contacts, communications, and data required to be performed or exchanged pursuant to this Agreement will be sent to the following persons or their successors designated in writing:

For RTD:

Bill Sirolis  
Manager of Transit Oriented Development  
Regional Transportation District  
1560 Broadway, Suite 700  
Denver, Colorado 80202

For the City of Englewood:

Alan White  
Community Development Director  
City of Englewood  
1000 Englewood Parkway  
Englewood, CO 80110

21. **Term.** This Agreement shall become effective upon the date of execution and will terminate upon completion and final acceptance of the Plan by the City, unless sooner terminated as provided in section 14.

22. **Further Cooperation.** The Parties agree that they will cooperate with one another in accomplishing the terms, conditions, and provisions of this Agreement, and will execute such additional documents as necessary to effectuate the same.

23. **No Joint Venture.** Nothing contained in this Agreement is intended to create a partnership, joint venture or joint enterprise between the Parties, and any implication to the contrary is hereby disavowed. This Agreement does not authorize any Party hereto to act as an agent of the other Party hereto for any purpose.
IN WITNESS WHEREOF, the Parties hereto have executed this Agreement on the ___ day of _____________________, 2014.

REGIONAL TRANSPORTATION DISTRICT

By: ________________________________
Phillip A. Washington
General Manager

Approved as to legal form for the Regional Transportation District:

____________________________
Rolf G. Asphaug
Deputy General Counsel

CITY OF ENGLEWOOD

By: ________________________________
Randy P. Penn
City Mayor

ATTEST:

____________________________
Loucrishia Ellis, City Clerk
Exhibit A – Project Area Maps
Exhibit A – Englewood Light Rail Corridor Plan
Preferred Development Scenario and Fundamental Concept Maps
Exhibit B – DRCOG FY14-15 Station Area/Urban Center Studies Eligibility & Evaluation Criteria
Station Area Master Plans or Urban Center Studies further implementation of the Tier 1 Base Rapid Transit System (Figure 16: 2035 RTP) at existing or future rapid transit station locations OR further implementation of urban centers identified in the Metro Vision 2035 plan. Such studies include the four types of planning studies described below. Sponsors are limited to two studies per fiscal year (i.e. each sponsor could have as many as two studies in FY14 and two studies in FY15).

1.) Corridor-wide studies focusing on:
- Maximizing multi-modal connectivity within transit corridors (including high frequency bus corridors that serve one or more urban centers – high frequency bus corridors have headways of 15 minutes or less) and at individual station areas/urban centers along the corridor
- Identifying barriers to station area development and increased transit use along the corridor – barriers could include current land use, zoning and development standards; parking availability and cost; inadequate supportive infrastructure, etc.
- Creating corridor-wide implementation strategies and/or an action plan identifying such things as needed plan updates, code revisions, and financial or regulatory incentive
- Corridor-wide studies must involve all the local jurisdictions and other major stakeholders along the corridor

2.) Creation and adoption of an “original” or updated station area master plan or urban center study. The scope for such a plan/study must include:

Stakeholder Engagement
- Outreach and engagement process that promotes the involvement of stakeholders in the study area, with efforts and accommodations made to include low to moderate income, minority, and elderly or disabled citizens.
- Active involvement by DRCOG, any relevant transit agency, and the public in the development of the plan.

Placemaking
- Identification (map) of type and density of future land uses, including public spaces
- Internal circulation plan(s) (maps or graphics) for motor vehicles, transit, bicycle and pedestrian and strategies to increase multi-modal connections with the larger region
- Identifying barriers (e.g. parking, zoning, infrastructure, etc.) to station area and/or urban center development
- Detailed development strategies that allow people of all ages, incomes and abilities the opportunity to access a range of housing, employment, and services
- A market or fiscal feasibility analysis that assesses plan recommendations and ensures the proposed plan is realistic and/or efforts to market the area to the development community in cases where a traditional market might not yet exist

Action Plan and Implementation Strategies
A clear and realistic action plan to address key findings, including identification of necessary policy or regulatory changes (e.g. comprehensive plan, zoning, etc.); infrastructure improvements, and housing strategies.

An implementation strategy that describes the organizational structure and process that will be used to ensure the action plan is implemented.

Assessment and Impacts

- Indicators or metrics related to key strategies (e.g. housing affordability, multi-modal connectivity, leveraging private investment, environmental quality, etc.)
- Identification of the transportation impacts and air quality benefits of the proposed plan
- Current and future population, housing units, and employment estimates to the year 2040 (in five-year increments), including distribution of planned housing units by type and square feet of future non-residential development

3.) Additional “Next Step” plans/studies to further the development of the area if a station area master plan or urban center study was previously developed and adopted. Such plans/studies are only eligible if they:
- Are for planning activities that are clearly and unambiguously related to transportation infrastructure for use by the general public, AND
- Are for planning/design activities that do not conflict with any relevant transit agency's planning/design activities as demonstrated by a letter of concurrence from the agency.

Next Step studies should be identified in an existing plan for the area and must further the existing plan – potential Next Step projects could include:

- Parking management studies
- Access management plans
- Corridor redevelopment plans
- Design studies and concepts for multi-modal infrastructure projects
- Street design standards/manuals
- Regional multi-use trail feasibility study
- Multi-use Trail/Bike Facilities plan
- Urban design and development guidelines
- Targeting housing strategies (e.g. to facilitate jobs-housing balance, affordable housing, etc.)
- Comprehensive wayfinding plans and strategies
- Traffic circulation studies (including traffic simulation model development)
- First/Last-mile mobility implementation, financing, partnership studies
- Transit circulator feasibility
- Transportation demand management studies and implementation activities

4.) Area Planning and Implementation Activities

Area Implementation Activities will promote innovative planning activities that can be replicated throughout the Denver region. Eligible projects will include multiple jurisdictions, station areas and urban centers aiming to study a common issue while focusing on local context and implementation strategies – the projects could include:

- Electric or natural gas-fueled vehicles facility planning
- Parking management planning and strategies
• Development and TOD financing strategies
• Workforce and affordable housing tools
• First/last-mile mobility implementation and financing studies

**FY 14-15 Station Area/Urban Centers Studies - Evaluation Criteria**

*Metro Vision* establishes the importance of urban centers in transit station areas in the region’s efforts to reach regional goals and describes a desired future that includes healthy, livable communities connected by a robust multi-modal transportation network. These communities will have high levels of internal connectivity and be well-connected to the region at large. Additionally, they will support housing suitable for a wide range of incomes and the full spectrum of life stages; and use innovative planning, zoning and urban design strategies to promote higher density, mixed-use development, and transportation options.

DRCOG staff will determine eligibility based on the Project Eligibility Rules. The following evaluation criteria will be applied to all eligible submittals.

**Project Evaluation – Regional Priorities**

DRCOG staff will conduct an evaluation to identify priority projects in each eligible study type (i.e. corridor-wide, original studies, next steps, and area planning and implementation activities). A second evaluation (Project Impact) will also be conducted as described below. Regional priorities for studies are as follows:

1. **Corridor-wide studies:** Priority will be given to existing transit corridors and corridors included in the Tier 1 Base Rapid Transit System (Figure 16: 2035 RTP) that are not receiving corridor planning funds through the region’s Sustainable Communities Initiative (SCI). Planned transit corridors included in the Tier 1 Base Rapid Transit System that are not receiving SCI corridor planning funds include:
   - I-225 LRT Corridor
   - North Metro Rail Line
   - Southeast Rail Extension
   - Southwest Rail Extension
   - Central Corridor Extension

2. **“Original” or major updates to Urban Center/Station Area Plans:**
   - Proposed study areas include a rapid transit station and include an urban center designated in Metro Vision will be given priority.
   - Urban centers designated as “existing” or “emerging” will be prioritized over “planned” urban centers.

3. **Next Steps Studies**
   - Next steps studies that support completed station area plans for stations along the Tier 1 Base Rapid Transit System will be given priority.
4. Area Planning and Implementation Activities

- Studies, plans, tools plans or programs that directly advance Metro Vision, including RTP, policies (e.g. Urban Centers and Transportation policies) through regional/multi-jurisdictional planning and implementation will be given priority.

Project Evaluation – Project Impact
In addition to the Regional Priorities Evaluation a second evaluation criteria will be applied to proposed, eligible projects. Proposals will be evaluated by a project recommendation committee comprised of DRCOG staff, selected regional stakeholders with a variety of interests and expertise (e.g. transportation, design, environment, housing, etc.), RTD and local governments that have previously received funds, but are not seeking funds in FY14 or FY15. The committee will submit recommendations to the appropriate DRCOG committees and Board of Directors. Recommendations will reflect the regional priority evaluation described above and the project impact criteria described below.

Study Need (20%) - Application will include an issue statement that clearly identifies the local/regional need of the study along with the desired outcomes.

Potential of Study Area to Contribute to the vision, goals and policies embodied in Metro Vision (60%), including:
- Be active, pedestrian-, bicycle-, and transit-friendly places that are more dense and mixed in use than surrounding areas
- Promote regional sustainability by reducing per capita VMT, air pollution and greenhouse gas emissions
- Provide reliable mobility choices to all users: residents and visitors of all ages, incomes and abilities, as well as businesses that provide services and produce or sell goods.

Local Commitment and Ability to Implement (10% - proposed) – Urban Center/Station Area studies are the first step in a larger commitment to implement the plan and create positive changes at the local level that contribute to regional goals. Applicants will describe prior activities in support of quality growth projects in the study area as well as the sponsor’s ability to successfully complete the project in a timely fashion while involving project area stakeholders. Sponsor overmatch will also be considered.

Innovation and Feasibility (10% - proposed) – Proposed studies will be evaluated on project applicability, feasibility and innovation. Project evaluation will focus on:
- Innovation in project scope
- Practicality/feasibility of scope of work and budget
- Coordination with other local governments, organizations, and non-profits
- Applicability and transferability of project outcomes locally and regionally
Exhibit C – RTD TOD Policy
Exhibit C

RTD TOD Policy

Policy Adoption

The RTD Board of Directors passed and adopted the following Transit Oriented Development Policy on the 18th day of April 2006 (amended September 16, 2008 and September 21, 2010) as the framework to support TOD planning and development at existing and future stations throughout the district.

Definition of TOD

While TOD can have many physical forms, it generally includes the following design principles:

- More compact and dense development within a 5- to 10-minute walk around transit facilities compared to existing development patterns in the same area;
- A mix of uses—either horizontal or vertical—usually including residential, retail, and office employment;
- High-quality, pedestrian-oriented urban design and streetscapes.

By focusing compact development around transit stations, TOD capitalizes on the value of public infrastructure investments and promotes sustainability. These development synergies promote increased transit ridership and an integrated station environment with more passenger amenities. In addition to increased ridership and more passenger amenities, TOD is also a successful tool for promoting local economic development, helping communities plan for sustainable growth, and increasing the overall quality of life in a region.

Basis for TOD Policy

TOD's ability to increase transit usage while achieving valuable ancillary benefits for the region means that it plays a crucial role in fulfilling RTD's organizational mission: "To meet our constituents' present and future public transit needs by offering safe, clean, reliable, courteous, accessible and cost-effective service throughout the district."

RTD's mission is to provide transit service, and RTD recognizes that other public agencies and private developers are responsible for the region's built environment. However, RTD believes that increased coordination among public and private organizations in promoting TOD through land use planning, zoning, and the development process will result in higher-quality, sustainable communities that meet the varying objectives of all parties.

The Federal government has provided direction by recognizing livable communities and the importance of partnerships through the Partnership for Sustainable Communities, which includes the Department of Transportation (DOT), the Environmental Protection Agency (EPA), and the Department of Housing and Urban Development (HUD). The mission of the Partnership for Sustainable Communities is to provide citizens with access to affordable housing, more transportation options, and lower transportation costs, while protecting the environment in communities nationwide. Specifically, the Partnership for Sustainable Communities identified the following guiding principles in a June 16th, 2009 joint press release from DOT, EPA and HUD:

1. **Provide more transportation choices:** Develop safe, reliable and economical transportation choices to decrease household transportation costs, reduce our nation's
dependence on foreign oil, improve air quality, reduce greenhouse gas emissions and promote public health.

2. **Promote equitable and affordable housing**: Expand location- and energy-efficient housing choices for people of all ages, incomes, races and ethnicities to increase mobility and lower the combined cost of housing and transportation.

3. **Enhance economic competitiveness**: Improve economic competitiveness through reliable and timely access to employment centers, educational opportunities, services and other basic needs by workers as well as expanded business access to markets.

4. **Target resources to existing communities**: Target federal funding toward existing communities through such strategies as transit-oriented, mixed-use development and land recycling to increase community revitalization, improve the efficiency of public works investments, and safeguard rural landscapes.

5. **Coordinate and leverage federal policies and investments**: Align federal policies and funding to remove barriers to collaboration, leverage funding and increase the accountability and effectiveness of all levels of government to plan for future growth, including making smart energy choices such as locally generated renewable energy.

6. **Value unique characteristics of communities, no matter their size**: Enhance the unique characteristics of all communities by investing in healthy, safe and walkable neighborhoods—rural, urban or suburban.

These federal livability principles provide a policy framework which helps guide federal funding decisions. As such, they provide important insight as to what RTD's federal partners consider to be important in fashioning better integration among land use, transportation and the environment.

RTD has the power of eminent domain, or condemnation, to carry out the purposes set forth in its enabling act (C.R.S. 32-9-161). Pursuant to its enabling act, RTD is authorized to operate a mass transportation system (C.R.S. 32-9-107). Therefore, RTD may exercise the power of eminent domain as necessary for the operation of its mass transportation system. RTD does not have authority to exercise its power of eminent domain for any other use, even if it serves a public purpose.

**TOD Vision**

RTD's vision for TOD is to encourage compact, mixed-use, pedestrian-oriented, high-quality development at and around transit stations consistent with federal requirements, regional goals, and community objectives—including sustainable growth—in partnership with stakeholders while operating an attractive, comfortable, and convenient transit system for the residents of the district.

Since there is no one-size-fits-all approach to TOD, RTD has identified four key goals to best achieve success:

1. Promoting multi-sector, cross-jurisdictional partnerships;
2. Encouraging livable communities and sustainable development that support the transit system;
3. Ensuring a hierarchy of multimodal access; and
4. Protecting and enhancing RTD's transit assets.
2.5 Goals and Strategies

**Goal 1: RTD will foster relationships with local jurisdictions, regional agencies, private developers, local residents and businesses, and other stakeholders to support transit station area planning and TOD implementation.**

Strategies to achieve this goal include:

- Providing RTD staff expertise and resources to local jurisdictions for station area planning and zoning
- Supporting efforts to encourage TOD by DRCOG, which include conducting research, sharing information, and providing planning assistance to connect transit service expansion to economic and community development that supports sustainable growth consistent with the DRCOG Metro Vision Plan
- Working with trade and advocacy organizations—such as the Urban Land Institute (ULI)—to promote TOD education and best practices
- Promoting and developing partnerships with private developers, public agencies and other stakeholders to advance TOD beyond planning to implementation

**Goal 2: RTD will encourage livable communities and sustainable development that support the transit system.**

Strategies to achieve this goal include:

- Collaborating with local jurisdictions on station area planning and TOD for areas within up to a 10-minute walk of stations
- Advocating for new development which generally meets the following characteristics in support of federal livability principles:
  - It is denser than existing development patterns in the surrounding area
  - It contains a mix of uses
  - It has a compact and attractive urban design
  - It promotes multimodal access so individuals need not rely on single occupant vehicles and allows easy pedestrian access to transit facilities
  - It supports a diversity of housing choices, including choices for low and moderate income individuals
  - It incorporates sustainable development strategies such as renewable energy, sustainable building materials, stormwater management, and comprehensive parking management.
- Promoting the development of "transit oriented communities" which embrace livability principles and truly integrate transit facilities with the surrounding community
- Promoting workforce development to enhance the strength and competitiveness of the local economy
- Encouraging local jurisdictions to adopt TOD supportive policies, plans and zoning for areas within a 10-minute walk of transit stations within their jurisdiction that provide a flexible framework for TOD and prevent development which does not support transit
• Participating in joint development projects which provide the opportunity to preserve ridership, build or improve infrastructure to support transit, have local jurisdiction support and embrace the principles of livable communities

**Goal 3: RTD supports multimodal access to the transit system by all users.**

Strategies to achieve this goal include:

• Supporting a hierarchy of access to rapid transit which considers the following modes in order of priority: pedestrians, bus riders, bicyclists, vehicles (short-term parking), and vehicles (long-term parking)

• Considering access needs beyond RTD property in the planning and design of transit stations, including:
  - Pedestrian connections to destinations within a 5- to 10-minute walk
  - Regional bus transit and bicycle connections
  - Vehicular access for the station catchment area

• Strategically managing the use and construction of RTD parking facilities to balance vehicular access and the opportunity for TOD to maximize ridership at stations and minimize the need for single-occupancy vehicle trips by transit riders outside of their trips to stations

• Optimizing RTD parking at stations by considering: proximity to Downtown Denver (less parking closer in), local feeder bus service (less parking with higher levels of service), and pedestrian connectivity (less parking with good pedestrian connections)

**Goal 4: Protect and enhance RTD's transit assets and investments.**

Strategies to achieve this goal include:

• Where appropriate, pursuing TOD as a means to increase the transit value of RTD-owned land near stations

• Encouraging local jurisdictions to support TOD by:
  - Utilizing best practices in TOD planning and implementation around transit stations
  - Encouraging station area planning early in the transit planning process, consistent with the Federal Transit Administration's (FTA) New Starts guidance for transit-supportive land uses

• Leveraging federal investment in the regional transit system, recognizing that there is significant competition among regions throughout the country for federal transit support, by:
  - Ensuring consistency of local policy with the FTA's guidelines for transit joint development, which mandate a transit element, economic development, new or enhanced inter-modal coordination, and non-vehicular capital improvements resulting in increased transit usage
  - Encouraging consistency of local policy with the Federal Partnership for Sustainable Communities which promotes access to affordable housing, more transportation options, and lower transportation costs, while protecting the environment in communities nationwide.
• Where appropriate consider transitioning surface parking to structured parking, other transit-related facilities or TOD (including shared parking with consideration of RTD's parking management program and governing state legislation on parking) and in doing so preserve the operational efficiency of the existing transit facility.

• Utilizing shared and joint-use parking when available to reduce parking costs and add ridership, including purchase of parking in private or public parking facilities on a long term lease or other means through a partnership arrangement with local governments or private developers. Shared and joint-use parking will be developed in coordination with the RTD parking management program and state legislation.

• Favoring the acquisition of permanent rights that meet transit requirements to ensure satisfactory continuing control of RTD property.

• Utilizing joint development as a means to protect and enhance station ridership and build or improve infrastructure needed to support transit and the development of livable communities.

• Where land sales are pursued for joint development projects, ensuring that there will be continuing utilization of the land for TOD purposes.

• Recognizing that RTD will only acquire property for transit purposes (if opportunities arise when those transit purposes can be met as required, and the potential for locally supported and entitled developments at or near RTD stations emerge), RTD will consider such development provided that the proposed development: (i) meets the transit purpose for which the property was required; (ii) complies with all federal, state and local laws; (iii) enhances transit use; and (iv) supports the principles of livable communities.
Exhibit D – Scope of Work
CONSULTANT'S SCOPE OF WORK

Englewood Light Rail Corridor Next Steps Study

The City of Englewood Community Development Department was successful in applying for a second round of Station Area Master Plan funding allocated to 'Next Steps' studies. The Englewood Light Rail Corridor Next Steps Study is intended to take a closer, more comprehensive look at various implementation projects identified in the Englewood Light Rail Corridor Station Area Master Plan.

Project Goals

The key project goals are described as follows:

- Provide a strategic road map of sequential actions local governments can take to foster redevelopment as depicted in the vision of the Englewood Light Rail Corridor Station Area Master Plan.

- Advance the design of specific transportation improvements in a way that will maximize the potential for project funding and implementation through the DRCOG TIP process, as well as other direct federal grant opportunities.

- Comply with and address all of the relevant points articulated within the criteria described by the DRCOG Station Area/Urban Center Studies Eligibility Criteria and the RTD TOD Policy.

Project Elements

The study will be comprised of the following elements:

- Project Kickoff: Agency Coordination and Public Involvement Plan
- Real Estate Development Feasibility Analysis and Marketing/Implementation Strategy
- Englewood Transportation Improvements: Alternatives Development, Design, and Evaluation
- Sheridan Transportation Improvements: Alternatives Development, Design, and Evaluation
- Floyd Avenue/Englewood Parkway Extension and Bus Transfer/Piazza Redesign Planning and Environmental Linkages (PEL) Study

The City of Englewood Community Development Department has developed the following scope of work based on its understanding of project needs and requirements to advance the vision outlined in the Englewood Light Rail Corridor Station Area Master Plan. The Next Steps Study selection committee welcomes and encourages consultants to utilize their past project experience and knowledge of federal planning requirements and processes in developing their proposals based on the information presented in the City's envisioned scope of work.

Project Kick Off: Agency Coordination and Public Involvement Plan

The Agency Coordination and Public Involvement Plan shall at a minimum include:
• Identification of and consultations with agencies having an interest in the study area in order to identify critical issues and problems in need of resolution

• Identification of community leaders, elected officials, and key community groups and recommended level and means of involvement in the study by those identified

• Recommendation of the proper level and means of involvement in the study by the public

• Identification of planned community events in the corridor that are scheduled during the study

• Description of participation methods, objectives, and where each fits into the schedule

• Establishment of meeting dates, times, and venues in coordination with City Project Manager

• Establishment of parameters for a project website.

Real Estate Development Feasibility Analysis and Marketing/Implementation Strategy

The Real Estate Development Feasibility Analysis will assess the development potential for transit-oriented, multi-unit residential development for four distinct areas, taking into consideration the following items for analysis:

• Economic Overview

• Site and Location Analysis

• Market Assessment (supply, demand, and projected absorption; development concept and market fit; product mix and positioning; competitive position of project site)

The Real Estate Marketing/Implementation Strategy will evaluate various development strategies for the four distinct areas, including incremental parcel development by multiple owners versus a master development by a single owner-developer or joint partnership involving multiple shareholders. The implementation strategy will also address possible sources of revenue and financing for the key transportation improvements previously identified, as well as ancillary streets, utilities, and parks. Finally, the implementation strategy will outline marketing strategies, project triggers, and a realistic timeline for development.

The Real Estate Development Feasibility Analysis and Marketing/Implementation Strategy will be conducted for the following transit-oriented development areas envisioned in the Englewood Light Rail Corridor Station Area Master Plan:

Englewood Station – West Neighborhood

The West Neighborhood is located between Dartmouth and Hampden Avenue on the north and south, and Santa Fe Drive and Zuni Street on the east and west, and includes the South Platte River. The area is currently developed with industrial uses and is not directly connected to the Englewood Station. The Englewood Light Rail Corridor Plan envisions the creation of a key roadway connection from Englewood Station underneath the existing rail corridor and adjacent highway (Santa Fe Drive), and continuing westward with a bridge spanning the South Platte River. This connection would change the potential for attracting transit-oriented multi-unit housing development to this area. The City is seeking a detailed strategy to facilitate redevelopment. The consultant will be expected to meet with or interview key property owners to assess their interests in redevelopment.
Englewood Station – CityCenter Englewood Neighborhood

The Englewood Light Rail Corridor Plan envisioned the development of additional multi-unit residential developments immediately adjacent to the Englewood Station over current RTD and City parking areas. The first couple of floors of such developments would continue to serve the current RTD and City parking demand, and possibly allow for the expansion of the total park-n-Ride parking supply, which is allocated in RTD’s FastTracks plan. The corridor plan also identified the existing bus turn around south of the station platform as a site for a hotel. The City is seeking a detailed development strategy for these identified projects.

Oxford Station – South Neighborhood

The Englewood Light Rail Corridor Plan envisioned the development of two parks located north and south of Oxford Avenue that would serve to attract higher quality multi-unit residential housing, including for sale units. The City is seeking a detailed strategy to establish the parks and attract private real estate development. Additionally, the need for a mobility network plan (streets, alleys, walkways) that serves to densify the existing street network grid has recently been identified. The mobility network plan will create a site plan framework for future residential development based on street-oriented, form based zoning regulations; provide for multiple direct pedestrian connections to the light rail station; and optimize future traffic flow and disbursement.

Bates Station – North Neighborhood

The Bates Station-North Neighborhood primarily consists of the Winslow Crane and General Iron Works properties. Planned Unit Developments were recently approved for both properties that allow redevelopment for multi-unit residential use, without establishing site plans. The City is seeking assistance in identifying public infrastructure needs for the area and developing detailed strategies for financing and implementation. This includes developing options for a mobility network plan (streets, alleys, walkways) that serves to densify the existing street network grid. The mobility network plan will create a site plan framework for future residential development based on street-oriented, form based zoning regulations; provide for multiple direct pedestrian connections to the light rail station; and optimize future traffic flow and disbursement.

Study Area Data Collection and Conditions Assessment

The Study Area Data Collection and Conditions Assessment shall include a number of the following items (and any other items not listed) deemed necessary by the consultant to inform the transportation alternatives development, design, and evaluation process. The data collection needs for each individual project will vary depending on the extent of analysis and documentation required. Prospective consultants shall specify a list of items tailored to the needs of developing, designing, and evaluating each individual transportation project identified for study in their proposals and budget accordingly.

- Collection and consolidation of crash data and traffic counts (including truck traffic) to be used for the safety and operational analyses

- Documentation of the existing and planned transportation system in the study area including highway through and auxiliary lanes, right-of-way and access; arterial lanes and access; transit types/service levels including station locations, routes and frequency, safety records and ridership and major concentrations of riders. The document shall also include bicycle and pedestrian facilities, planned and existing intermodal connection facilities and stations, as well as major utilities
• Documentation of the travel markets that use the transportation system to establish geographic locations of trip origins and destinations, trip purpose (Commuter/Non-commuter trips), local versus regional trips, and average length of trip

• Summarization of land use and modeling data as provided by the DRCOG travel demand model

• Summarization of current and future traffic operations for both the AM and PM peak hours

• Estimation of future travel demands

• Identification of distinct segments of each corridor which share distinguishing urban traits, adjacent land use characteristics and existing roadway conditions

• Summarization of current roadway features including lane configurations, roadway and right-of-way widths and adjacent land ownership characteristics, building set-backs, utility and environmental concerns

• Illustration of the typical existing cross section for each discrete segment of each corridor and an assessment of the operational and safety adequacy of that cross-section based on both existing and future (2035) travel demands

• Development of an Environmental Overview. The following environmental resources are considered as essential resources for study and documentation. This list is not all-inclusive and is subject to change based on meetings with project stakeholders

  1. Land Use
  2. Floodways and 100-year floodplain boundaries
  3. Parks and Recreational Resources
  4. Historic Resources
  5. Hazardous Substances
  6. Wetlands and Other Waters of the US
  7. Wildlife/Threatened and Endangered Species

• Documentation of the list of issues that resulted from contacts with stakeholders and general knowledge of the study area to identify a list of key needs

• Preparation of a preliminary list of existing and anticipated deficiencies in the study area. The list should describe the existing or anticipated deficiencies in the transportation system and the growth or changing needs in the study area along with an estimate as to the timeframe in which deficiencies will occur

Englewood Transportation Improvements: Alternatives Development, Design, and Evaluation

Key transportation improvement implementation projects identified in the Englewood Light Rail Corridor Station Area Master Plan for further evaluation are listed below:

• Rail Trail – includes trail alignment and bridges

• Oxford, Dartmouth, Clarkson Protected Bikeway Loop

• Southwest Greenbelt Trail Improvements and Extension
The Floyd Avenue Extension project is directly linked with the Englewood Parkway Extension/Bus Transfer and Piazza Redesign project, as both of these projects as currently envisioned would need to be constructed together. Federal transportation and environmental regulations for automobile road projects require a more extensive Planning and Environmental Linkages (PEL) analysis and documentation process for these projects.

The consultant will develop a reasonable range of alternatives for each key near-term transportation improvement project identified in the Englewood Light Rail Corridor Station Area Master Plan. The consultant will complete basic engineering for the alternatives to be screened. Basic engineering will generally be to a conceptual level of design; however, more detail may be needed for some projects to support feasibility analysis and screening. The range of alternatives will be evaluated using a screening process through which the level of analysis detail becomes greater as the number of alternatives reduces. The consultant will produce an easy-to-read pictorial summary guide that helps the public evaluate the pros and cons of each alternative in a creative and meaningful way. This evaluation is intended to illuminate the issues and provide a coherent discussion prior to selecting preferred strategies. Following screening, the proposed actions will be documented and the conceptual designs will be further refined as needed to avoid impacts and/or provide mitigation. The conceptual designs of the proposed actions will be developed to a 5% design level in order to develop accurate cost estimates for each project. An exception to the 5% design level specification is desired for the Rail Trail project, budget permitting. This project is considered to be the City’s top near term priority project. The Rail Trail project is envisioned to serve not only as a means of providing safe and efficient pedestrian and bicycle access to the stations, but as a signature image enhancement for the corridor and the City as well. Aesthetic aspects regarding landscaping, lighting, furniture, and artistic design elements should be considered for incorporation into the conceptual design process.

**Sheridan Transportation Improvements: Alternatives Development, Design, and Evaluation**

The neighboring City of Sheridan has requested to participate in the Englewood Light Rail Corridor Next Steps Study as a secondary partner to the City of Englewood in order to evaluate two additional projects that were not identified in the original Englewood Light Rail Corridor Station Area Master Plan.

- Oxford Avenue Protected Bikeway - Oxford Station to Fort Logan
- Oxford Station Pedestrian Bridge/Tunnel – Station Connection to west side of Santa Fe Drive

The consultant will develop a reasonable range of alternatives for the City of Sheridan projects. The consultant will complete basic engineering for the alternatives to be screened. Basic engineering will generally be to a conceptual level of design; however, more detail may be needed in some areas to support feasibility analysis and screening. The range of alternatives will be evaluated using a screening process through which the level of analysis detail becomes greater as the number of alternatives reduces. The consultant will produce an easy-to-read pictorial summary guide that helps the public evaluate the pros and cons of each alternative in a creative and meaningful way. This evaluation is intended to illuminate the issues and provide a coherent discussion prior to selecting preferred strategies. Following screening, the proposed actions will be documented and the conceptual designs will be further refined as needed to avoid impacts and/or provide mitigation.
conceptual designs of the proposed actions will be developed to a 5% design level in order to develop accurate cost estimates for each project.

Floyd Avenue/Englewood Parkway Extension and Bus Transfer/Piazza Redesign
Planning and Environmental Linkages Study

The City of Englewood anticipates the need to apply for Transportation Investment Generating Economic Recovery (TIGER) grant funds in order to implement the Floyd Avenue/Englewood Parkway Extension and Bus Transfer/Piazza Redesign project, which is subject to National Environmental Policy Act (NEPA) review. In order to facilitate the NEPA review process for the Floyd Avenue/Englewood Parkway Extension and Bus Transfer/Piazza Redesign project, a Planning and Environmental Linkages (PEL) document will be completed by the consultant.

A project Purpose and Need statement for the Floyd Avenue/Englewood Parkway Extension and Bus Transfer/Piazza Redesign will be developed based primarily on the vision, goals, and objectives found in the Englewood Light Rail Corridor Station Area Master Plan document, as well as the Real Estate Development Feasibility and Marketing/Implementation Strategy report. As a part of the Purpose and Need development process, the consultant will formally determine the project extent based on a preliminary analysis of the independent utility and logical termini for the project. Additionally, the consultant will conduct a review of all state, regional, and local plans and capital improvements programs, which will inform the context of the Purpose and Need Statement. Finally, the consultant will select the most appropriate travel demand models for use in evaluating project design alternatives.

The Consultant will prepare a PEL Study that includes an Executive Summary and the following chapters: Purpose and Need Statement, Proposed Actions, No-Action Alternative, Other Alternatives Considered and Alternative Screening, Affected Environment and Environmental Consequences, Agency Coordination and Public Involvement, and Implementation, as well as all associated technical reports and the completion of the FHWA PEL Questionnaire.
Exhibit E – FTA Terms
Exhibit E to Section 5307 Agreement

FEDERAL TRANSIT ADMINISTRATION (FTA) TERMS

ALL FTA ASSISTED THIRD PARTY CONTRACTS AND SUBCONTRACTS
Exhibit E - Table of Contents

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Provisions 1 through 7 apply to ALL CONTRACTS

FTA 1  NO FEDERAL GOVERNMENT OBLIGATIONS TO THIRD PARTIES

A. RTD and Contractor acknowledge and agree that, notwithstanding any concurrence by the Federal Government in or approval of the solicitation or award of the underlying Contract, absent the express written consent by the Federal Government, the Federal Government is not a party to this Contract and shall not be subject to any obligations or liabilities to RTD, Contractor, or any other party (whether or not a party to that Contract) pertaining to any matter resulting from the underlying Contract.

B. Contractor agrees to include the above clause in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clause shall not be modified, except to identify the subcontractor who will be subject to its provisions.

FTA 2  FALSE OR FRAUDULENT STATEMENTS OR CLAIMS - CIVIL AND CRIMINAL FRAUD

A. Contractor acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. § 3801 et seq. and U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR Part 31, apply to its actions pertaining to this Project. Upon execution or performance of the underlying Contract, Contractor certifies or affirms the truthfulness and accuracy of any statement it has made, it makes, it may make, or causes to be made, pertaining to the underlying Contract or the FTA assisted project for which this Contract work is being performed. In addition to other penalties that may be applicable, Contractor further acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on Contractor to the extent the Federal Government deems appropriate.

B. Contractor also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government under a Contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 U.S.C. § 5307, the Government reserves the right to impose the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5307(n)(1) on Contractor, to the extent the Federal Government deems appropriate.

C. Contractor agrees to include the above two clauses in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clauses shall not be modified, except to identify the subcontractor who will be subject to the provisions.

FTA 3  ACCESS TO THIRD PARTY CONTRACT RECORDS

A. For a period of three years following Contract closing, the Contractor shall maintain, preserve and make available to RTD, the FTA Administrator, the Comptroller General of the United States, and any of their authorized representatives, access at all reasonable times to any books, documents, papers and records of Contractor which are directly pertinent to this Contract for the purposes of making audits, examinations, excerpts and transcriptions. Contractor also agrees, pursuant to 49 CFR 633.17, to provide the FTA Administrator or his or her authorized
representatives, including any project management oversight contractor, access to Contractor's records and sites pertaining to a major capital project, defined at 49 U.S.C. § 5302(a)1, which is receiving federal financial assistance through the programs described at 49 U.S.C. §§ 5307, 5309 or 5311.

B. The Contractor shall maintain and RTD shall have the right to examine and audit all records and other evidence sufficient to reflect properly all prices, costs or rates negotiated and invoiced in performance of this Contract. This right of examination shall include inspection at all reasonable times of the Contractor's offices engaged in performing the Contract.

C. If this Contract is completely or partially terminated, the Contractor shall make available the records relating to the work terminated until 3 years after any resulting final termination settlement. The Contractor shall make available records relating to appeals under the Disputes clause or to litigation or the settlement of claims arising under or relating to this Contract until such appeals, litigation, or claims are finally resolved.

D. "Access to Records and Reports" applies with equal force and effect to any subcontractors hired by the Contractor to perform Work under this Contract. The Contractor shall insert this provision in all subcontracts under this Contract and require subcontractor compliance therewith.

FTA 4  CHANGES TO FEDERAL REQUIREMENTS

Contractor shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the current Master Agreement between RTD and FTA, as they may be amended or promulgated from time to time during the term of this Contract. Contractor's failure to so comply shall constitute a material breach of this Contract. Contractor may contact either RTD or FTA for a copy of the current FTA Master Agreement.

FTA 5  CIVIL RIGHTS (TITLE VI, ADA, EEO)

The following requirements apply to the underlying Contract:


B. Equal Employment Opportunity – The following equal employment opportunity requirements apply to the underlying Contract:


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Executive Order No. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," 42 U.S.C. § 2000e note), and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may in the future affect activities undertaken in the course of this Contract. Contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, creed, national origin, sex, or age. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, Contractor agrees to comply with any implementing requirements FTA may issue.


C. Contractor also agrees to include these requirements in each subcontract financed in whole or in part with Federal assistance provided by FTA, modified only if necessary to identify the affected parties.

### FTA 6 DISADVANTAGED BUSINESS ENTERPRISES (DBE)s

A. This Contract is subject to the requirements of Title 49, Code of Federal Regulations, Part 26, Participation by Disadvantaged Business Enterprises (DBEs) in Department of Transportation Financial Assistance Programs. The national goal for participation of DBEs is 10%.

B. The Contractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The Contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of this DOT-assisted Contract. Failure by the Contractor to carry out these requirements is a material breach of this Contract, which may result in the termination of this contract or such other remedy as RTD deems appropriate. Each subcontract the Contractor signs with a subcontractor must include the assurance in this paragraph (see 49 CFR 26.13(b)).

C. The Contractor is required to pay its subcontractors performing Work related to this Contract for satisfactory performance of that Work no later than 5 days after the Contractor’s receipt of payment for that Work from RTD. In addition, the Contractor shall return any retainage payments to subcontractors within 5 days after incremental acceptance of the subcontractor’s Work by RTD and Contractor’s receipt of the partial retainage payment related to the subcontractor’s Work.
D. The Contractor must promptly notify RTD, whenever a DBE subcontractor performing Work related to this Contract is terminated or fails to complete its Work, and must make good faith efforts to engage another DBE subcontractor to perform at least the same amount of Work. The contractor may not terminate any DBE subcontractor and perform that Work through its own forces or those of an affiliate without prior written consent of RTD.

E. RTD sets an annual overall goal for the participation of disadvantaged business enterprises. This Contract contains a minimum level of DBE participation, and is awarded in reliance upon the Contractor’s representations that it can attain such DBE participation levels in addition to all other of Contractor’s representations, certifications and submittals as required by Section IV, Attachment A, of this Contract.

The Contractor shall cooperate with RTD with regard to maximum utilization of DBEs and will use its best efforts to insure that DBEs shall have the maximum practicable opportunity to compete for subcontract work under this Contract. The Contractor shall assist RTD in verifying compliance with the DBE requirements of this Contract, if any, by submitting status reports itemizing payments to all DBE subcontractors with each monthly request for payment. Upon Contract completion, the Contractor shall submit a summary of payments, by subcontract, made to all subcontractors to RTD’s Business Opportunity and Outreach Officer.

FTA 7 INCORPORATION OF FTA TERMS

The provisions of this Contract include, in part, certain Standard Terms and Conditions required by DOT, whether or not expressly set forth in the Contract provisions. All contractual provisions required by DOT, as set forth in FTA Circular 4220.1F, dated November 1, 2008, as may be amended, are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Agreement. Contractor shall not perform any act, fail to perform any act, or refuse to comply with any RTD requests which would cause RTD to be in violation of the FTA terms and conditions. The incorporation of FTA terms has unlimited flow down.
FPA 8 TERMINATION

A. For Convenience. RTD may, by giving at least 14 days' written notice to the Contractor, terminate this Contract, or suspend performance hereunder, in whole or in part and at any time for RTD's convenience. The Contractor shall be compensated solely for Work satisfactorily performed prior to the effective date and time of termination or suspension. The Contractor shall have no right to recover lost profits on the balance of the Work, or any other measure of damages.

B. For Default. RTD may declare default in the Contractor's performance of any term of this Contract by giving seven days' written notice to the Contractor specifying with particularity the basis for such default. The Contractor shall deliver a response in writing to RTD within five days of Contractor's receipt of RTD's default notice setting forth a reasonable proposal to cure or to prevent repetition of the default. If the Contractor fails to timely respond to the notice of default, fails to cure the default, or if the default occurs again on any Work performed (or which should have been performed) during the remainder of the Contract term (including options), RTD shall have the right to terminate this Contract for default by written notice. RTD is not required to provide subsequent written notices of default for recurring instances of default already brought to the attention of the Contractor in a written notice. In the event of such termination for default, the Contractor shall be compensated solely for Work satisfactorily performed prior to the effective date and time of termination. RTD may proceed with the Work by contract or otherwise and the additional cost to RTD of completing the Work shall be deducted from any sum due the Contractor. If after termination for default it is determined that the Contractor was not in default, the rights and obligations of the parties shall be the same as if the termination had been issued for RTD's convenience. The foregoing shall be in addition to any other legal or equitable remedies available to RTD.

C. Suspension of Work. RTD may suspend the performance of the Contractor by giving the Contractor seven days' written notice. Upon Contractor's receipt of notice of suspension of Work, the Contractor shall perform no further Work and RTD will not be required to reimburse the Contractor for any costs incurred subsequent to Contractor's receipt of notice of suspension and prior to notice to resume Work, if any. Suspension of Work may be in whole or in part, as specified by RTD. The Contractor shall continue to submit invoices for Work performed. If after six months of suspension, RTD has not given the Contractor notice to resume Work, the Contractor is entitled to request in writing that RTD either (1) amend the Statement of Contract Cost or (2) terminate the Contract pursuant to "Termination for Convenience." If suspension for more than six months is not due in any part to the fault of the Contractor, RTD shall be required to amend or terminate the Contract. No amendment to the Statement of Contract Cost shall be made under this Article if suspension, delay, or interruption is due to the fault or negligence of the Contractor, or for which an equitable adjustment is provided for or excluded under any other term or condition of this Contract.
FTA 9 DEBARMENT AND SUSPENSION

A. If this Contract is valued at $25,000 or greater, it is a covered transaction for purposes of 49 CFR Part 29. As such, Contractor is required to verify that none of Contractor, its principals, as defined at 49 CFR 29.995, or affiliates, as defined at 49 CFR 29.905, are excluded or disqualified as defined at 49 CFR 29.940 and 29.945.

B. Contractor is required to comply with 49 CFR 29, Subpart C and must include the requirement to comply with 49 CFR 29, Subpart C in any lower tier covered transaction it enters into.

C. By accepting this Contract, Contractor is certifying as follows:

1. The certification in this clause is a material representation of fact relied upon by RTD. If it is later determined that Contractor knowingly rendered an erroneous certification, in addition to remedies available to RTD, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment. Contractor agrees to comply with the requirements of 49 CFR 29, Subpart C throughout the period of this Contract.

2. Contractor further agrees to include a provision requiring such compliance in its lower tier covered transactions.
Provisions 10 through 11 apply to AWARDS EXCEEDING THE SIMPLIFIED
ACQUISITION THRESHOLD ($100,000)

FTA 1. FTA 10  BUY AMERICA
(for Rolling Stock, Construction and Materials/Supplies)

The Buy America requirements apply to all contracts for construction, the acquisition of
goods, or the acquisition of rolling stock that are valued at more than $100,000.

The Contractor agrees to comply with 49 USC 5323(j) and 49 CFR Part 661, which
provide that Federal funds may not be obligated unless steel, iron, and manufactured
products used in FTA-funded projects are produced in the United States, unless a
waiver has been granted by FTA or the product is subject to a general waiver. General
waivers are listed in 49 CFR 661.7, and include final assembly in the United States for
15 passenger vans and 15 passenger wagons produced by Chrysler Corporation, and
microcomputer equipment and software. Separate requirements for rolling stock are set
out at 49 USC 5323(j)(2)(C) and 49 CFR 661.11. Rolling stock must be assembled in the
United States and have a 60 percent domestic content. The Contractor shall be
responsible for ensuring that lower tier contractors and subcontractors are in compliance
with these requirements.

FTA 11  RESOLUTION OF DISPUTES, BREACHES, OR OTHER LITIGATION

A. Except as otherwise provided in this Contract, any dispute arising hereunder
concerning a question of fact that is not disposed of by agreement shall be decided by
RTD's General Manager, or his or her delegate. Contractor will be notified of the
decision in writing. To the extent allowable by law, any such decision shall be final,
conclusive, and not subject to judicial review unless shown to be fraudulent, capricious,
arbitrary, or so grossly erroneous as to imply bad faith.

B. This Article does not preclude judicial consideration of questions of law. Nothing in
this Contract shall be construed as making final the decision of any administrative
official, representative, or board on a question of law.

C. All costs, expenses and attorney fees incurred by the Contractor in connection with
any appeal, suit or claim regarding a dispute that is brought by the Contractor shall be
paid by the Contractor.

D. The duties, obligations, rights, and remedies provided by the Contract shall be in
addition to and not a limitation of any duties, obligations, rights and remedies otherwise
imposed or available by law.

E. Unless otherwise directed by RTD, the Contractor shall continue performance under
this Contract while matters in dispute are being resolved.
Provisions 12 through 14 apply to AWARDS EXCEEDING $100,000 BY STATUTE

FTA 12  LOBBYING

Contractors and all subcontractors who apply or bid for an award of $100,000 or more shall file the certification required by 49 CFR Part 20, "New Restrictions on Lobbying." Each tier certifies to the tier above that it will not use and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. § 1352. Each tier shall also disclose the name of any registrant under the Lobbying Disclosure Act of 1995 who has made lobbying contacts on its behalf with non-Federal funds with respect to that Federal contract, grant or award covered by 31 U.S.C. § 1352. Such disclosures are forwarded from tier to tier up to RTD. Contractor should contact RTD for the appropriate certification or retrieve a copy from the FTA Best Practices Manual at http://www.fta.dot.gov/library/admin/BPPM/.

FTA 13  CLEAN AIR

A. Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. §§ 7401 et seq. Contractor agrees to report each violation to RTD and understands and agrees that RTD will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

B. Contractor also agrees to include these requirements in each subcontract exceeding $100,000 financed in whole or in part with Federal assistance provided by FTA.

FTA 14  CLEAN WATER

A. Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. § 1251 et seq. Contractor agrees to report each violation to RTD and understands and agrees that RTD will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office.

B. Contractor also agrees to include these requirements in each subcontract exceeding $100,000 financed in whole or in part with Federal assistance provided by FTA.
FTTA 2. FTA 15 CARGO PREFERENCE

(Rolling Stock, Construction and Materials/Supplies)

The Cargo Preference requirements apply to all contracts involving equipment, materials, or commodities which may be transported by ocean vessels.

The Contractor agrees:

1. to use privately owned United States-Flag commercial vessels to ship at least 50 percent of the gross tonnage (computed separately for dry bulk carriers, dry cargo liners, and tankers) involved, whenever shipping any equipment, material, or commodities pursuant to the underlying contract to the extent such vessels are available at fair and reasonable rates for United States-Flag commercial vessels;

2. to furnish within 20 working days following the date of loading for shipments originating within the United States or within 30 working days following the date of loading for shipments originating outside the United States, a legible copy of a rated, "on-board" commercial ocean bill-of-lading in English for each shipment of cargo described in the preceding paragraph to the Division of National Cargo, Office of Market Development, Maritime Administration, Washington, DC 20590 and to RTD (through the Contractor in the case of a subcontractor's bill-of-lading);

3. to include these requirements in all subcontracts issued pursuant to this Contract when the subcontract may involve the transport of equipment, material, or commodities by ocean vessel.

FTTA 16 FLY AMERICA

In the performance of Contracts that utilize FTA participation in the cost of international air transportation, Contractor agrees to comply with 49 U.S.C. § 40118 (the "Fly America" Act) in accordance with the General Services Administration's regulations at 41 C.F.R Part 301-10, which provide that recipients and subrecipients of Federal funds and their contractors are required to use U.S.-Flag air carriers for U.S. Government-financed international air travel and transportation of their personal effects or property, to the extent such service is available, unless travel by foreign air carrier is a matter of necessity, as defined by the Fly America Act. Contractor shall submit, if a foreign air carrier was used, an appropriate certification or memorandum adequately explaining why service by a U.S.-Flag air carrier was not available or why it was necessary to use a foreign air carrier and shall, in any event, provide a certificate of compliance with the Fly America requirements. Contractor agrees to include the requirements of this section in all subcontracts that may involve international air transportation.
FTA 3. FTA 17 CONSTRUCTION EMPLOYEE PROTECTIONS – DAVIS–BACON ACT

Awards that exceed $2,000

(1) Minimum wages - (i) All laborers and mechanics employed or working upon the site of the work (or under the United States Housing Act of 1937 or under the Housing Act of 1949 in the construction or development of the project), will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR part 3)), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the contractor and such laborers and mechanics.

Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph (1)(iv) of this section; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in 29 CFR Part 5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein: Provided, that the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classifications and wage rates conformed under paragraph (1)(ii) of this section) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

(ii)(A) The contracting officer shall require that any class of laborers or mechanics, including helpers, which is not listed in the wage determination and which is to be employed under the contract shall be classified in conformance with the wage determination. The contracting officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

(1) Except with respect to helpers as defined as 29 CFR 5.2(n)(4), the work to be performed by the classification requested is not performed by a classification in the wage determination; and

(2) The classification is utilized in the area by the construction industry; and

(3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination; and
(4) With respect to helpers as defined in 29 CFR 5.2(n)(4), such a classification prevails in the area in which the work is performed.

(B) If the contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the contracting officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the contracting officer to the Administrator of the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, Washington, DC 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(C) In the event the contractor, the laborers or mechanics to be employed in the classification or their representatives, and the contracting officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the contracting officer shall refer the questions, including the views of all interested parties and the recommendation of the contracting officer, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(D) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs (a)(1)(ii) (B) or (C) of this section, shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

(iii) Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

(iv) If the contractor does not make payments to a trustee or other third person, the contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program. Provided, That the Secretary of Labor has found, upon the written request of the contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the contractor to set aside in a separate account assets for the meeting of obligations under the plan or program. (v)(A) The contracting officer shall require that any class of laborers or mechanics which is not listed in the wage determination and which is to be employed under the contract shall be classified in conformance with the wage determination. The contracting officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

(1) The work to be performed by the classification requested is not performed by a classification in the wage determination; and

(2) The classification is utilized in the area by the construction industry; and

(3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.
(B) If the contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the contracting officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the contracting officer to the Administrator of the Wage and Hour Division, Employment Standards Administration, Washington, DC 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(C) In the event the contractor, the laborers or mechanics to be employed in the classification or their representatives, and the contracting officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the contracting officer shall refer the questions, including the views of all interested parties and the recommendation of the contracting officer, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination with 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(D) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs (a)(1)(v) (B) or (C) of this section, shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

(2) Withholding - The RTD shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld from the contractor under this contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to Davis-Bacon prevailing wage requirements, which is held by the same prime contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the contractor or any subcontractor the full amount of wages required by the contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work (or under the United States Housing Act of 1937 or under the Housing Act of 1949 in the construction or development of the project), all or part of the wages required by the contract, the RTD may, after written notice to the contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

(3) Payrolls and basic records - (i) Payrolls and basic records relating thereto shall be maintained by the contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work (or under the United States Housing Act of 1937, or under the Housing Act of 1949, in the construction or development of the project). Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a
plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, the contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

(ii)(A) The contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to the RTD for transmission to the Federal Transit Administration. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under section 5.5(a)(3)(i) of Regulations, 29 CFR part 5. This information may be submitted in any form desired. Optional Form WH-347 is available for this purpose and may be purchased from the Superintendent of Documents (Federal Stock Number 029-005-00014-1), U.S. Government Printing Office, Washington, DC 20402. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors.

(B) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractor or subcontractor or his or her agent who pays or supervises the payment of the persons employed under the contract and shall certify the following:

(1) That the payroll for the payroll period contains the information required to be maintained under section 5.5(a)(3)(i) of Regulations, 29 CFR part 5 and that such information is correct and complete;

(2) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in Regulations, 29 CFR part 3;

(3) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.

C) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by paragraph (a)(3)(ii)(B) of this section.

(D) The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution under section 1001 of title 18 and section 231 of title 31 of the United States Code.

(iii) The contractor or subcontractor shall make the records required under paragraph (a)(3)(i) of this section available for inspection, copying, or transcription by authorized representatives of the Federal Transit Administration or the Department of Labor, and shall permit such representatives to interview employees during working hours on the job. If the contractor or subcontractor fails to submit the required records or to make them available, the Federal agency may, after written notice to the contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the
required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

(4) Apprentices and trainees - (i) Apprentices - Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Bureau of Apprenticeship and Training, or with a State Apprenticeship Agency recognized by the Bureau, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Bureau of Apprenticeship and Training or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice. The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the contractor's or subcontractor's registered program shall be observed. Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator of the Wage and Hour Division of the U.S. Department of Labor determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event the Bureau of Apprenticeship and Training, or a State Apprenticeship Agency recognized by the Bureau, withdraws approval of an apprenticeship program, the contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(ii) Trainees - Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, Employment and Training Administration. The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration. Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the corresponding journeyman wage rate on the wage determination which provides for
less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. In the event the Employment and Training Administration withdraws approval of a training program, the contractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(iii) **Equal employment opportunity** - The utilization of apprentices, trainees and journeymen under this part shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 CFR part 30.

(5) Compliance with Copeland “Anti-Kickback” Act requirements - The contractor shall comply with the requirements of Section 1 of the Act, as amended, 18 U.S.C. § 874; Section 2 of the Act, as amended, 18 U.S.C. § 3145; and U.S. DOL regulations “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States,” 29 CFR Part 3, which are incorporated by reference in this contract.

(6) Subcontracts - The contractor or subcontractor shall insert in any subcontracts the clauses contained in 29 CFR 5.5(a)(1) through (10) and such other clauses as the Federal Transit Administration may by appropriate instructions require, and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the contract clauses in 29 CFR 5.5.

(7) Contract termination: debarment - A breach of the contract clauses in 29 CFR 5.5 may be grounds for termination of the contract, and for debarment as a contractor and a subcontractor as provided in 29 CFR 5.12.

(8) Compliance with Davis-Bacon and Related Act requirements - All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR parts 1, 3, and 5 are herein incorporated by reference in this contract.

(9) Disputes concerning labor standards - Disputes arising out of the labor standards provisions of this contract shall not be subject to the general disputes clause of this contract. Such disputes shall be resolved in accordance with the procedures of the Department of Labor set forth in 29 CFR parts 5, 6, and 7. Disputes within the meaning of this clause include disputes between the contractor (or any of its subcontractors) and the contracting agency, the U.S. Department of Labor, or the employees or their representatives.

(10) Certification of eligibility - (i) By entering into this contract, the contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

(ii) No part of this contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).
The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

**FTA 18 CONSTRUCTION EMPLOYEE PROTECTIONS – CONTRACT WORK HOURS & SAFETY STANDARDS ACT**

(for construction contracts that exceed $100,000)

1. Overtime requirements - No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.

2. Violation; liability for unpaid wages; liquidated damages - In the event of any violation of the clause set forth in paragraph (1) of this section the contractor and any subcontractor responsible therefore shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (1) of this section, in the sum of $10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (1) of this section.

3. Withholding for unpaid wages and liquidated damages - The RTD shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (2) of this section.

4. Subcontracts - The contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraphs (1) through (4) of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs (1) through (4) of this section.

**FTA 19 CONSTRUCTION EMPLOYEE PROTECTIONS – COPELAND ANTI-KICKBACK ACT**

Compliance with Copeland “Anti-Kickback” Act (“Act”) requirements - The contractor shall comply with the following requirements:

(a) Section 1 of the Act, as amended, 18 U.S.C. § 874, applies to all Contracts:

(i) Whoever, by force, intimidation, or threat of procuring dismissal from employment, or by any other manner whatsoever induces any person employed in the construction, prosecution, completion or repair of any public building, public work, or building or work financed in whole or in part by loans or grants
from the United States, to give up any part of the compensation to which he is entitled under his contract of employment, shall be fined under this title or imprisoned not more than five years, or both;

(b) Section 2 of the Act, as amended, 18 U.S.C. § 3145, applies to construction and repair Contracts exceeding $2,000:

(i) In General.—The Secretary of Labor shall prescribe reasonable regulations for contractors and subcontractors engaged in constructing, carrying out, completing, or repairing public buildings, public works, or buildings or works that at least partly are financed by a loan or grant from the Federal Government. The regulations shall include a provision that each contractor and subcontractor each week must furnish a statement on the wages paid each employee during the prior week.

(ii) Application.—The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001; and

(c) U.S. DOL regulations “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States,” 29 CFR Part 3, which are incorporated by reference in this contract.

(d) For additional requirements of the Act not specified in this Article, see preceding Article FTA 17 – Construction Employee Protections – Davis Bacon Act.

FTA 20 BONDING FOR CONSTRUCTION ACTIVITIES EXCEEDING $100,000

Bid Bond Requirements (Construction)

(a) Bid Security - The Penal amount of the Bid Security shall be 5% of the total Bid Amount.

A Bid Bond must be issued by a fully qualified surety company acceptable to RTD and listed as a company currently authorized under 31 CFR, Part 223 as possessing a Certificate of Authority as described thereunder.

(b) Rights Reserved

In submitting this Bid, it is understood and agreed by bidder that the right is reserved by RTD to reject any and all bids, or part of any bid, and it is agreed that the Bid may not be withdrawn for a period of [ninety (90)] days subsequent to the opening of bids, without the written consent of RTD.

It is also understood and agreed that if the undersigned bidder should withdraw any part or all of his bid within [ninety (90)] days after the bid opening without the written consent of RTD, shall refuse or be unable to enter into this Contract, as provided above, or refuse or be unable to furnish adequate and acceptable Performance Bonds and Labor and Material Payments Bonds, as provided above, or refuse or be unable to furnish adequate and acceptable insurance, as provided above, he shall forfeit his bid security to the extent of (Recipient's) damages occasioned by such withdrawal, or refusal, or inability to enter into an agreement, or provide adequate security therefore.
It is further understood and agreed that to the extent the defaulting bidder's Bid Bond, Certified Check, Cashier's Check, Treasurer's Check, and/or Official Bank Check (excluding any income generated thereby which has been retained by RTD as provided in "Bid Security" of the Instructions to Bidders shall prove inadequate to fully recompense RTD for the damages occasioned by default, then the undersigned bidder agrees to indemnify RTD and pay over to RTD the difference between the bid security and RTD's total damages, so as to make RTD whole.

The undersigned understands that any material alteration of any of the above or any of the material contained on this form, other than that requested, will render the bid unresponsive.

Performance and Payment Bonding Requirements (Construction)

The Contractor shall be required to obtain performance and payment bonds as follows:

(a) Performance bonds

1. The penal amount of performance bonds shall be 100 percent of the original contract price, unless the RTD determines that a lesser amount would be adequate for the protection of the RTD.

2. The RTD may require additional performance bond protection when a contract price is increased. The increase in protection shall generally equal 100 percent of the increase in contract price. The RTD may secure additional protection by directing the Contractor to increase the penal amount of the existing bond or to obtain an additional bond.

(b) Payment bonds

1. The penal amount of the payment bonds shall equal:

   (i) Fifty percent of the contract price if the contract price is not more than $1 million.

   (ii) Forty percent of the contract price if the contract price is more than $1 million but not more than $5 million; or

   (iii) Two and one half million if the contract price is more than $5 million.

If the original contract price is $5 million or less, the RTD may require additional protection as required by subparagraph 1 if the contract price is increased.

FTA 21  SEISMIC SAFETY

If this Contract for professional services involves the design of a new building or addition to an existing building, the Contractor agrees that any such new building or addition to an existing building will be designed and constructed in accordance with the standards for Seismic Safety required in Department of Transportation Seismic Safety Regulations 49 CFR Part 41 and will certify to compliance to the extent required by the regulation. The Contractor also agrees to ensure that all work performed under this Contract including work performed by a subcontractor is in compliance with the standards required by the Seismic Safety Regulations and the certification of compliance issued on the project.
Provision 22 applies to NONCONSTRUCTION ACTIVITIES

FTA 4. FTA 22 NONCONSTRUCTION EMPLOYEE PROTECTION – CONTRACT WORK HOURS & SAFETY STANDARDS ACT

(for all turnkey, rolling stock and operational contracts (except transportation services contracts and open market contracts) exceeding $100,000.)

Provisions 23 through 27 apply to TRANSIT OPERATIONS

FTA 23 TRANSIT EMPLOYEE PROTECTIVE ARRANGEMENTS

Public Transportation Employee Protective Arrangements. If the Grant Agreement or Cooperative Agreement for the Project indicates that public transportation employee protective arrangements required by U.S. DOL apply to public transportation operations performed in connection with the Project, the Recipient agrees to comply with the applicable requirements for its Project as follows:

(1) Standard Public Transportation Employee Protective Arrangements. To the extent that the Project involves public transportation operations and as required by Federal law, the Recipient agrees to implement the Project in accordance with the terms and conditions that the U.S. Secretary of Labor has determined to be fair and equitable to protect the interests of any employees affected by the Project and that comply with the requirements of 49 U.S.C. § 5333(b), and with the U.S. DOL guidelines, "Section 5333(b), Federal Transit Law," 29 C.F.R. Part 215 and any amendments thereto. These terms and conditions are identified in U.S. DOL's certification of public transportation employee protective arrangements to FTA, the date of which appears in the Grant Agreement or Cooperative Agreement for the Project. The Recipient agrees to implement the Project in accordance with the conditions stated in that U.S. DOL certification. That certification and any documents cited therein are incorporated by reference and made part of the Grant Agreement or Cooperative Agreement for the Project. The requirements of this Subsection 24.d(1) of this Master Agreement do not apply to Projects for elderly individuals or individuals with disabilities that are authorized by 49 U.S.C. § 5310(a)(2) or subsection 3012(b) of SAFETEA-LU, or to Projects for nonurbanized areas authorized by 49 U.S.C. § 5311; separate requirements for those Projects are contained in Subsections 24.d(2) and (3), respectively, of this Master Agreement.

(2) Public Transportation Employee Protective Arrangements for Elderly Individuals and Individuals with Disabilities Formula Program and Pilot Program. To the extent that the U.S. Secretary of Transportation has determined or determines in the future that employee protective arrangements required by 49 U.S.C. § 5333(b) are necessary or appropriate for a governmental authority sub recipient participating a Project authorized by 49 U.S.C. § 5310(b)(2) or subsection 3012(b) of SAFETEA-LU, 49 U.S.C. § 5310 note, the Recipient agrees to carry out the Project in compliance with the terms and conditions determined by the U.S. Secretary of Labor necessary to comply with the requirements of 49 U.S.C. § 5333(b), and the U.S. DOL guidelines, "Section 5333(b), Federal Transit Law," at 29 C.F.R. Part 215, and any amendments thereto. These terms and conditions are identified in the U.S. DOL's certification of public transportation employee protective arrangements to FTA, the date of which appears in the Grant Agreement. The Recipient agrees to implement the Project in compliance with the conditions stated in that U.S. DOL certification. That U.S. DOL certification and any documents cited therein are incorporated by reference and made part of the Grant Agreement.

(3) Public Transportation Employee Protective Arrangements for Projects in Nonurbanized Areas Authorized by 49 U.S.C. § 5311. The Recipient agrees to comply with the terms and conditions of the Special Warranty for the Nonurbanized Area Program agreed to by the U.S. Secretaries of Transportation and Labor, dated
May 31, 1979, U.S. DOL implementing procedures, and any revisions thereto.

FTA 24  CHARTER BUS OPERATIONS

The Recipient agrees that neither it nor any public transportation operator performing work in connection with a Project financed under 49 U.S.C. chapter 53 or under 23 U.S.C. §§ 133 or 142 will engage in charter service operations, except as authorized by 49 U.S.C. § 5323(d) and FTA regulations, "Charter Service," 49 C.F.R. Part 604, and any subsequent Charter Service regulations or FTA directives that may be issued, except to the extent that FTA determines otherwise in writing. Any charter service agreement required by FTA regulations is incorporated by reference and made part of the Grant Agreement or Cooperative Agreement for the Project. The Recipient understands and agrees that in addition to any remedy specified in the charter service agreement, if a pattern of violations of that agreement is found, the violator will be barred from receiving Federal transit assistance in an amount to be determined by FTA or U.S. DOT.

FTA 25  SCHOOL BUS OPERATIONS

The Recipient agrees that neither it nor any public transportation operator performing work in connection with a Project financed under 49 U.S.C. chapter 53, or under 23 U.S.C. §§ 133 or 142 will engage in school transportation operations for the transportation of students or school personnel exclusively in competition with private school transportation operators, except as authorized by 49 U.S.C. §§ 5323(f) or (g), as applicable, and FTA regulations, "School Bus Operations," 49 C.F.R. Part 605, and any subsequent School Transportation Operations regulations or FTA directives that may be issued, except to the extent that FTA determines otherwise in writing. Any school transportation operations agreement required by FTA regulations is incorporated by reference and made part of the Grant Agreement or Cooperative Agreement for the Project. The Recipient understands and agrees that if it or an operator violates that school transportation operations agreement, the violator will be barred from receiving Federal transit assistance in an amount to be determined by FTA or U.S. DOT.

FTA 26  DRUG USE AND TESTING

The Contractor agrees to establish and implement a drug testing program that complies with 49 CFR Part 40 Part 655, and permit any authorized representative of the United States Department of Transportation or its operating administrations, the State Oversight Agency of Colorado, or the Regional Transportation District, to inspect the facilities and records associated with the implementation of the drug and alcohol testing program as required under 49 CFR Part 40 and 655 and review the testing process. The Contractor agrees further to certify annually its compliance with Part 40 and 655 before December 31st of every year and to submit the Management Information System (MIS) reports no later than February 15th of every year to the Substance Abuse Testing Department, Regional Transportation District, 1600 Blake Street, Denver, CO 80202-1399. To certify compliance, the Contractor shall use the “Substance Abuse Certifications” in the “Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements,” which is published annually in the Federal Register.
FTA 27 ALCOHOL MISUSE AND TESTING

The Contractor agrees to establish and implement an alcohol testing program that complies with 49 CFR Part 40 Part 655, and permit any authorized representative of the United States Department of Transportation or its operating administrations, the State Oversight Agency of Colorado, or the Regional Transportation District, to inspect the facilities and records associated with the implementation of the drug and alcohol testing program as required under 49 CFR Part 40 and 655 and review the testing process. The Contractor agrees further to certify annually its compliance with Part 40 and 655 before December 31st of every year and to submit the Management Information System (MIS) reports no later than February 15th of every year to the Substance Abuse Testing Department, Regional Transportation District, 1600 Blake Street, Denver, CO 80202-1399. To certify compliance, the Contractor shall use the “Substance Abuse Certifications” in the “Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements,” which is published annually in the Federal Register.
Provisions 28 through 29 apply to PLANNING, RESEARCH, DEVELOPMENT, AND DEMONSTRATION PROJECTS

FTA 28 PATENT RIGHTS

A. General. The Recipient agrees that:

(1) Depending on the nature of the Project, the Federal Government may acquire rights when the Recipient (RTD) or third party participant produces a patented or patentable invention, improvement, or discovery.

(2) The Federal Government's rights arise when the patent or patentable information is conceived under the Project, or reduced to practice under the Project.

(3) When a patent is issued or patented information becomes available as described in the preceding paragraph A(1) of this Article, the Recipient agrees to notify FTA immediately, and provide a detailed report satisfactory to FTA.

B. Federal Rights. The Recipient agrees that:

(1) Its rights and responsibilities, and those of each third party participant, in that invention, improvement, or discovery will be determined as provided by Federal laws, regulations, and directives, including any waiver thereof.

(2) Unless the Federal Government determines otherwise in writing, irrespective of its status or that of any third party participant as a large business, small business, State government, State instrumentality, local government, Indian tribe, nonprofit organization, institution of higher education, or individual, the Recipient agrees to transmit the Federal Government's patent rights to FTA as specified in 35 U.S.C. 200 et seq., and U.S. Department of Commerce regulations, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements," 37 C.F.R. Part 401.

C. License Fees and Royalties. As permitted by 49 C.F.R. Parts 18 and 19:

(1) License fees and royalties for patents, patent applications, and inventions derived from Project are program income.

(2) The Recipient has no obligation to the Federal Government with respect to those license fees or royalties, except for compliance with 35 U.S.C. 200 et seq., which applies to patent rights developed under a federally funded research-type project, and as FTA determines otherwise in writing.

FTA 29 RIGHTS IN DATA AND COPYRIGHTS

A. Definition of Subject Data. As used in this Article, "Subject Data" means recorded information that:

(1) Copyright. Are copyrighted or not copyrighted,

(2) Delivery. Are delivered or specified to be delivered by the underlying Agreement, and
Examples include, but are not limited to: computer software, standards, specifications, engineering drawings and associated lists, process sheets, manuals, technical reports, catalog item identifications, and related information.

Exceptions. "Subject data" do not include financial reports, cost analyses, or other similar information used for Project administration.

B. General. The following restrictions apply to all Subject Data first produced in the performance of the underlying Agreement:

1) Prohibitions. The Recipient (RTD) may not publish or reproduce Subject Data in whole or in part, or in any manner or form, or permit others to do so.

2) Exceptions. The restrictions on publication of Subsection B(1) of this Article do not apply to publications or reproductions for the Recipient's own internal use, to an institution of higher learning, to the portion of the data that the Federal Government has previously released or approved for release to the public, or to the portion of the data that has the Federal Government's prior written consent for release.

C. Federal Rights in Data and Copyrights. The Recipient agrees as follows:

1) License Rights. The Recipient must provide the Federal Government a license to "Subject Data" that is royalty-free, non-exclusive, and irrevocable.

2) Uses. The Federal Government's license must permit it to reproduce the Subject Data, publish the Subject Data, otherwise use the Subject Data, and permit others to use the Subject Data for Federal Government purposes.

3) Federal Government Purposes. As used in this Article, "for Federal Government purposes" means that the Federal Government may use its license only for its own direct purposes, and the Federal Government may not provide or otherwise extend to other parties, without the copyright owner's consent, its license to any Subject Data developed and funded at any tier through the underlying Agreement, and any rights of copyright to which the Recipient or third party participant purchases ownership using Federal funds.

D. Special Federal Rights in Data for Research, Development, Demonstration, and Special Studies Projects. In general, FTA's purpose in providing Federal funds for a research, development, demonstration, or special studies Project is to increase transportation knowledge, rather than limit the benefits of the Project to the Recipient and its third party participants. Therefore, the Recipient agrees that:

1) Publicly Available Report. When the Project is completed, it must provide a Project report that FTA may publish or make available for publication on the Internet.

2) Other Reports. It must provide other reports pertaining to the Project that FTA may request.
(3) **Availability of Subject Data.** FTA may make available to any FTA Recipient or any of its third party participants at any tier of the Project, either FTA's copyright to the Subject Data or a copy of the Subject Data, except as FTA determines otherwise in writing.

(4) **Identification of Information.** It must identify clearly any specific confidential, privileged, or proprietary information submitted to FTA.

(5) **Incomplete Project.** If the project is not completed for any reason whatsoever, all data developed under the Project becomes "subject Data" and must be delivered as the Federal Government may direct.

(6) **Exception.** This Subsection D does not apply to an adaptation of automatic data processing equipment or program that is both for the Recipient's use, and acquired with FTA capital program funding.

**E. License Fees and Royalties.** As permitted by 49 C.F.R. Parts 18 and 19:

(1) License fees and royalties for copyrighted material or trademarks derived from the Project are program income.

(2) The Recipient has no obligation to the Federal Government with respect to those license fees and royalties, except for compliance with 35 U.S.C. 200 et seq., which applies to patent rights developed under a federally funded research-type project, and as FTA determines otherwise in writing.

**F. Hold Harmless.** Upon request by the Federal Government, the Recipient agrees that:

(1) **Violation by Recipient.** Except as prohibited or otherwise limited by State law, it will indemnify, save, and hold harmless the Federal Government's officers, employees, and agents acting within the scope of their official duties, against any liability, including costs and expenses,
   (a) If it willfully or intentionally violates any Proprietary rights, Copyrights, or Right of privacy,
   (b) Occurring from any of the following uses of Project data: Publication, Translation, Reproduction, Delivery, Use, or Disposition.

(2) **Violation by Federal Officers, Employees or Agents.** The Recipient will not be required to indemnify the Federal Government for any liability described in the preceding paragraph F(1) caused by the wrongful acts of Federal employees or agents.

**G. Restrictions on Access to Patent Rights.** Nothing in this Article pertaining to rights in data either:

(1) Implies a license to the Federal Government under any patent, or

(2) May be construed to affect the scope of any license or other right otherwise granted to the Federal Government under any patent.

**H. Data Developed Without Federal Funding or Support.** The Recipient understands and agrees that it may need to provide data developed without any Federal funding.
or support to FTA.

(1) **Protection.** Paragraphs A, B, C, and D of this Article do not apply to data developed without Federal funding, even though that data may have been used in connection with the Project.

(2) **Identification of Information.** The Recipient understands and agrees that the Federal Government will not be able to protect data developed without Federal funding or support from unauthorized disclosure unless that data is clearly marked “Proprietary” or “Confidential.

I. **Requirements to Release Data.** The Recipient understands and agrees that the Federal Government may be required to release Project data and information the Recipient submits to the Federal Government as required by:

(1) The Freedom of Information Act, 5 U.S.C. § 552,

(2) Another Federal law requiring access to Project records,

(3) U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations,” specifically 49 C.F.R. § 19.36(d), or

(4) Other Federal regulations requiring access to Project records.
Provision 30 applies ONLY to States and Organizations that are being funded directly by the State with FTA grant funds.

FTA 5.  FTA 30   SPECIAL NOTIFICATION REQUIREMENT FOR STATES

(Per FTA guidance dated July 2011: “The notification requirements concerning federal assistance apply only to States and those organizations that are being funded directly by the State with FTA grant funds. This would include sub-grantees, lessees, or third party contractors of the State. Government agencies that are not part of the State government who are receiving FTA grant funds directly from FTA do not have to comply with the special notification requirements for States.” Therefore this clause does not apply to RTD Contracts.)

The Federal Transit Administration (“FTA”) is the Federal agency that is providing the Federal assistance for this Contract. The Catalog of Federal Domestic Assistance Number is __________, for the amount of $__________.

MISCELLANEOUS SPECIAL REQUIREMENTS

FTA 31   ENERGY CONSERVATION

(applies to all contracts)

Contractor agrees to comply with mandatory standards and policies relating to energy efficiency that are contained in the state energy conservation plan, if any, issued in compliance with the Energy Policy and Conservation Act.

FTA 6.  FTA 32   RECYCLED PRODUCTS

(Contracts when procuring $10,000 or more per year of items designated by EPA)

The Contractor agrees to comply with all the requirements of Section 6002 of the Resource Conservation and Recovery Act (RCRA), as amended (42 U.S.C. 6962), including but not limited to the regulatory provisions of 40 CFR Part 247, and Executive Order 12873, as they apply to the procurement of the items designated in Subpart B of 40 CFR Part 247.

FTA 7.  FTA 33   CONFORMANCE WITH NATIONAL ITS ARCHITECTURE

(Contracts and solicitations for ITS projects)

subsequent further implementing directives, except to the extent FTA determines otherwise in writing.

FTA 34 ADA ACCESS

(Contracts for rolling stock or facilities construction/renovation)

A. RTD must comply with: 49 U.S.C. § 5301(d), which states the Federal policy that elderly individuals and individuals with disabilities have the same right as other individuals to use public transportation services and facilities, and that special efforts shall be made in planning and designing those services and facilities to implement transportation accessibility rights for elderly individuals and individuals with disabilities; all applicable provisions of section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794, which prohibits discrimination on the basis of disability; the Americans with Disabilities Act of 1990 (ADA), as amended; 42 U.S.C. §§ 12101 et seq., which requires that accessible facilities and services be made available to individuals with disabilities; and the Architectural Barriers Act of 1968, as amended, 42 U.S.C. §§ 4151 et seq., which requires that buildings and public accommodations be accessible to individuals with disabilities.

B. All deliverable items provided by the Contractor for RTD under this Contract shall comply with the above-referenced laws as well as all other applicable federal, state and local regulations and directives and any subsequent amendments thereto.

FTA 35 ASSIGNABILITY CLAUSE

(Procurements through assignments)

Neither RTD nor the contractor shall assign or transfer any of its rights or obligations hereunder without the prior written consent of the other.
Provisions 36 through 38 apply to ROLLING STOCK PROCUREMENTS

FTA 36 BUS TESTING

The Contractor [Manufacturer] agrees to comply with 49 U.S.C. A 5323(c) and FTA's implementing regulation at 49 CFR Part 665 and shall perform the following:

1) A manufacturer of a new bus model or a bus produced with a major change in components or configuration shall provide a copy of the final test report to the recipient at a point in the procurement process specified by the recipient which will be prior to the recipient's final acceptance of the first vehicle.

2) A manufacturer who releases a report under paragraph 1 above shall provide notice to the operator of the testing facility that the report is available to the public.

3) If the manufacturer represents that the vehicle was previously tested, the vehicle being sold should have the identical configuration and major components as the vehicle in the test report, which must be provided to the recipient prior to recipient's final acceptance of the first vehicle. If the configuration or components are not identical, the manufacturer shall provide a description of the change and the manufacturer's basis for concluding that it is not a major change requiring additional testing.

4) If the manufacturer represents that the vehicle is "grandfathered" (has been used in mass transit service in the United States before October 1, 1988, and is currently being produced without a major change in configuration or components), the manufacturer shall provide the name and address of the recipient of such a vehicle and the details of that vehicle's configuration and major components.

FTA 37 PRE-AWARD AND POST-DELIVERY AUDIT REQUIREMENTS

The Contractor agrees to comply with 49 U.S.C. § 5323(l) and FTA's implementing regulation at 49 C.F.R. Part 663 and to submit the following certifications:

1) Buy America Requirements: The Contractor shall complete and submit a declaration certifying either compliance or noncompliance with Buy America. If the Bidder/Offeror certifies compliance with Buy America, it shall submit documentation which lists 1) component and subcomponent parts of the rolling stock to be purchased identified by manufacturer of the parts, their country of origin and costs; and 2) the location of the final assembly point for the rolling stock, including a description of the activities that will take place at the final assembly point and the cost of final assembly.

2) Solicitation Specification Requirements: The Contractor shall submit evidence that it will be capable of meeting the bid specifications.

3) Federal Motor Vehicle Safety Standards (FMVSS): The Contractor shall submit 1) the manufacturer's FMVSS self-certification sticker information that the vehicle complies with relevant FMVSS or 2) the manufacturer's certified statement that the contracted buses will not be subject to FMVSS regulations.

FTA 38 TVM CERTIFICATION

The Transit Vehicle Manufacturer (TVM) shall provide RTD with a certificate that complies with 49 CFR Part 26.49 stating that the TVM has complied with FTA's DBE requirements. The TVM shall also provide RTD with the most current letter from the FTA approving the TVM's DBE goal/methodology and eligibility to participate in the FTA DBE
program as a TVM in accordance with 49 CFR Part 26.49. If the FTA has not yet approved the DBE Goal, the TVM shall make a certification to that effect as required by 49 CFR Part 26.49 and in addition submit to RTD a copy of the documents submitted to FTA for approval. These documents shall be submitted with the solicitation response or the TVM's submittal may be deemed non-responsive.
Exhibit F – Attachment A: DBE/SBE Requirements
Attachment A

Civil Rights/Equal Employment Opportunity/DBE
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PART A

SPECIFIED FEDERAL REQUIREMENTS

The Contractor shall perform its obligations and shall require each Subcontractor to perform its respective obligations under this Contract and the Subcontracts in accordance with, the following requirements. The Contractor shall insert this Part A, Attachment A and its enclosures (Civil Rights) into each Subcontract regardless of the tier.

1. CIVIL RIGHTS REQUIREMENTS APPLICABLE TO THE CONTRACT

1.1 CIVIL RIGHTS


Equal Employment Opportunity - The following equal employment opportunity requirements apply to the underlying Contract:

Race, Color, Creed, National Origin, Sex - In accordance with Title VII of the Civil Rights Act, as amended, 42 U.S.C. § 2000e, and Federal transit laws at 49 U.S.C. § 5332, Contractor agrees to comply with all applicable equal employment opportunity requirements of U.S. Department of Labor (U.S. DOL) regulations, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," 41 CFR Parts 60 et seq., (which implement Executive Order No. 11246, "Equal Employment Opportunity," as amended by Executive Order No. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," 42 U.S.C. § 2000e note), and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may in the future affect activities undertaken in the course of this Contract. Contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, national origin, sex, or age. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, Contractor agrees to comply with any implementing requirements FTA may issue.


Contractor also agrees to include these requirements in each subcontract financed in whole or in part with Federal assistance provided by FTA, modified only if necessary to identify the affected parties.

1. During the performance of this contract, the contractor or subcontractor:

(i) WILL NOT DISCRIMINATE AGAINST ANY EMPLOYEE OR APPLICANT FOR EMPLOYMENT BECAUSE OF RACE, COLOR, RELIGION, NATIONAL ORIGIN, SEX, DISABILITY OR AGE. THE CONTRACTOR WILL ENSURE THAT EQUAL EMPLOYMENT OPPORTUNITY IS AFFORDED TO ALL APPLICANTS IN RECRUITMENT AND EMPLOYMENT, AND THAT EMPLOYEES ARE TREATED, DURING EMPLOYMENT, WITHOUT REGARD TO THEIR RACE, COLOR, RELIGION, NATIONAL ORIGIN, SEX, DISABILITY OR AGE. SUCH EQUAL EMPLOYMENT OPPORTUNITY SHALL INCLUDE, BUT NOT BE LIMITED TO THE FOLLOWING: EMPLOYMENT, UPGRADING, DEMOTION, OR TRANSFER; RECRUITMENT OR RECRUITMENT ADVERTISING; LAYOFF OR TERMINATION; RATES OF PAY OR OTHER FORMS OF COMPENSATION; AND SELECTION FOR TRAINING, INCLUDING APPRENTICESHIP. THE CONTRACTOR AGREES TO POST IN CONSPICUOUS PLACES, AVAILABLE TO EMPLOYEES AND APPLICANTS FOR EMPLOYMENT, NOTICES TO SETTING FORTH PROVISIONS OF THIS NONDISCRIMINATION CLAUSE.

(ii) WILL, IN ALL SOLICITATIONS OR ADVERTISEMENTS FOR EMPLOYEES PLACED BY OR ON BEHALF OF THE CONTRACTOR, STATE THAT ALL QUALIFIED APPLICANTS WILL RECEIVE CONSIDERATION FOR EMPLOYMENT WITHOUT REGARD TO RACE, COLOR, RELIGION, NATIONAL ORIGIN, SEX, DISABILITY OR AGE. THE CONTRACTOR AGREES TO COMPLY WITH ANY REGULATIONS PROMULGATED BY THE EEOC, OFCCP, DEPARTMENT OF LABOR, DEPARTMENT TO JUSTICE, THE REGIONAL TRANSPORTATION DISTRICT, COLORADO REVISED STATUTES AND ALL OTHER RELEVANT STATE AND LOCAL LAWS.
PART B
DISADVANTAGED BUSINESS ENTERPRISES
PROGRAM REQUIREMENTS

1. DEFINITIONS

Unless the context requires otherwise, capitalized terms used in this Attachment A shall have the meanings given to them in Appendix H (Definitions) of the Instructions to Proposers. However, if there is a conflict, the definitions in this section shall prevail. In addition, the following capitalized terms shall have the meanings set out below:

**Contract Goal (DBE goal)** means a goal determined by such factors as the type of work involved, the location of the work and the availability of the DBEs for the work of the particular contract.

**Contractor** means any Project Contractor that subcontracts with a DBE for performance of the Work, as applicable.

**Commercially Useful Function** occurs when a DBE firm is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing and supervising the work involved in substance as contemplated by the federal regulations codified at 49 CFR Part 26. The DBE firm must also be responsible for materials and supplies used on the contract, for negotiating price, determining quality and quantity, ordering the material, installing (where applicable) and paying for the materials itself.

**Disadvantaged Business Enterprise (DBE)** means each of the following:

(i) that is at least 51% owned and controlled by one or more Socially and Economically Disadvantaged individuals or, in the case of a corporation, such individuals must own at least 51 percent of each class of voting stock outstanding and 51 percent of the aggregate of all stock outstanding; In the case of a partnership, 51 percent of each class of partnership interest must be owned by socially and economically disadvantaged individuals; In the case of a limited liability company, at least 51 percent of each class of member interest must be owned by socially and economically disadvantaged individuals;

(i) whose eligible principle(s) personal net worth does not exceed $1,320,000. The personal net worth excludes the equity of the eligible principle’s primary residence and the equity of the eligible principle’s firm

(ii) whose average annual gross receipts for the past 3 years cannot exceed $22.41 million

(iii) whose management and daily operations are controlled by one or more of the Socially and Economically Disadvantaged individuals who owns it; and

(iv) that is certified as a “Disadvantaged Business Enterprise” in the
state's Unified Certification Program.

**DBE Enclosures** means the certificates and forms provided in Appendix B of this Attachment.

**DBE Goals** has the meaning given to it in Section 3.1 of this Attachment.

**DBE Liaison** means a representative of the Contractor with direct and independent access to the Contractor's project manager and/or chief operating officer. This can be a collateral duty. The DBE Liaison has management responsibility for implementing, managing and reporting on achievement of the DBE Goals, ensuring compliance with 49 CFR Part 26, communicating subcontracting, business development and supportive services activity at all tiers. The DBE liaison is also responsible for serving as the point of contact with RTD's Disadvantaged Business Office for all reporting, submission of properly completed forms/documents, and for responding to any compliance issues/matters.

**DBE Participation Report** has the meaning given to it in Section 3.10 of this Attachment.

**Small Business Office** or **SBO** means the RTD Department responsible for administering the DBE/SBE Programs.
2. Overview of RTD’s DBE Program Policy

(a) RTD’s policy is to ensure nondiscrimination in the award and administration of the District’s construction contracts, professional service contracts, and in the procurement of common goods and services. The Contractor shall comply with and implement requirements of RTD’s DBE Program and 49 CFR Part 26 in the award and administration of Subcontracts under this Agreement. The Contractor shall not discriminate on the basis of race, color, religion, national origin, sex, age, or disability in the performance of this Contract. The Contractor shall ensure that the nondiscrimination clause(s)/flow-down provisions found in Section I be incorporated in all subcontract agreements regardless of tier. It is RTD’s intention to create a level playing field on which DBE’s can compete fairly for federally funded contracts. Failure by the Contractor to comply with or implement these requirements is a material breach of this Contract, which may result in the termination of this Contract or such other remedy as RTD deems appropriate. RTD’s commitment to the DBE Goals is not intended to and shall not be used as a justification to discriminate against any qualified company or group of companies.

Additionally:

(i) THE AVERAGE ANNUAL GROSS RECEIPTS FOR THE PAST 3 YEARS CANNOT EXCEED $22,41 MILLION. THIS AMOUNT INCLUDES ANY AFFILIATE BUSINESSES OWNED IN WHOLE OR PART BY ANY APPLICANT OWNER OR STOCKHOLDER REGARDLESS OF THEIR OWNERSHIP INTEREST.

(ii) THE PERSONAL NET WORTH OF THE ELIGIBLE PRINCIPLE(S) OF A DBE FIRM MUST BE LESS THAN $1,320,000 (ON AN INDIVIDUAL BASIS) - EXCLUDING THE EQUITY OF THE ELIGIBLE PRINCIPLE’S PRIMARY RESIDENCE AND THE EQUITY OF THE ELIGIBLE PRINCIPLE’S FIRM. AT LEAST 51% OF THE OWNERS/STOCKHOLDERS MUST MEET THE PERSONAL NET WORTH CRITERIA FOR THE BUSINESS TO BE ELIGIBLE. APPLICANTS CANNOT TRANSFER OWNERSHIP SOLELY FOR THE PURPOSE OF QUALIFYING FOR THE DBE PROGRAM. IF IT COMES TO RTD’S ATTENTION, THAT THERE HAS BEEN A TRANSFER OF AN OWNER’S ASSETS, RTD MAY REQUEST THE CERTIFYING AUTHORITY UNDER THE COLORADO UCP TO EVALUATE TRANSFERS OF OWNERSHIP WITHIN THE PAST TWO YEARS TO DETERMINE COMPLIANCE WITH THE PERSONAL NET WORTH REQUIREMENTS.

(iii) TO COUNT A DISADVANTAGED BUSINESS’ PARTICIPATION TOWARD THE GOAL ESTABLISHED FOR THIS CONTRACT,

(iv) THE PROPOSED DBE(S) MUST BE CERTIFIED AS A DBE(S) WITH THE CITY AND COUNTY OF DENVER OR CDOT (COLORADO UCP) UNDER THE NAICS CODE THAT COINCIDES WITH THE SCOPE OF WORK THAT
THEY WILL EXECUTE IN THE PROJECT. THE DBE FIRM MUST BE CERTIFIED AS A DBE AND PERFORM A “COMMERCIALY USEFUL FUNCTION” AS DEFINED IN THIS ATTACHMENT. PRIME CONTRACTORS SHOULD ALSO BE SURE THAT THE DBE IS CERTIFIED AS OF THE DATE THAT RTD RECEIVES THIS BID/PROPOSAL UNLESS SOME OTHER TIME FRAME IS REQUIRED BY THE NATURE OF THE PROJECT DELIVERY METHOD, PROJECT DURATION OR WHEN THE DBE IS APPROVED BY RTD TO BE ADDED TO THE CONTRACTOR’S SCHEDULE OF PARTICIPATION.

3. General Requirements

3.1 DBE Goals

(i) Unless otherwise indicated in the Contract or an addendum to the Contract, for Invitations for Bids (IFB), the contract will be awarded to the lowest responsive and responsible bidder. For Request for Proposals (RFP) with best value criteria, the contract will be awarded to the responsive and responsible proposer or proposers who best meet the Evaluation Criteria, cost and other factors considered (including DBE Program requirements and DBE approach/strategy). A bidder/proposer who fails or refuses to complete and return the required enclosures to this Attachment will be deemed non-responsive. The specified DBE participation goal applies to all post selection negotiations. The contractor's commitment to the percentage of certified DBE utilization during the term of this contract will be stated in the DBE Affidavit (Enclosure 1A). All extensions, amendments, and options of the contract are subject to review by RTD’s SBO. The SBO may determine that a modification may impact the Contractor's ability to comply with its initial commitment. However, a partial waiver of the goal will not be considered until the end of the contract and the totality of the Contractor’s compliance efforts are assessed to determine its ability to comply with the initial commitment. The SBO will evaluate all decisions to self-perform scopes of work where DBE availability was present, yet not solicited, not utilized or disregarded. RTD has specified a ____% DBE Participation goal. During the entire project duration the Contractor shall ensure:

(A) that at least ____% (calculated by Dollar value) of the Work be performed by DBEs. If this contract involves an alternative project delivery method or the project duration is multi-year, RTD may specify that certain percentages of participation be attributable to specific phases of the project. If that is the case, this section will reflect the additional requirements including the requirements associated with a DBE Plan/Program submission.

or

(B) demonstrate with satisfactory documentation that it has made good faith efforts to meet the DBE Goal, as applicable. Contractors failing to meet
the specified DBE goal are required to submit DBE Unavailability Certification, in the form set out in the Attachment A (Enclosure 7: DBE Unavailability Certification) along with complete documentation of good faith efforts to meet the goal. Failure to provide complete documentation/detailed written explanations of good faith efforts will result in the bid/proposal being deemed non-responsive. Appendix A of 49 CFR Part 26 shall serve as the criteria for evaluating compliance with the good faith efforts requirements. Additionally, bidders/proposers are required to solicit the support and assistance of RTD's SBO if they are unable to meet the DBE participation goal assigned to this contract.

To be considered a responsive bidder/proposer, when a DBE goal is specified for design-build projects, a bidder/proposer must meet the goal referred to in the bid specification by committing to meet the DBE participation goal for each phase of the design-build process in its DBE Plan specifically identifying certified DBE firms that will be performing services or providing supplies in the first year of the design/build contract (in both the design and construction phases, as applicable) and Attachment A enclosures or make a good faith effort to attain the goal. The documentation evidencing good faith efforts shall be submitted with the bid/proposal. At a minimum, the bidder/proposer must identify the value of both the design and construction services to be spent during the first year (unless a greater timeframe is specified/required in the instructions to bidders/proposers.

(ii) The DBE participation goal applies to the total value of all work performed under the contract which includes the value of all change orders, amendments and modifications. Any partial waiver determination will be made at or near the conclusion of the contract when the totality of the circumstances can be taken into consideration and the Contractor's efforts can be objectively evaluated. Material supplies are credited for 60% of their contract value unless they are deemed to be a broker or transaction expeditor in which case only the fee or commission may be counted toward the goal (so long as the DBE is performing a commercially useful function). If it is determined that the DBE is not performing a commercially useful function, then no participation credit shall be attributable to their participation on the contract.

(iii) To count DBE participation toward the goal established for this contract, the proposed DBE(s) must be certified as a DBE(s) with the City and County of Denver or CDOT under the appropriate NAICS code that coincides with the scope of work that they will execute on the project/contract. Additionally, the DBE firm must be certified as a DBE and perform a "commercially useful function" as defined in this Attachment.

3.2 Joint Ventures

(i) A Joint Venture is an association of a DBE firm and one or more other firms to
carry out a single, for-profit business enterprise, for which the parties combine
their property, capital, efforts, skills and knowledge, and in which the DBE is
responsible for a distinct, clearly defined portion of the work of the contract and
whose share in the capital contribution, control, management, risks, and profits
of the joint venture are commensurate with its ownership interest.

(ii) RTD will count toward its DBE goal a portion of the total dollar value of a
contract with a joint venture equal to the distinct, clearly defined portion of the
work of the contract that the DBE performs with its own forces toward the DBE
goal(s) and such services/supplies/NAICS codes are approved for DBE
participation credit. The joint venture agreement MUST specify the services,
dollar value, reporting structure and details of the DBEs performance
requirements associated with the percentage of the joint venture ownership.

3.3 DBE Liaison

The Contractor shall designate a DBE Liaison who shall be responsible for the
following:

(A) DAY-TO-DAY OPERATIONAL COMPONENTS OF THE DBE
PROGRAM:

(B) EFFECTIVELY RESPONDING TO AND REPORTING TO THE SBO ON
THE STATUS OF ANY DBE CONTRACTOR/SUPPLIER;

(C) SUBMITTING EXECUTED DBE SUBCONTRACTS/PURCHASE
ORDERS AND ANY SUBSEQUENT MATERIAL AMENDMENTS THERETO
TO THE SBO WITHIN THIRTY (30) DAYS OF THE SUBCONTRACTOR
AGREEMENT EXECUTION (HOWEVER, NO DBE SHALL COMMENCE ANY
WORK OR PROVIDE ANY MATERIAL/SUPPLY WITHOUT AN EXECUTED
SUBCONTRACT/PURCHASE ORDER);

(D) INTERFACING WITH THE SBO REGARDING DBES' ISSUES AND
OBTAINING APPROVALS FOR ALL DBE REPLACEMENTS,
SUBSTITUTIONS OR TERMINATIONS; AND

(E) CARRYING OUT OR IMPLEMENTING TECHNICAL ASSISTANCE
ACTIVITIES SO THAT THE PLAYING FIELD IS LEVEL FOR DBES.

(F) PREPARE, COMPLETE AND SUBMIT ALL REQUIRED COMPLIANCE
DOCUMENTATION, INCLUSIVE OF SUBCONTRACT AGREEMENTS,
SCHEDULE OF PARTICIPATION ENCLOSURE, MONTHLY PAYMENT
FORMS

(G) ENSURE ALL CONTRACTUAL REQUIREMENTS OF THE DBE
PROGRAM INCLUSIVE BUT NOT LIMITED TO PROMPT PAYMENT,
TERMINATION/SUBSTITUTION/REPLACEMENT/REDUCTION OF SCOPE,
CHANGES, NON-DISCRIMINATION ARE COMPLIED WITH AND IN THEIR
SUBCONTRACT AGREEMENTS WITH ALL OF THEIR SUBCONTRACTORS
REGARDLESS OF TIER
(H) A REPRESENTATIVE OF THE CONTRACTOR HAVING MANAGEMENT RESPONSIBILITY FOR IMPLEMENTING, MANAGING AND REPORTING ON ACHIEVEMENT OF THE DBE GOALS, COMMUNICATING SUBCONTRACTING, BUSINESS DEVELOPMENT AND SUPPORTIVE SERVICES ACTIVITY AT ALL TIERS, ENSURING COMPLIANCE WITH THE NON-DISCRIMINATION PROVISIONS AND THE AFFIRMATIVE ACTION AND EQUAL EMPLOYMENT OPPORTUNITY PROVISIONS.

(I) MONITORING LOWER TIER SUBCONTRACTORS AND SUPPLIERS TO ENSURE THAT THEY COMPLY WITH THE DBE PROGRAM REQUIREMENTS AND THE DBE PLAN SUBMITTED BY THE PRIME CONTRACTOR.

(x) In lower value or shorter duration contracts, the DBE Liaison responsibilities may be a collateral responsibility.

(ii) The DBE Liaison shall submit a written monthly report detailing the activities and documentation of good faith efforts of the previous month as well as submitting DBE Participation Reports, all additional requested forms and shall schedule monthly meetings with the SBO to address any issues or concerns.

Flow-Down Provisions:

The Contractor must include the following provisions in their subcontract agreements with their DBE subcontractors as well as ensure that tiered-contractors comply with this Section and insert the provisions of this Section into all lower tiered subcontractor agreements: 3.4 prompt payment provisions, 3.5 DBE Removal/Termination/substitution/Reduction of Scope provisions, and 3.7 Changes provisions. The contractor will be required to submit to the RTD Small Business Office all DBE subcontracts/purchase orders within 30 days of the execution of its contract with RTD or issuance of the notice to proceed (whichever occurs first). However, in no event shall a DBE perform any service or procure any supply unless RTD’s SBO has a copy of the executed subcontract agreement or purchase order.

3.4 Prompt Payment of DBE Subcontractors

The Contractor shall ensure that:

(A) EACH CONTRACTOR SHALL PAY ITS RESPECTIVE DBE SUBCONTRACTORS ANY UNDISPUTED AMOUNT OWED TO SUCH SUBCONTRACTOR WITHIN 30 DAYS OF RECEIPT OF THE SUBCONTRACTOR’S RECEIPT BY SUCH CONTRACTOR, REGARDLESS OF WHETHER SUCH CONTRACTOR HAS BEEN PAID FOR SUCH INVOICE BY RTD;

(B) APPROVAL OF INVOICES IS NOT UNREASONABLY DELAYED AND THAT INVOICES SHALL BE EITHER APPROVED OR REJECTED WITH
WRITTEN NOTICE OF DEFICIENCY OR DISPUTE TO THE PAYEE DBE SUBCONTRACTOR WITHIN TEN DAYS OF RECEIPT OF INVOICE BY THE CONTRACTOR; AND

(C) EACH CONTRACTOR MAKES PROMPT AND FULL PAYMENT OF ANY RETAINAGE KEPT BY SUCH CONTRACTOR TO ITS RESPECTIVE SUBCONTRACTORS DBE WITHIN 30 DAYS AFTER SUCH DBE’S WORK HAS BEEN ACCEPTED AND COMPLETED BY CONTRACTOR, UNLESS CLAIM IS FILED AGAINST A SUBCONTRACTOR;

(D) FAILURE TO COMPLY WITH THE ABOVE MAY GIVE JUST CAUSE TO WITHHOLD PAYMENT FROM CONTRACTOR UNTIL PAYMENT TO THE SUBS IS SATISFIED. DEPENDING ON EXTENT OF FAILURE TO COMPLY WITH THE ABOVE, SUCH FAILURE MAY ALSO BE CONSTRUED TO BE A BREACH OF CONTRACT.

(E) The Contractor shall ensure that tiered subcontractors comply with this Section and insert the provisions of this Section into all lower tiered subcontractor agreements.

(ii) Joint Check Utilization: A joint check is a two party check between a DBE, a prime contractor and a regular dealer of materials/supplies. All joint check arrangements must be pre-approved by the SBO and must strictly adhere to the joint check requirements set forth in USDOT guidance regarding same. At a minimum, the request must be initiated by the DBE and remedy a financial hardship for a specific period of time. There are monthly reporting requirements that must be complied with in order to receive DBE participation credit. The SBO will closely monitor the use of joint checks to ensure that the independence of the DBE firm is not compromised. Joint check usage will not be approved merely for the convenience of the prime contractor.

3.5 DBE Removal/Termination/Substitution/Reduction of scope from Contract

(i) A Contractor must have good cause to remove/terminate/substitute/replace a DBE contractor and such removal/termination/substitution requires the consent and approval of RTD’s SBO. This section also includes reductions to the DBEs scope of services and/or commitment values. No DBE subcontract may contain a “termination for convenience” clause/provision because same is contrary to the objectives of this part. To initiate the termination, substitution, removal or replacement process with a DBE contractor/supplier (regardless of the tier), the Contractor or lower tier contractor/subcontractor must do the following:

(A) BEFORE TRANSMITTING TO RTD’S SBO ITS REQUEST TO TERMINATE AND/OR SUBSTITUTE A DBE CONTRACTOR, THE CONTRACTOR MUST GIVE NOTICE IN WRITING TO THE DBE CONTRACTOR AND RTD SBO. THE NOTICE MUST INCLUDE ITS REQUEST TO TERMINATE AND/OR SUBSTITUTE, REPLACE AND/OR REMOVE THE DBE, THE REASON FOR THE REQUEST AND ALL DOCUMENTATION TO SUPPORT ITS CLAIM. THE CONTRACTOR MUST SUBMIT A COPY OF THE
NOTICE AND SUPPORT DOCUMENTATION TO RTD’S SBO AT THE TIME THE ORIGINAL LETTER IS SENT TO THE DBE CONTRACTOR;

(B) THE CONTRACTOR MUST GIVE THE DBE CONTRACTOR FIVE (5) BUSINESS DAYS TO RESPOND TO THE NOTICE AND PROVIDE THE SBO WITH REASONS, IF ANY, WHY IT OBJECTS TO THE PROPOSED TERMINATION OF ITS DBE CONTRACT AND WHY THE SBO SHOULD NOT CONSENT THE CONTRACTOR’S ACTION;

(C) RTD’S SBO WILL THEN OPEN A FORMAL INVESTIGATION INCLUSIVE OF REVIEW OF ALL DOCUMENTATION, CONDUCT INTERVIEWS AND SITE VISITS, IF NECESSARY. THE CONTRACTOR CARRIES THE BURDEN OF PROOF TO DEMONSTRATE GOOD CAUSE FOR THE TERMINATION AND/OR SUBSTITUTION;

(D) IF RTD’S SBO DETERMINES THE CONTRACTOR HAS GOOD CAUSE TO TERMINATE THE DBE FIRM, THE SBO WILL PROVIDE WRITTEN CONSENT OF DBE REMOVAL AND THE REQUIREMENTS TO SUBSTITUTE WORK TO ANOTHER DBE FIRM. IF RTD’S SBO FINDS THAT GOOD CAUSE DOES NOT EXIST TO TERMINATE THE DBE FIRM, THE SBO WILL PROVIDE A WRITTEN DENIAL OF THE REQUEST TO TERMINATE/REPLACE THE DBE CONTRACTOR AND WILL IMMEDIATELY REQUEST A CORRECTIVE ACTION PLAN FROM THE CONTRACTOR.

(E) FOR PURPOSES OF GOOD CAUSE TO REMOVE, REPLACE, TERMINATE OR REPLACE A DBE THE FOLLOWING CIRCUMSTANCES SHOULD EXIST: (1) FAILURE OR REFUSAL TO EXECUTE A WRITTEN CONTRACT WITHOUT GOOD CAUSE, (2) FAILURE OR REFUSAL TO PERFORM THE WORK OF ITS SUBCONTRACT IN A WAY CONSISTENT WITH NORMAL INDUSTRY PRACTICE AND THE CONTRACTOR HAS NOT ACTED IN BAD FAITH, (3) FAILURE TO MEET THE CONTRACTOR’S REASONABLE BONDING OR INSURANCE REQUIREMENTS, (4) INSOLVENCY, BANKRUPTCY OR CREDIT UNWORTHINESS THAT CREATES A RISK FOR THE CONTRACT, (5) INELIGIBILITY TO WORK ON PUBLIC WORKS PROJECT BECAUSE OF SUSPENSION OR DEBARMENT PROCEEDINGS, (6) A DETERMINATION THAT THE DBE IS NOT A RESPONSIBLE CONTRACTOR, (7) VOLUNTARY WITHDRAWAL FROM THE PROJECT BY WRITTEN NOTIFICATION THAT HAS BEEN VERIFIED, (8) INELIGIBILITY TO RECEIVE DBE PARTICIPATION CREDIT FOR THE TYPE OF WORK TO BE PERFORMED, (9) OTHER DOCUMENTED GOOD CAUSE THAT COMPELS THE REPLACEMENT OF THE DBE.

(F) IF THE CONTRACTOR IS APPROVED TO REPLACE/REMOVE/TERMINATE THE DBE, THE CONTRACTOR MUST MAKE GOOD FAITH EFFORTS TO REPLACE THE DBE WITH ANOTHER CERTIFIED DBE AND SHALL NOT SELF-PERFORM THE WORK/SERVICES.

(ii) The Contractor shall ensure that tiered subcontractors comply with this Section and insert the provisions of this Section into all lower tiered subcontractor
agreements, regardless of their certification status.

3.6 Good Faith Efforts

(i) To award a contract to a bidder/proposer that has failed to meet the DBE contract goals, the RTD SB0 Manager will decide whether the contractor made a “good faith” effort to actively, effectively and aggressively seek DBEs to meet those goals prior to bid/proposal submission and in its commitments as set forth in their Schedule of Participation/the DBE Plan to continue its efforts to meet the DBE participation goals for subsequent phases of the project. Contractors are also responsible for collecting good faith effort documentation of all major non-DBE subcontractors/suppliers as part of their responsibility to implement the DBE Program.

The kinds of efforts that are considered demonstrative of a “good faith” effort include, but are not limited to, the following:

(A) WHETHER THE CONTRACTOR SOLICITED THROUGH ALL REASONABLE AND AVAILABLE MEANS (E.G. ATTENDANCE AT PRE-BID MEETINGS, ADVERTISING AND/OR WRITTEN NOTICES) THE INTEREST OF ALL CERTIFIED DBES WHO HAVE THE CAPABILITY TO PERFORM THE WORK OF THE CONTRACT. THE BIDDER MUST SOLICIT THIS INTEREST WITHIN SUFFICIENT TIME TO ALLOW THE DBES TO RESPOND TO THE SOLICITATION. THE BIDDER MUST DETERMINE WITH CERTAINTY IF THE DBES ARE INTERESTED BY TAKING APPROPRIATE STEPS TO FOLLOW UP INITIAL SOLICITATIONS.

(B) WHETHER THE CONTRACTOR SELECTED PORTIONS OF THE WORK TO BE PERFORMED BY DBES IN ORDER TO INCREASE THE LIKELIHOOD THAT THE DBE GOALS WILL BE ACHIEVED. THIS INCLUDES, WHERE APPROPRIATE, BREAKING OUT CONTRACT WORK ITEMS INTO ECONOMICALLY FEASIBLE UNITS TO FACILITATE DBE PARTICIPATION, EVEN WHEN THE PRIME CONTRACTOR MIGHT OTHERWISE PREFER TO PERFORM THESE WORK ITEMS WITH ITS OWN FORCES.

(C) WHETHER THE CONTRACTOR PROVIDED INTERESTED DBES WITH ADEQUATE INFORMATION ABOUT THE PLANS, SPECIFICATIONS, AND REQUIREMENTS OF THE CONTRACT IN A TIMELY MANNER TO ASSIST THEM IN RESPONDING TO A SOLICITATION.

(D) WHETHER THE CONTRACTOR NEGOTIATED IN GOOD FAITH WITH INTERESTED DBES. IT IS THE BIDDER’S RESPONSIBILITY TO MAKE A PORTION OF THE WORK AVAILABLE TO DBE SUBCONTRACTORS AND SUPPLIERS AND TO SELECT THOSE PORTIONS OF THE WORK OR MATERIAL NEEDS CONSISTENT WITH THE AVAILABLE DBE SUBCONTRACTORS AND SUPPLIERS, SO AS TO FACILITATE DBE PARTICIPATION. THE FACT THAT A BIDDER MAY PERFORM 100% OF THE WORK WITH ITS OWN WORKFORCE IS NOT
SUFFICIENT JUSTIFICATION TO FAIL TO NEGOTIATE WITH DBES OR NOT TO MEET THE DBE PARTICIPATION GOAL ASSIGNED TO A PROJECT.

(E) EVIDENCE OF SUCH NEGOTIATION INCLUDES THE NAMES, ADDRESSES, AND TELEPHONE NUMBERS OF DBES THAT WERE CONSIDERED; A DESCRIPTION OF THE INFORMATION PROVIDED REGARDING THE PLANS AND SPECIFICATIONS FOR THE WORK SELECTED FOR SUBCONTRACTING; AND EVIDENCE AS TO WHY ADDITIONAL AGREEMENTS COULD NOT BE REACHED FOR DBES TO PERFORM THE WORK.

(F) WHETHER THE CONTRACTOR MADE EFFORTS TO ASSIST INTERESTED DBES IN OBTAINING BONDING, LINES OF CREDIT, OR INSURANCE AS REQUIRED BY THE RECIPIENT OR CONTRACTOR.

(G) WHETHER THE CONTRACTOR MADE EFFORTS TO ASSIST INTERESTED DBES IN OBTAINING NECESSARY EQUIPMENT, SUPPLIES, MATERIALS, OR RELATED ASSISTANCE OR SERVICES.

(H) WHETHER THE CONTRACTOR EFFECTIVELY USED THE SERVICES OF AVAILABLE MINORITY/WOMEN COMMUNITY ORGANIZATIONS, CONTRACTORS' GROUPS AND OTHER ORGANIZATIONS TO PROVIDE ASSISTANCE IN THE RECRUITMENT AND PLACEMENT OF DBES, INCLUDING RTD'S SBO.

(I) WHETHER OTHER BIDDERS/PROPOSERS ON THE PROCUREMENT MET THE DBE GOALS AND SUBMITTED AN ACCEPTABLE DBE PLAN DEMONSTRATING COMPLIANCE WITH THE DBE PROGRAM REQUIREMENTS FOR A DESIGN-BUILD PROJECT.

(ii) If, after reviewing the "good faith efforts" documentation submitted by the contractor, the RTD SBO Manager determines that "good faith efforts" were met, the contract will be recommended for award to the contractor. If the SBO Manager determines that the contractor failed to meet the "good faith efforts" requirements, the contractor will be informed in writing that their submittal was deemed non-responsive to the Attachment A requirements and will not be considered for contract award. The contractor may appeal the decision of the RTD SBO Manager to the Good Faith Efforts (GFE) Committee. If the contractor wishes to appeal, they must do so in writing to the RTD Senior Manager of Materials Management within 5 business days of being informed of the decision of the RTD SBO Manager that their submission was non-compliant.

(iii) If the decision of the SBO Manager is appealed in writing, with in the 5 day submission window, the GFE Committee will review the documentation initially submitted by the contractor - and no other information - under this Section to decide whether the DBE requirements have been satisfied through "good faith efforts".
If the written appeal request is received after the 5 business day submission window, it will be disallowed and the determination of the RTD SBO Manager that the submission was non-compliant will stand.

If the GFE committee determines that "good faith efforts" were met, the contract will be recommended for award to the contractor. If the GFE Committee determines that the contractor has failed to meet the good faith effort requirements, the contractor will be informed in writing. The contractor has an opportunity for administrative reconsideration of the determination of the GFE committee. If the contractor requests administrative consideration, they must do so in writing to the RTD Senior Manager of Materials Management within 5 business days of receiving the decision of the GFE Committee that their submission was non-compliant. If the written administrative consideration request is received after the 5 business day submission window, it will be disallowed and the determination of the GFE committee that the submission was non-compliant will stand.

The reconsideration official will be a member of RTD staff who did not take part in the initial "good faith" effort decision. The reconsideration official will review the documentation initially submitted - and no other information - under this Section to decide whether the DBE requirements have been satisfied through good faith efforts.

If the reconsideration official determines that "good faith" efforts were met, the contract will be recommended for award to the contractor. If the reconsideration official determines that the contractor has failed to meet the "good faith effort requirements, the contractor will be informed in writing. The result of the reconsideration process is not administratively appealable to the Department of Transportation.

3.7 Changes

(i) The DBE participation goal shall apply to the performance/dollar value of all obligations under this Contract, including any Changes, Modifications, Amendments and Change Orders whether initiated by the contractor or RTD. Post award requests for partial waivers may be considered by RTD's SBO but a final determination shall not be rendered until the contract has been substantially completed and the Contractor lacks the ability to satisfy the DBE participation goal.

(ii) Changes to the value or scope of work committed to a DBE must be pre-approved by the SBO and must be for good cause as set forth in the termination, substitution, replacement provisions set forth in section 3.5 above.

3.8 Requirements of Attachment A Enclosures
(i) The Contractor must complete and return all applicable Enclosures in the forms set out in this Attachment with bid/proposal. All enclosures must also be submitted with the bid/proposal.

(ii) The Enclosure 2 Schedule of Participation enclosure subsequent to the award must be submitted with the addition of each identified DBE firm.

(iii) The Enclosure 3 Letter of Intent (LOI) enclosure subsequent to the award must be submitted with the addition of each identified DBE firm.

(iv) The Contractor completing the Attachment A Enclosures is advised to contact the RTD’s SBO at (303) 299-2111 if they have any questions or concerns prior to submitting bid/proposal documentation. Additional Attachment A documentation will not be accepted after the contractor submits their bid/proposal to RTD.

As a condition of the award, the contractor must use those DBEs listed to perform the specific work items or supply the materials as committed in the Enclosure 2 Schedule of Participation and Enclosure 3 Letter(s) of Intent (LOI) and the contractor is not entitled to any payment for work or materials performed by its own or any other forces if the work or supplies were committed to a DBE, unless it receives prior written consent by RTD Small Business Office for a replacement of the DBE for good cause.

(v) Failure to return all required DBE Enclosures will result in your bid/proposal being deemed non-responsive. Modification of any Enclosure documentation will result in your bid/proposal being deemed non-responsive.

Periodically, after award of the contract, RTD’s SBO in conjunction with the contractor may determine that an enclosure is more beneficial with modifications or that an additional enclosure is necessary to more effectively report the status of DBE participation or performance and resolution of DBE concerns/issues. RTD has the right to ask for a modification.

Such a revised enclosure shall be incorporated into contract as an additional requirement.

3.9 Reporting, audits, reviews and Orientation Requirements

(i) The Contractor shall submit at least monthly, a DBE Participation Report in the form set out in Appendix A (Form of DBE Participation Report). The Contractor shall submit each completed DBE Participation Report to RTD’s SBO.

(ii) The Contractor acknowledges that the SBO has the right to independently confirm the information contained in the submitted DBE Participation Reports by soliciting such information from each DBE Subcontractor as may be required to verify payments received, distribution of payments received, subcontracting practices, participation credit, and sharing of resources/personnel. The Contractor shall not attempt to dissuade any such DBE contractor from disclosing any such information or cooperating in any investigation initiated by the SBO.
(iii) The Contractor shall submit to RTD's SBO a Subcontractors Participation and Payment Form documenting all payments made to all DBEs and non-DBEs on a form provided/approved by RTD's SBO.

(iv) The DBE contractor shall submit to RTD's SBO a summary of payments received from its contractor, regardless of their lower tier, on a form approved by RTD's SBO.

(v) The DBE contractor may be selected to participate in a commercially useful function review or a DBE compliance review before their contract can be closed by RTD. DBEs are required to fully cooperate with RTD's SBO or its designee in the compliance review process. The commercially useful function review process will be initiated with a request for documents relating to contract performance and management of the actual work performed on the contract. The scope and intensity of each commercially useful function review will depend on the specific facts and circumstances. The commercially useful function is purposed to verify the amount of DBE participation credit, to ensure that work is actually performed by the DBE consistent with the DBE Program requirements and/or to ensure that there is no activity engaged in by the DBE that would be inconsistent with the intent and objectives of the DBE Program. The commercially useful function review is more formal and will be initiated with an orientation/explanation process and closed out with a briefing and determination. The DBE contractor may be subjected to an informal compliance review by RTD's SBO or its designee with or without notice. The informal compliance review will generally be conducted at the work site where RTD actually observes and assesses the services/supplies being provided by the DBE.

(vi) The Contractor or any of its lower tier non-DBE subcontractors may be selected for a DBE compliance review to ensure that they are in compliance with the DBE Program requirements. This process will be initiated in a formal manner with written notice and instructions sent to the Contractor or its major subcontractor. The process will conclude with a close-out interview or debriefing where the Contractor or non-DBE firm will be given an opportunity to refute the determination or add to any corrective action requested by RTD. The contractor must cooperate with any DBE Program audit or compliance review. Failure to cooperate can result in part or all of the DBE participation credit being denied/removed from counting toward the DBE participation goal for the contract.
All DBEs are required to participate in the RTD’s DBE Orientation Program if awarded an RTD contract, subcontract or purchase order before commencing work or providing supplies on this contract. Failure to participate in the DBE orientation program may result in a denial of DBE participation credit for the project/contract. For good cause, the orientation may be delayed if pre-approved by RTD. DBEs may be required to repeat the orientation if there are changes to the DBE Program requirements, changes in the DBE regulations, changes in the DBE personnel, or if the DBE is experiencing challenges in complying with the reporting requirements.
ATTACHMENT A DBE ENCLOSURE CHECKLIST

This checklist will help you verify all the required enclosures are complete and submitted as required. Submit this checklist as the front page of your Attachment A Enclosures. Attachment A Enclosures are to be submitted with bid/proposal. Failure to submit a completed checklist with your Attachment A Enclosures may result in your proposal to be deemed Non-Responsive. Modification of any Attachment A Enclosure prior to the official award of the contract will result in your proposal being deemed Non-Responsive. All enclosures must be submitted with the bid/proposal. If you have any questions concerning the completion of any of the Enclosures, please contact RTD's Disadvantaged Business Office at (303) 299-2111.

[ ] Form of DBE Participation
This form must be submitted monthly by all prime contractors throughout the entire duration of the contract. This form needs to be submitted directly to the RTD SBO.

[ ] Enclosure 1A: DBE Affidavit
This form must be completed, signed and notarized by all Prime Contractors, whether DBE or not, to acknowledge the percentage of DBE participation and indicate intent to comply with the DBE goal.

[ ] Enclosure 1B: DBE Prime Affidavit
This form must be completed, notarized and signed only if the bidder/proposer is a DBE submitting a proposal/bid as a Prime Contractor. This form, if applicable, must be submitted with a current DBE certificate by all DBE prime contractors to affirm DBE status.

[ ] Enclosure 2: Schedule of DBE Participation
This form must be submitted by all DBEs involved on the contract including a DBE prime contractor. It must contain the following information: names and addresses of certified DBE participating subcontractors, the work they are to perform and the dollar value of each proposed certified DBE contract. The Contractor subsequent to award must update and submit this form with the addition of each identified DBE firm. The Contractor is required to enter into subcontract agreements or issue purchase orders to all DBEs within thirty (30) days of notice to proceed.

[ ] Enclosure 3: Letter of Intent to Perform as a Subcontractor
This form must be submitted by the Contractor. It must contain the following information: names and addresses of certified DBE participating subcontractors, the work they are to perform and the dollar value of each proposed certified DBE contract and be signed by the DBE subcontractor. The Contractor subsequent to the award must submit this form with the addition of a DBE. A copy of the current DBE Certificate for each listed DBE subcontractor must be attached.

[ ] Enclosure 4: Solicitation Statistics
This form is for statistical purposes only. It is for the prime and all companies the prime receives bids from on subcontract work.

[ ] Enclosure 5: Employer Certification of Workforce
This form defines the make-up of the company's work force and must be filed by every prime contractor with 50 or more employees or has a contract of $50,000 or more.

[ ] Enclosure 6: Disadvantaged Business Outreach
This form provides current outreach program information for contracted prime and subcontractors.

[ ] Enclosure 7: Unavailability Certification
This form must be submitted - along with complete documentation of good faith efforts - with the bid/proposal by a prime contractor who has failed to meet the specified DBE goal.
APPENDIX A
# PRIME CONTRACTOR MONTHLY REPORT

**FORM E REPORT OF PAYMENTS TO DBEs**

<table>
<thead>
<tr>
<th>Contract No.:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Report for Month of:</td>
<td></td>
</tr>
<tr>
<td>Name and Location of Project:</td>
<td></td>
</tr>
<tr>
<td>Name and Address of Prime Contractor:</td>
<td></td>
</tr>
</tbody>
</table>

- **Did your firm or an affiliate rent or lease equipment or issue a joint check to a DBE?**
- **Did any DBE utilize employees (or former employees) of your firm or an affiliate?**
- **Did any DBE subcontract any portion of its work to a non-DBE since the last report?**
- **Has the scope of work or subcontract amount changed for any DBE since the last report?**

## Contract Information

<table>
<thead>
<tr>
<th>Original Contract Value:</th>
<th>$ -</th>
</tr>
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<tbody>
<tr>
<td>Change Orders Values:</td>
<td>$ -</td>
</tr>
<tr>
<td>Current Contract Value:</td>
<td>$ -</td>
</tr>
<tr>
<td>Total Payments Received To Date:</td>
<td>$ -</td>
</tr>
<tr>
<td>Payments Received This Month:</td>
<td>$ -</td>
</tr>
<tr>
<td>Start Date:</td>
<td></td>
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<tr>
<td>Completion Date:</td>
<td></td>
</tr>
</tbody>
</table>

## DBE Participation Report

<table>
<thead>
<tr>
<th>Name of DBE Subcontractor or Non DBE Subcontractor</th>
<th>Project Task</th>
<th>DBE or Non DBE</th>
<th>Original Contract Amount</th>
<th>Original Contract w/o Amount C.O.</th>
<th>Payment This Month</th>
<th>Billed This Month</th>
<th>Total Payments</th>
<th>Residing C.O.'s Amount and Due</th>
<th>Overall Work Completed %</th>
<th>Contract P.O. Submitted</th>
</tr>
</thead>
</table>

## Comments

**By signing this form, I personally and on behalf of the contractor affirm that the information presented in this document is truthful, accurate, complete and not misleading.**

Date: ______________________

Prime Contractor

Compliance Officer:

Signature: ______________________

Telephone: ______________________

SEND COMPLETED FORM TO:

SRO Office
Regional Transportation District
1600 Blake Street BLDG 12, Denver, Colorado 80202
Fax: 303-292-2091
If you need assistance in filling out this form, please contact 303-292-2111.

# FORM OF DBE PARTICIPATION REPORT

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APPENDIX B· DBE ENCLOSURES

Enclosure 1a- DBE AFFIDAVIT

THIS PAGE MUST BE COMPLETED BY ALL PRIME PROPOSERS/BIDDERS TO INDICATE THE PERCENTAGE OF DISADVANTAGED BUSINESS ENTERPRISE PARTICIPATION.

The undersigned contractor hereby agrees that the goal established for DBE participation and its commitment in this project through subcontracting or entering into a joint venture with Disadvantaged Business Enterprise(s) in conformity with the Requirements, Terms, and Conditions of this Attachment is:

% - DBE (Disadvantaged Business Enterprise)

THIS PERCENTAGE RELATES TO DBE SUBCONTRACTING ONLY AND IS CONSISTENT WITH THE DISADVANTAGED BUSINESS ENTERPRISE STATEMENT LISTED IN THE BID/PROPOSAL FORM.

THIS BIDDER/PROPOSER IS COMMITED TO COMPLY WITH OR EXCEED THE ABOVE GOAL.

Business Name: ________________________________
Contact Name: ________________________________
Address: ______________________________________
City, State, ZIP: ________________________________
Phone: __________________ Fax: __________________

I DO SOLEMNLY DECLARE AND AFFIRM UNDER THE PENALTIES OF PERJURY THAT THE CONTENTS OF THE FOREGOING STATEMENTS ARE TRUE AND CORRECT, AND THAT I AM AUTHORIZED, ON BEHALF OF

_____________________________ TO MAKE THIS AFFIDAVIT.

(Name of Business Entity)

(Date) ____________________________ (Affiant Print Name) ____________________________ (Title) ____________________________

(Affiant's Signature)

State of ______________________________:
City and County of ______________________________:

On this __________ day of ______________________________, ________, before me, the undersigned officer, personally appeared ______________________________, known to me to be the person described in the foregoing Affidavit, and acknowledged that he (she) executed the same in the capacity therein stated and for the purposes therein contained.

In witness thereof, I hereunto set my hand and official seal. My Commission Expires:

______________________________

(Notary Public) (SEAL)
APPENDIX B· DBE ENCLOSURES
ENCLOSURE 1b- DBE AFFIDAVIT

THIS PAGE MUST BE COMPLETED BY THE DISADVANTAGED BUSINESS ENTERPRISE PRIME CONTRACTOR (PROPOSER/BIDDER)

I HEREBY DECLARE AND AFFIRM that I am the ____________________________

and duly authorized representative of (the firm of) ____________________________

(Name of Corporation or Joint Venture)

whose address is __________________________________________________________

(Telephone No.)

I hereby declare and affirm that I am a Disadvantaged Business Enterprise (DBE) and am certified as of the date that the RTD receives this bid/proposal and as defined by the Regional Transportation District in Attachment A for

_________________________ and that I will provide

information and/or the certification to document this fact with this enclosure.

I DO SOLEMNLY DECLARE AND AFFIRM UNDER THE PENALTIES OF PERJURY THAT THE CONTENTS OF THE FOREGOING STATEMENTS ARE TRUE AND CORRECT, AND THAT I AM AUTHORIZED, ON BEHALF OF THE ABOVE FIRM, TO MAKE THIS AFFIDAVIT.

_________________________ (Date)

_________________________ (Affiant Print Name)

_________________________ (Title)

(Affiant's Signature)

State of ____________________________:
City and County of ____________________________:
On this __________ day of ____________________________, __________, before me, the undersigned officer, personally appeared ____________________________, known to me to be the person described in the foregoing Affidavit, and acknowledged that he (she) executed the same in the capacity therein stated and for the purposes therein contained.

In witness thereof, I hereunto set my hand and official seal.

My Commission Expires: ____________________________

(Notary Public) (SEAL)
APPENDIX B - DBE ENCLOSURES
ENCLOSURE 2 - SCHEDULE OF [DBE] PARTICIPATION

NAME OF CONTRACTOR: [*]
RTD Contract No.
Total Proposed Cost: US$

<table>
<thead>
<tr>
<th>DBE FIRM NAME</th>
<th>TYPE OF WORK (ELECTRICAL, PAVING, ETC.) AND CONTRACT ITEMS OR PART THEREOF TO BE PERFORMED</th>
<th>PROJECTED START &amp; COMPLETION DATES FOR DBE</th>
<th>AGREED PRICE TO BE PAID TO DBE</th>
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</table>

1. Please list all DBEs involved on the contract including the Prime Contractor if it is a DBE. DBE must be certified in area of work specified on project; work performed for which they are not certified to perform will not count towards goal. A current DBE certification for each listed DBE must accompany this enclosure. Failure to provide proof of current DBE certification for any or all listed DBEs will eliminate such listed DBE’s participation, and work performed by such DBE will not count towards satisfaction of the DBE Goal. If additional pages are required to list all contracted DBE, photocopy this enclosure as required to make a complete list.

2. Contracts with DBEs for materials or supplies will be counted toward the DBE Goal as follows:

   (i) materials or supplies obtained from a DBE manufacturer will be counted at 100% toward the DBE Goal; and
   (ii) materials or supplies obtained from a DBE regular dealer will be counted at 60% toward the DBE Goals. Please refer to 49 CFR §26.55 for specifics with respect to how DBE participation is counted toward DBE Goal.

3. Contractor must submit copies of all DBE subcontracts, purchase orders or change orders within 30 Days of execution of the notice to proceed. Failure to submit will result in a determination that no DBE participation credit shall a DBE work on the project or provide equipment, materials or supplies for DBE participation credit without an executed subcontract.
agreement or purchase order.
APPENDIX B, ENCLOSURE 3 – LETTER OF INTENT TO PERFORM AS A DBE SUBCONTRACTOR

Contract No.
The undersigned [*] (the **Contractor**) intends to engage the undersigned DBE to perform work in connection with the Project pursuant to a contract (the **DBE Contract**) between the Contractor and the DBE as [check one]:

- [ ] an individual
- [ ] a corporation
- [ ] a partnership
- [ ] a joint venture

The DBE status of the undersigned DBE is confirmed on the attached schedule of DBE participation and represents a company that is certified as of the date on which the DBE Contract is executed.

<table>
<thead>
<tr>
<th>Item</th>
<th>Projected Commencement Date</th>
<th>Projected Completion Date</th>
<th>Agreed Price to be Paid to DBE</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

% of the Dollar value of the DBE Contract will be sublet and/or awarded to non-DBE contractors and/or non-DBE suppliers. The undersigned Proposer and the undersigned DBE will enter into the DBE Contract for the above work conditioned upon the Proposer's execution of the Contract with RTD.

____________________________________  ______________________________________
NAME OF CONTRACTOR                  NAME OF DBE FIRM

____________________________________  ______________________________________
OWNER/REPRESENTATIVE                OWNER/REPRESENTATIVE

____________________________________  ______________________________________
ADDRESS                               ADDRESS

____________________________________  ______________________________________
EMAIL ADDRESS                         EMAIL ADDRESS

____________________________________  ______________________________________
SIGNATURE                             SIGNATURE

____________________________________  ______________________________________
TITLE                                DATE                                  TITLE                                DATE
RTD is required to create and maintain bidder statistics for all firms bidding on prime contracts and bidding or quoting Subcontracts on USDOT-assisted projects per 49 CFR Part 26.11. The Contractor is required to make copies of this form, send a copy with its initial contact to each Subcontractor (whether DBE or non-DBE) and require each Subcontractor to return a completed form with its Subcontract bid to the Contractor. The Contractor must submit all completed forms with each submission of DBE Enclosures to the SBO.

Firm Name:
Firm Address (Office Reporting):

Status as a DBE or Non-DBE (check one):
RTD DBE ______  Non-DBE ______

Annual Gross Receipts of the Firm: (check one):
U.S.$0 to U.S.$500,000____  U.S.$500,000 to U.S.$1,000,000____  U.S.$1 Million to U.S.$5 Million____

Age of the firm: _____

Signature: ____________________________________________
Name: _______________________________________________
Title: _______________________________________________

Date: ________________________________________________
<table>
<thead>
<tr>
<th>Job Categories</th>
<th>Total Employees in Establishment</th>
<th>M = Male</th>
<th>F = Female</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Total Employees Including Minorities</td>
<td>M</td>
<td>F</td>
</tr>
<tr>
<td></td>
<td>Total Male Employees Including Minorities</td>
<td>M</td>
<td>F</td>
</tr>
<tr>
<td></td>
<td>Total Female Employees Including Minorities</td>
<td>M</td>
<td>F</td>
</tr>
<tr>
<td></td>
<td>Black Americans</td>
<td>M</td>
<td>F</td>
</tr>
<tr>
<td></td>
<td>Hispanic Americans</td>
<td>M</td>
<td>F</td>
</tr>
<tr>
<td></td>
<td>Native Americans</td>
<td>M</td>
<td>F</td>
</tr>
<tr>
<td></td>
<td>Asian-Pacific Americans</td>
<td>M</td>
<td>F</td>
</tr>
<tr>
<td></td>
<td>Subcontinent Asian Americans</td>
<td>M</td>
<td>F</td>
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<tr>
<td></td>
<td>Other</td>
<td>M</td>
<td>F</td>
</tr>
<tr>
<td>Officials &amp; Managers</td>
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<td></td>
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<tr>
<td>Professionals</td>
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<td></td>
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<tr>
<td>Technicians</td>
<td></td>
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<tr>
<td>Sales</td>
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<tr>
<td>Office &amp; Clerical</td>
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</tr>
<tr>
<td>Craft Workers (skilled)</td>
<td></td>
<td></td>
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<tr>
<td>Operatives (semi-skilled)</td>
<td></td>
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<td>Laborers (unskilled)</td>
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<tr>
<td>Service Workers</td>
<td></td>
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</table>
APPENDIX B, ENCLOSURE 5 – EMPLOYER CERTIFICATION OF WORKFORCE

The undersigned certifies that he/she is legally authorized to make the statements and representations contained in this report and that the statements and representations contained herein are true and correct to the best of his/her knowledge and belief.

Firm Name:

Owners (individuals or holding companies with any ownership interest in your firm):

Ownership Interest (by %)  Ethnicity (natural persons)  Gender (natural persons)

Signature: _____________________________________________________________

Name: _______________________________________________________________
Title: ________________________________________________________________

Date of Execution: __________________________

Please note that this data may be obtained by visual survey or post-employment records. Neither visual surveys nor post-employment records are prohibited by Federal, State or local law. Current utilization as of __________________________:

1 NOTE: Submission of the Employer Certification of Workforce form is voluntary. Unless this form is marked ‘confidential’ upon submission, RTD cannot guarantee confidentiality of the information contained in this Employer Certification of Workforce form.
DESCRIPTION OF JOB CATEGORIES

Officials and Managers – Occupations requiring administrative personnel who set board policies, exercise full responsibility for execution of these policies, and individual departments or special phases of the operations.

Professionals – Occupations requiring either college education or experience of such kind and amount as to provide a comparable background.

Technicians – Occupations requiring a combination of specific scientific knowledge and manual skill which can be obtained through about 2 years of post high school education, such as is offered in many technical institutes and junior colleges, or through equivalent on-the-job training.

Sales – Occupations engaging wholly or primarily in selling.

Office and clerical – Includes all clerical-type work, regardless of level of difficulty, where the activities are predominately non-manual though some manual work directly involved with altering or transporting the products is included.

Craft Worker (skilled) – Manual workers of relatively high skill level having a thorough and comprehensive knowledge of the processes involved in their work. Exercises considerable independent judgment and usually requires an extensive period of training.

Operatives (semi-skilled) – Workers who operate machines or processing equipment or perform other factory-related duties of intermediate skill level which can be mastered in a few weeks and require only limited training.

Laborers (unskilled) – Workers in manual occupations which generally require no special training perform rudimentary duties that may be learned in a few days and require the application of little or no independent judgment.

Service Workers – Workers in both protective and unprotective service occupations.

RACE/ETHNIC IDENTIFICATION

White (not Hispanic origin) – All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East

Black Americans (not Hispanic origin) – All persons having origins in any of the Black racial groups of Africa

Hispanic Americans – All persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race

Asian-Pacific Americans – All persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands (Republic of Palau), the Commonwealth of the Northern Marianas Islands, Macao, Fiji, Tonga, Kiribati, Juvalu, Nauru, Federated States of Micronesia, or Hong Kong
Subcontinent Asian Americans – All persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka

Native American – All persons having origins in any of the original peoples of North America, including American Indians, Eskimos, Aleuts, or Native Hawaiians
APPENDIX B, ENCLOSURE 6 – DISADVANTAGED BUSINESS OUTREACH

As part of RTD’s ongoing outreach activities to the Denver metro Disadvantaged business community, it is our goal to identify and to establish a relationship with the Disadvantaged business outreach programs sponsored by the prime and subcontractors we partner with. The prime and all contracted subcontractors are requested to provide the following information pertaining to their current DBE outreach efforts – additional sheets may be used if necessary:

RTD Contract Name and Number:
Contract No. (the Contract).
Proposer:

Subcontractor – if applicable:

Disadvantaged Business Outreach Contact (if none, list contact for the Contract):

Phone: Fax:
Email: Website:
Currently Sponsored Disadvantaged Business Outreach Activities:

How can RTD assist you in your current Disadvantaged business outreach efforts?

Would you be interested becoming involved in current and future RTD-sponsored outreach activities and committees: [ ] Yes [ ] No
If so, how?
APPENDIX B, ENCLOSURE 7—DBE UNAVAILABILITY CERTIFICATION

I, ____________________________,

Name ____________________________ Title ____________________________

of ____________________________, certify that [the Contractor], made the following efforts to meet the DBE Goals on Regional Transportation District Contract No. for the Project:

[please attach any additional efforts that do not fit on this form]

- A Contractor representative attended the pre-bid meeting. Yes ______ No ______

- Newspaper Advertisement Log: (attach copies of ads)

<table>
<thead>
<tr>
<th>Newspaper/Publication</th>
<th>Type of Publication</th>
<th>Dates of Advertisement</th>
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</table>

- Selected portions of the work to be performed by [DBEs]

<table>
<thead>
<tr>
<th>Work Categories</th>
<th>Type of Bid (Subcontractor or Supplier)</th>
<th>Contractor's Estimated Budget</th>
<th>Additional Comments</th>
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- Made efforts to assist interested DBEs in obtaining bonding, lines of credit, insurance or any necessary equipment, supplies, materials, etc.

- [List any specific offers made by Contractor]
- Solicited the following DBEs

<table>
<thead>
<tr>
<th>Date Contacted</th>
<th>Name of DBE Firm</th>
<th>Contact Person</th>
<th>Phone #</th>
<th>Work Category</th>
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</table>

- Followed up with initial contacts

<table>
<thead>
<tr>
<th>Date</th>
<th>Name of DBE</th>
<th>Phone #</th>
<th>Bidding (Yes or No)</th>
<th>Additional Comments</th>
</tr>
</thead>
<tbody>
<tr>
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- Contacted the following other agencies, organizations in recruitment of DBE including RTD:

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<thead>
<tr>
<th>Date</th>
<th>Organization</th>
<th>Phone #</th>
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As shown by the documentation provided to RTD, we feel that we have made good faith effort to attain the DBE Goals.

Signature: ____________________________________________

Date: _____________________
Exhibit G – FY2014 FTA Certifications and Assurances
FTA FISCAL YEAR 2014 CERTIFICATIONS AND ASSURANCES

Certifications and Assurances you select on its behalf, except as FTA determines otherwise in writing.

It is important that your Applicant and You also understand that these Certifications and Assurances are pre-award requirements, generally imposed by Federal law or regulation, and do not include all Federal requirements that may apply to it or its Project. Our FTA Master Agreement MA(20) for Federal FY 2014, available at http://www.fta.dot.gov, contains a list of most of those requirements.

We expect You to submit your Applicant’s FY 2014 Certifications and Assurances and its applications for funding in TEAM-Web. You must be registered in TEAM-Web to submit the FTA FY 2014 Certifications and Assurances on its behalf. The TEAM-Web “Recipients” option at the “Cert’s & Assurances” tab of the “View/Modify Recipients” page contains fields for selecting among the twenty-four (24) Groups of Certifications and Assurances and a designated field for selecting all twenty-four (24) Groups of Certifications and Assurances. If FTA agrees that you cannot submit your Applicant’s FY 2014 Certifications and Assurances electronically, you must submit the Signature Page(s) in Appendix A of this Notice, as FTA directs, marked to show the Groups of Certifications and Assurances it is submitting.

Be aware that these Certifications and Assurances have been prepared in light of:

- FTA’s latest authorization legislation, Moving Ahead for Progress in the 21st Century Act (MAP-21), Pub. L. 112-141, June 6, 2012,
- The Continuing Appropriations Act, 2014, Pub. L. 113-46, October 17, 2013,
- The Consolidated and Further Continuing Appropriations Act, 2013, Pub. L. 113-6, March 26, 2013,
- The Continuing Appropriations Resolution, 2013 (CR), Pub. L. 112-175, September 28, 2012, and
- FTA’s authorizing legislation in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply.

With certain exceptions, Projects financed in FY 2014 with funds appropriated or made available for FY 2012 or a previous fiscal year must be in compliance with the requirements for that type of Project in effect during the fiscal year for which the funding was derived, except as superseded by MAP-21 cross-cutting requirements that apply.

GROUP 01. REQUIRED CERTIFICATIONS AND ASSURANCES FOR EACH APPLICANT.

Before FTA may provide funding for your Applicant’s Project, in addition to any other Certifications and Assurances that you must select on behalf of your Applicant, you must also select the Certifications and Assurances in Group 01, except as FTA determines otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and
PREFACE

Except as the Federal Transit Administration (FTA or We) determines otherwise in writing, before FTA may award Federal transit assistance (funding or funds) to support a public transportation Project, an Authorized Representative (You) of the Project sponsor (Applicant) must select certain Certifications and Assurances required by Federal law or regulation. The Authorized Representative must be duly authorized by the Applicant to, among other things, sign these Certifications and Assurances and bind the Applicant's compliance. You, as the Authorized Representative, must select all Certifications and Assurances required of your Applicant (or it) to support its applications for FTA funding during Federal fiscal year (FY) 2014.

We request that you read each Certification and Assurance and select those that will apply to all Projects for which your Applicant might seek FTA funding. As required by Federal law and regulation, only if you select adequate Certifications and Assurances on your Applicant's behalf, may FTA award Federal funding for its Project.

We have consolidated our Certifications and Assurances into twenty-four (24) Groups. At a minimum, you must select the Assurances in Group 01 on your Applicant's behalf. If your Applicant requests more than $100,000, you must also select the "Lobbying" Certification in Group 02, unless it is an Indian tribe or organization or a tribal organization. Depending on the nature of your Applicant and its Project, you may also need to select some Certifications and Assurances in Groups 03 through 24. However, instead of selecting individual Groups of Certifications and Assurances, you may make a single selection that will encompass all twenty-four (24) Groups of Certifications and Assurances that apply to all our programs.

FTA, your Applicant, and you understand and agree that not every provision of these twenty-four (24) Groups of Certifications and Assurances will apply to every Applicant or every Project FTA funds even if you make a single selection encompassing all twenty-four (24) Groups. Nor will every provision of all Certifications and Assurances within a single Group apply if that provision does not apply to your Applicant or its Project. The type of Project and Applicant will determine which Certifications and Assurances apply.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant(s) to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

If your Applicant is a team, a consortium, a joint venture, or a partnership, it understands and agrees that you must identify the activities each member will perform and the extent to which each member will be responsible for compliance with the
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Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications and Assurances in Group OJ that does not apply will not be enforced.

1.A. Assurance of Authority of the Applicant and Its Authorized Representative.

You certify that both you, as your Applicant’s Authorized Representative, and your Applicant’s attorney, who is authorized to represent the Applicant in legal matters, who sign these Certifications, Assurances, and Agreements, may undertake the following activities on its behalf, in compliance with applicable State, local, or Indian tribal laws and regulations, and its by-laws or internal rules:
1. Execute and file its application for Federal funds,
2. Execute and file its Certifications, Assurances, and Agreements binding its compliance,
3. Execute Grant Agreements or Cooperative Agreements, or both, with FTA,
4. Comply with applicable Federal laws and regulations, and
5. Follow applicable Federal guidance.

1.B. Standard Assurances.

On behalf of your Applicant, you assure that it understands and agrees to the following:
1. It will comply with all applicable Federal statutes and regulations to carry out any FTA funded Project,
2. It is under a continuing obligation to comply with the terms and conditions of the FTA Grant Agreement or Cooperative Agreement for its Project, including the FTA Master Agreement incorporated by reference and made part of the latest amendment to that Grant Agreement or Cooperative Agreement,
3. It recognizes that Federal laws and regulations may be amended from time to time and those amendments may affect Project implementation,
4. It understands that Presidential executive orders and Federal guidance, including Federal policies and program guidance, may be issued concerning matters affecting it or its Project,
5. It agrees that the most recent Federal laws, regulations, and guidance will apply to its Project, except as FTA determines otherwise in writing,
6. In light of recent FTA legislation applicable to FTA, except as FTA determines otherwise in writing, it agrees that requirements for FTA programs may vary depending on the fiscal year for which the funding for those programs was appropriated:
   a. In some instances, FTA has determined that Federal statutory or regulatory
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program and eligibility requirements for FY 2012 or a specific previous fiscal year, except as superseded by applicable MAP-21 cross-cutting requirements, apply to:

(1) New grants and cooperative agreements, and
(2) New amendments to grants and cooperative agreements that:
   (a) Have been awarded Federal funds appropriated or made available for FY 2012 or the previous fiscal year, or
   (b) May be awarded Federal funds appropriated or made available for FY 2012 or the previous fiscal year, but

b. In other instances, FTA has determined that MAP-21 will apply to the Federal funds appropriated or made available for FY 2012 or a previous fiscal year, and

c. For all FTA funded Projects, the following MAP-21 cross-cutting requirements supersede conflicting provisions of previous Federal law and regulations:
   (1) Metropolitan and Statewide and Nonmetropolitan Transportation Planning,
   (2) Environmental Review Process,
   (3) Public Transportation Agency Safety Plans,
   (4) Transit Asset Management Provisions (and Asset Inventory and Condition Reporting),
   (5) Costs Incurred by Providers of Public Transportation by Vanpool,
   (6) Revenue Bonds as Local Match,
   (7) Debt Service Reserve,
   (8) Government's Share of Cost of Vehicles, Vehicle-Equipment, and Facilities for ADA and Clean Air Act Compliance,
   (9) Private Sector Participation,
   (10) Bus Testing,
   (11) Buy America,
   (12) Corridor Preservation,
   (13) Rail Car Procurements,
   (14) Veterans Preference/Employment,
   (15) Alcohol and Controlled Substance Testing, and
   (16) Other provisions as FTA may determine.

1.C. Intergovernmental Review Assurance.

(The assurance in Group 01.C does not apply to an Indian tribe, an Indian organization or a tribal organization that applies for funding made available for FTA's Tribal Transit Programs authorized by 49 U.S.C. 5311(c)(1).

As required by U.S. Department of Transportation (U.S. DOT) regulations, "Intergovernmental Review of Department of Transportation Programs and Activities," 49 CFR part 17, on behalf of your Applicant, you assure that your Applicant has

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b. 23 U.S.C. 610 or its predecessor before MAP-21 was signed into law,
d. Federal guidance pertaining to the SIB Program,
e. The Cooperative Agreement establishing the State’s SIB Program, or
f. The FTA Grant Agreement,


5. As required by 49 U.S.C. 5323(o) and 49 U.S.C. 5307(d)(1):
   a. It has or will have the following to carry out its proposed Project(s), including the safety and security aspects of those proposed Project(s):
      (1) Legal capacity,
      (2) Financial capacity, and
      (3) Technical capacity,
   b. It has or will have satisfactory continuing control over the use of Project equipment and facilities,
   c. It will maintain its Project equipment and facilities adequately,
   d. It will ensure that when, during non-peak hours for transportation using or involving a facility or equipment of a SIB-financed Project, a fare that is not more than fifty (50) percent of the peak hour fare will be charged to the following individuals:
      (1) A senior,
      (2) An individual who, because of illness, injury, age, congenital malfunction, or other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), cannot use a public transportation service or a public transportation facility effectively without special facilities, planning, or design,
      (3) An individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. 401 et seq.), or
      (4) An individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. 1395 et seq.),
   e. When carrying out a procurement under a SIB-financed Project, it will comply with the:
      (1) General Provisions of 49 U.S.C. 5323, and
      (2) Third Party Contract Provisions of 49 U.S.C. 5325,
   f. It has complied with or will comply with 49 U.S.C. 5307(b), because it:
      (1) Has made or will make available to the public information on amounts of its funding requested under the SIB program,
      (2) Has developed or will develop, in consultation with interested parties, including private transportation providers, a proposed Program of Projects for activities to be funded,
      (3) Has published or will publish a Program of Projects in a way that affected individuals, private transportation providers, and local elected officials will
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i. It has a locally developed process to solicit and consider public comment before:
   (1) Raising a fare, or
   (2) Implementing a major reduction of public transportation, and
j. It will comply with the final Federal regulations, when issued, that implement the
   safety plan requirements of 49 U.S.C. § 5329(d),

2. To comply with the interest and financing costs restrictions of 49 U.S.C. chapter 53, it
   agrees that it will not seek reimbursement for interest and other financing costs
   incurred in connection with its Project that must be in compliance with those
   requirements unless:
   a. It is eligible to receive Federal funding for those expenses, and
   b. Its records demonstrate that it has used reasonable diligence in seeking the most
      favorable financing terms underlying those costs, to the extent FTA may require.

3. It will comply with Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.)

4. The National Environmental Policy Act of 1969 (NEPA), 42 U.S.C. 5321 et seq., and
   will receive an environmental categorical exclusion, a finding of no significant
   impact, or a record of decision under NEPA for its Project prior to obligation of
   funds, and

5. It agrees that it will adopt a transit asset management plan that complies with
   regulations implementing 49 U.S.C. 5326(d), when required.

24.B. State Infrastructure Banks (SIB) Program.

If your Applicant is a State and seeks FTA funding under the SIB Program to deposit in
its SIB, the Certifications and Assurances in Group 24.B applies to your State and its
Project, except as FTA determines otherwise in writing.

On behalf of the State organization serving as your Applicant for funding for its SIB
Program, you certify and assure that:

1. It will comply with the following applicable Federal laws establishing the various SIB
   programs since 1995:
   a. 23 U.S.C. 610, as amended by MAP-21,
   b. 23 U.S.C. 610 or its predecessor before MAP-21 was signed into law,
   c. Section 1511 of TEA-21, 23 U.S.C. 181 note, or
   d. Section 350 of the National Highway System Designation Act of 1995, as
      amended, 23 U.S.C. 181,

2. It will comply with or follow the Cooperative Agreement establishing the State’s SIB
   program between:
   a. It and FHWA, FRA, and FTA, or
   b. It and FHWA and FTA,

3. It will comply with or follow the Grant Agreement that provides FTA funding for the
   SIB and is between it and FTA, including the FTA Master Agreement, which is
   incorporated by reference into the Grant Agreement, except that any provision of the
   FTA Master Agreement incorporated by reference into that Grant Agreement will not
   apply if it conflicts with any provision of:
   a. 23 U.S.C. 610, as amended by MAP-21,
more than fifty (50) percent of the peak hour fare will be charged to the following individuals:

1. A senior,
2. An individual who, because of illness, injury, age, congenital malfunction, or other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), cannot use a public transportation service or a public transportation facility effectively without special facilities, planning, or design, or
3. Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. 401 et seq.), and
4. Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. 1395 et seq.),

When carrying out a TIFIA-funded procurement, it will comply with:

1. 49 U.S.C. 5323, and
2. 49 U.S.C. 5325,

It has complied with or will comply with 49 U.S.C. 5307(b), because it:

1. Has made or will make available to the public information on amounts of its TIFIA funding request(s),
2. Has developed or will develop, in consultation with interested parties, including private transportation providers, a proposed Program of Projects for activities to be funded,
3. Has published or will publish a Program of Projects in a way that affected individuals, private transportation providers, and local elected officials will have an opportunity to examine and submit comments on the proposed Program of Projects and its performance as an Applicant or Recipient,
4. Has provided or will provide an opportunity for a public hearing to obtain the views of individuals on the proposed Program of Projects,
5. Has ensured or will ensure that the proposed Program of Projects provides for coordination of public transportation services funded by FTA under 49 U.S.C. 5336 and U.S. DOT under TIFIA with federally funded transportation services supported by other United States Government sources,
6. Has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final Program of Projects, and
7. Has made or will make the final Program of Projects available to the public,

It:

1. Has or will have at least (twenty) 20 percent of the TIFIA net Project costs required for the local share,
2. Will provide the local share funds from sources approved by FTA, and
3. Will provide the local share funds when needed,

It will comply with:

1. The Metropolitan Transportation Planning requirements of 49 U.S.C. 5303, and
2. The Statewide and Nonmetropolitan Planning requirements of 49 U.S.C. 5304,
24.A. *The Transportation Infrastructure Finance and Innovation Act (TIFIA) Program*, 23 U.S.C. 601-609, except as superseded by MAP-21 cross-cutting requirements that apply, and


Before FTA may provide credit assistance under TIFIA for your Applicant's Project or funding for your Applicant to deposit in a SIB, in addition to other Certifications and Assurances you must select on your Applicant's behalf, you must also select the Certifications in Group 24, except as FTA may determine otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications and Assurances in Group 24 that does not apply will not be enforced.

24.A. **Transportation Infrastructure Finance and Innovation Act (TIFIA) Program.**

If your Applicant seeks FTA funding for its Project under the TIFIA Program, the Certifications and Assurances in Group 24.A applies to your Applicant, except as FTA determines otherwise in writing.


1. To comply with 49 U.S.C. 5307, specifically 49 U.S.C. 5307(d)(1), on its behalf, you certify that:
   a. It has or will have the following to carry out its proposed Project(s), including the safety and security aspects of its proposed Project(s):
      1. Legal capacity,
      2. Financial capacity, and
      3. Technical capacity,
   b. It has or will have satisfactory continuing control over the use of Project equipment and facilities,
   c. It will maintain its Project equipment and facilities adequately,
   d. It will ensure that when, during non-peak hours for transportation using or involving a facility or equipment of a TIFIA-financed Project, a fare that is not
Before FTA may provide funding for your Applicant's Project under the Public Transportation Emergency Relief Program, 49 U.S.C. 5324, as amended by MAP-21, in addition to other Certifications and Assurances you must select on its behalf, you must also select the Assurance in Group 22, except as FTA may determine otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Assurance in Group 22 that does not apply will not be enforced.

As required by 49 U.S.C. 5324(d), on behalf of your Applicant, you assure that it will comply with the requirements of the Certifications and Assurances as FTA determines will apply to an Applicant for funding appropriated or made available for the Public Transportation Emergency Relief Program.

GROUP 23. EXPEDITED PROJECT DELIVERY PILOT PROGRAM.

Before FTA may provide funding for your Applicant's Project under the Expedited Project Delivery Pilot Program, section 20008(b)(5)(D) of MAP-21, in addition to other Certifications and Assurances you must select on its behalf, you must also select the Certification in Group 23, except as FTA may determine otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

To the extent that the Certification in Group 23 does not apply, it will not be enforced.

On behalf of your Applicant, you certify that its existing public transportation system or the public transportation system that is the subject of the Project is in a state of good repair, as required by section 20008(b)(5)(D) of MAP-21.

GROUP 24. INFRASTRUCTURE FINANCE PROGRAMS.

The Certifications in Group 24 apply to the following programs:
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Before FTA may provide funding for your Applicant’s Project under the State Safety Oversight Grant Program, 49 U.S.C. 5329(e), as amended by MAP-21, in addition to other Certifications and Assurances you must select on its behalf, you must also select the Certifications in Group 21, except as FTA may determine otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications in Group 21 that does not apply will not be enforced.

On behalf of your Applicant, you certify that:

1. It has or will have the following to carry out its proposed Project(s), including the safety and security aspects of its proposed Project(s):
   a. Legal capacity,
   b. Financial capacity, and
   c. Technical capacity,
2. It has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. It will maintain its Project equipment and facilities adequately,
4. When carrying out a procurement for its Project, it will comply with the:
   a. The Uniform Administrative Requirements for Grants and Cooperative Agreements to States and Local Governments, 49 C.F.R. part 18,
   b. General Provisions of 49 U.S.C. 5323, and
   c. Third Party Contract Requirements of 49 U.S.C. 5325,
5. As required by 49 U.S.C. 5329(e)(6)(C), it:
   a. Has or will have the amount of funds required for the local share,
   b. Will provide the local share funds only from sources approved by FTA, and will not be met by:
      (1) Any Federal funds,
      (2) Any funds received from a public transportation agency, or
      (3) Any revenues earned by a public transportation agency, and
   c. Will provide the local share funds when needed,
6. It meets the applicable requirements of 49 C.F.R. part 659, Rail Fixed Guideway Systems: State Safety Oversight, and
7. It has received or will receive an FTA certification upon a determination that its State Safety Oversight Program meets the requirements of 49 U.S.C. 5329(e) and is adequate to promote the purposes of 49 U.S.C. 5329.

GROUP 22. PUBLIC TRANSPORTATION EMERGENCY RELIEF PROGRAM.
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(3) Technical capacity,
b. It has or will have satisfactory continuing control over the use of Project
equipment and facilities,
c. It will maintain the Project equipment and facilities adequately,
d. When carrying out a procurement under former 49 U.S.C. 5320, it will, and will
require each Subrecipient, to comply with the following provisions as amended by
MAP-21:
   (1) Competitive procurement (as defined or approved by FTA), as required by
       49 U.S.C. 5325(a),
   (2) The prohibition against exclusionary or discriminatory specifications in its
       procurements under 49 U.S.C. 5323(h),
   (3) “Buy America” under 49 U.S.C. 5323(j),
   (4) Applicable pre-award and post-delivery requirements of 49 U.S.C. 5323(m),
   (5) Applicable railcar option restrictions of 49 U.S.C. 5325(e), and
   (6) “Veterans Preference/Employment” under 49 U.S.C. 5325(k),
e. It will comply with other applicable requirements under 49 U.S.C. 5323 and 5325,
f. It has complied or will comply with the requirements of former 49 U.S.C.
   5307(c). Specifically, it:
      (1) Has made or will make available to the public information on the amounts
          available for the Parks Program, former 49 U.S.C. 5320, and the Projects it
          proposes to undertake,
      (2) Has developed or will develop, in consultation with interested parties,
          including private transportation providers, Projects to be financed,
      (3) Has published or will publish a list of proposed Projects in a way that
          affected citizens, private transportation providers, and local elected officials
          have the opportunity to examine the proposed Projects and submit comments
          on the proposed Projects and its performance,
      (4) Has provided or will provide an opportunity for a public hearing to obtain the
          views of citizens on the proposed Projects,
      (5) Has considered or will consider the comments and views received, especially
          those of private transportation providers, in preparing its final list of Projects,
          and
      (6) Has made or will make the final list of Projects available to the public,
g. It:
      (1) Has or will have the amount of funds required for the local share,
      (2) Will provide the local share funds from sources approved by FTA, and
      (3) Will provide the local share funds when needed,
h. It has complied or will comply with, and will require each Subrecipient to comply
   with, 49 U.S.C. 5303 and 5304, and
i. It has a locally developed process to solicit and consider public comment before:
   (1) Raising a fare, or
   (2) Implementing a major reduction of public transportation.

GROUP 21. STATE SAFETY OVERSIGHT GRANT PROGRAM.
8. It has complied or will comply with, and will require each Subrecipient to comply with, 49 U.S.C. 5303 and 5304,

9. It has a locally developed process to solicit and consider public comment before:
   a. Raising a fare, or
   b. Implementing a major reduction of public transportation, and

10. It will comply with the final Federal regulations, when issued, that implement the safety plan requirements of 49 U.S.C. § 5329(d).

GROUP 20. PAUL S. SARBANES TRANSIT IN PARKS PROGRAM

Before FTA may provide funding for your Applicant’s Project under the Paul S. Sarbanes Transit in Parks Program, former 49 U.S.C. 5320, in effect in FY 2012 or a previous fiscal year for your Applicant’s Project, except as superseded by MAP-21 requirements that apply, in addition to other Certifications and Assurances you must select on its behalf, you must also select the Certifications in Group 20, except as FTA may determine otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications and Assurances in Group 20 that does not apply will not be enforced.

1. The following Certifications and Assurances for the Paul S. Sarbanes Transit in Parks Program (Parks Program) are required by former 49 U.S.C. 5320 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
   a. It will consult with the appropriate Federal land management agency during the planning process, and
   b. The requirements of former 49 U.S.C. 5307, as determined by FTA, will apply to the Parks Program, authorized by former 49 U.S.C. 5320, and

2. FTA has determined certain requirements of former 49 U.S.C. 5307 to be appropriate for the Parks Program, of which some require Certifications. Therefore as specified under former 49 U.S.C. 5307(d)(1) except as superseded by MAP-21 cross-cutting requirements that apply, you certify that:
   a. It has or will have the following to carry out its proposed Project(s), including the safety and security aspects of its Project(s):
      (1) Legal capacity,
      (2) Financial capacity, and
If your Applicant seeks FTA funding for its Project under the Clean Fuels Grant Program, former 49 U.S.C. 5308, in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 crosscutting requirements that apply, the Certifications and Assurances in Group 19.B apply to your Applicant, except as FTA determines otherwise in writing.

Former 49 U.S.C. 5307(d)(1) except as superseded by MAP-21 cross-cutting requirements that apply, requires the following Certifications for Clean Fuels Grant Program funding appropriated or made available for former 49 U.S.C. 5308 in effect in FY 2012 or a previous fiscal year. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify and assure that:

1. It has or will have the following to carry out its proposed Project(s), including the safety and security aspects of its Project(s):
   a. Legal capacity,
   b. Financial capacity, and
   c. Technical capacity,

2. It has or will have satisfactory continuing control over the use of Project equipment and facilities,

3. It will maintain the Project equipment and facilities adequately,

4. It will ensure that the following individuals will be charged not more than fifty (50) percent of the peak hour fare for transportation during non-peak hours using or involving Project facilities or equipment supported under former 49 U.S.C. 5308:
   a. Elderly individuals,
   b. Individuals with disabilities,
   c. Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. 401 et seq.), and
   d. Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. 1395 et seq.),

5. When carrying out a procurement under former 49 U.S.C. 5308, it will, and will require each Subrecipient, to comply with the following provisions as amended by MAP-21:
   a. Competitive procurement (as defined or approved by FTA), as required by 49 U.S.C. 5325(a),
   b. The prohibition against exclusionary or discriminatory specifications in its procurements under 49 U.S.C. 5323(h),
   c. "Buy America" under 49 U.S.C. 5323(j),
   d. Applicable pre-award and post-delivery requirements of 49 U.S.C. 5323(m),
   e. Applicable railcar option restrictions of 49 U.S.C. 5325(e), and
   f. "Veterans Preference/Employment" under 49 U.S.C. 5325(k),

6. It will comply with other applicable requirements under 49 U.S.C. 5323 and 5325,

7. It:
   a. Has or will have the amount of funds required for the local share,
   b. Will provide the local share funds from sources approved by FTA, and
   c. Will provide the local share funds when needed,
b. Any individual who, because of illness, injury, age, a congenital malfunction, or any other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or who has semi-ambulatory capability), and cannot use a public transportation service or a public transportation facility effectively without special facilities, special planning, or special design,
c. Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. 401 et seq.), or
d. Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. 1395 et seq.),

5. When carrying out a procurement under this Program, it will comply with the:
   a. General Provisions of 49 U.S.C. 5323, and

6. It has:
   a. Informed or will inform the public of the amounts of its funding available under this Program,
   b. Developed or will develop, in consultation with interested parties, including private transportation providers, a proposed Program of Projects for activities to be funded,
   c. Published or will publish a Program of Projects in a way that affected individuals, private transportation providers, and local elected officials will have an opportunity to examine and submit comments on the proposed Projects and its performance as an Applicant,
   d. Provided or will provide an opportunity for a public hearing to obtain the views of individuals on the proposed Program of Projects,
   e. Assured or will assure that the proposed Program of Projects provides for coordination of public transportation services assisted under 49 U.S.C. 5336 with federally funded transportation services supported by other United States Government sources,
   f. Considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final list of Projects, and
g. Made or will make the final list of Projects available to the public,

7. It:
   a. Has or will have the amount of funds required for the local share,
   b. Will provide the local share funds from sources approved by FTA, and
   c. Will provide the local share funds when needed,

8. It will comply with:
   a. The Metropolitan Transportation Planning requirements of 49 U.S.C. 5303, and
   b. The Statewide and Nonmetropolitan Planning requirements of 49 U.S.C. 5304,

9. It has a locally developed process to solicit and consider public comment before:
   a. Raising a fare, or
   b. Implementing a major reduction of public transportation,

10. It will comply with the final Federal regulations, when issued, that implement the safety plan requirements of 49 U.S.C. § 5329(d).

19.B. Clean Fuels Grant Program.
The Certifications in Group 19 are required for funding under:
19.A. The Low or No Emission Vehicle Deployment Program, 49 U.S.C. 5312(d)(5), as
amended by MAP-21, and
19.B. The Clean Fuels Grant Program, former 49 U.S.C. 5308, in effect in FY 2012 or a
previous fiscal year, except as superseded by MAP-21 cross-cutting requirements
that apply.

Before FTA may provide funding for your Applicant's Project under any of the Programs
listed above, in addition to other Certifications and Assurances you must select on its
behalf, you must also select the Certifications in Group 19, except as FTA determines
otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and
Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or
other Third Party Participant in its Project, except as FTA determines otherwise in
writing. For this reason, we strongly encourage your Applicant to take appropriate
measures, including, but not limited to, obtaining sufficient documentation from each
Subrecipient and other Third Party Participants to assure the validity of the applicable
Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications in Group 19 that does not apply will not be enforced.

19.A. Low or No Emission Vehicle Deployment.

If your Applicant seeks FTA funding for its Project under the Low or No Emission
Vehicle Development Program, 49 U.S.C. 5312(d)(5), as amended by MAP-21, the
Certifications and Assurances in Group 19.A apply to your Applicant, except as FTA
determines otherwise in writing.

Section 5312(d)(5)(C)(i) of title 49 requires the following Certifications for Low or No
Emission Vehicle Deployment Program funding appropriated or made available for
MAP-21. Therefore, except as FTA determines otherwise in writing, on behalf of your
Applicant, you certify and assure that:
1. It has or will have the following to carry out its proposed Project(s), including the
   safety and security aspects of its proposed Project(s):
   a. Legal capacity,
   b. Financial capacity, and
   c. Technical capacity,
2. It has or will have satisfactory continuing control over the use of Project equipment
   and facilities,
3. It will maintain its Project equipment and facilities adequately,
4. It will ensure that, during non-peak hours, for transportation using or involving a
   facility or equipment funded for its Project, the following individuals will be charged
   a fare not exceeding fifty (50) percent of the peak hour fare:
   a. Any senior,
Before FTA may provide funding for your Applicant's Project under either Program listed above, in addition to other Certifications and Assurances you must select on its behalf, you must also select the Certifications in Group 18, except as FTA determines otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications in Group 18 that does not apply will not be enforced.

FTA has established terms and conditions for Tribal Transit Program grants financed with funding appropriated or made available for 49 U.S.C. 5311(c)(1). On behalf of your Applicant, you certify and assure that:

1. It has or will have the following to carry out its proposed Project(s), including the safety and security aspects of its Project(s):
   a. Legal capacity,
   b. Financial capacity, and
   c. Technical capacity,
2. It has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. Its Project equipment and facilities will be adequately maintained,
4. Its Project will achieve maximum feasible coordination with transportation service funded by other Federal sources,
5. It will:
   a. Have a procurement system that complies with U.S. DOT regulations, "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," 49 CFR part 18, specifically 49 CFR 18.36, or
   b. Inform FTA promptly that its procurement system does not comply with those U.S. DOT regulations,
6. It will comply with Buy America under 49 U.S.C. 5323(j), and
7. It will comply with the Certifications, Assurances, and Agreements in:
   a. Group 03.B and 03.C (Charter Service Agreement and School Bus Agreement),
   b. Group 05.B (Bus Testing),
   c. Group 06 (Demand Responsive Service),
   d. Group 07 (Intelligent Transportation Systems), and
   e. Group 10 (Alcohol and Controlled Substances Testing).

GROUP 19. LOW OR NO EMISSION/CLEAN FUELS GRANT PROGRAM
17.C. Appalachian Development Public Transportation Assistance Program.

If your Applicant seeks FTA funding for its Project under the Appalachian Development Public Transportation Assistance Program, 49 U.S.C. 5311(c)(2), the Certification in Group 17.C applies to your Applicant, except as FTA determines otherwise in writing.

On behalf of your Applicant, you certify and assure that, in addition to other Certifications and Assurances it must provide, if it is unable to use its funding made available or appropriated for public transportation operating assistance, in accordance with 49 U.S.C. 5311(c)(2)(D), it may use the funding for a highway Project only after:
1. It provides notice and an opportunity for comment and appeal to affected public transportation providers,
2. It approves for such use in writing, and
3. In approving the use, it determines that local transit needs are being addressed.

17.D. Over-the-Road Bus Accessibility Program.

If your Applicant seeks FTA funding for its Project under the Over-the-Road Bus Accessibility Program, section 3038 of TEA-21, as amended by section 3039 of SAFETEA-LU, 49 U.S.C. 5310 note, the Assurances in Group 17.D apply to your Applicant, except as FTA determines otherwise in writing.

Your Applicant assures that it will comply with all applicable Federal statutes and regulations, and follow applicable Federal guidance in carrying out any Over-the-Road Bus Accessibility Project supported by the FTA grant. It acknowledges that it is under a continuing obligation to comply with the terms and conditions of the grant agreement issued for its Project with FTA. It understands that Federal laws, regulations, policies, and administrative practices might be modified from time to time and affect the implementation of the Project.

It assures that the Federal requirements for the Over-the-Road Bus Accessibility Program during FY 2012 will apply to the Project, except as FTA determines otherwise in writing. Certifications and Assurances for funding to be awarded under this program in FY 2014 are included in these FTA Certifications and Assurances for FY 2014. Each Applicant must submit Group 01 (“Required Certifications and Assurances for Each Applicant”). Each Applicant seeking more than $100,000 in Federal funding must provide both Group 01, and Group 02, (“Lobbying”).

GROUP 18. TRIBAL TRANSIT PROGRAMS.

The Certifications in Group 18 are required for funding under:
- The Public Transportation on Indian Reservations Formula Program, 49 U.S.C. 5311(c)(1), as amended by MAP-21, and
- The Public Transportation on Indian Reservations Discretionary Program, 49 U.S.C. 5311(c)(1).
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a. Legal capacity,
b. Financial capacity, and
c. Technical capacity,

2. It has or will have satisfactory continuing control over the use of Project equipment and facilities,

3. Its Project equipment and facilities will be adequately maintained,

4. Its State program required under former 49 U.S.C. 5311(b)(2) has provided for a fair distribution of Federal funding appropriated or made available for former 49 U.S.C. 5311(b), within the State, including Indian reservations,

5. Its State program required under former 49 U.S.C. 5311(b)(2) provides or will provide the maximum feasible coordination of public transportation service funded by former 49 U.S.C. 5311(b), with transportation service funded by other Federal sources,

6. Its Projects in its Formula Grants for Other than Urbanized Areas Program are included in:
   a. The Statewide Transportation Improvement Program, and
   b. To the extent applicable, a Metropolitan Transportation Improvement Program,

7. It:
   a. Has or will have the amount of funds required for the local share, as required by former 49 U.S.C. 5311(g),
   b. Will provide the local share funds sources approved by FTA, and
   c. Will provide the local share funds when needed,

8. It may transfer a facility or equipment acquired using a grant under former 49 U.S.C. 5311(b) in effect in FY 2012 or a previous fiscal year to any other Recipient eligible to receive assistance under 49 U.S.C. chapter 53, if:
   a. The Recipient in possession of the facility or equipment consents to the transfer, and
   b. The facility or equipment will continue to be used as required under former 49 U.S.C. 5311,

9. Each fiscal year:
   a. It will spend at least fifteen (15) percent of its former 49 U.S.C. 5311 funding available for that fiscal year to develop and support intercity bus transportation within the State with eligible activities, including:
      (1) Planning and marketing for intercity bus transportation,
      (2) Capital grants for intercity bus shelters,
      (3) Joint-use stops and depots,
      (4) Operating grants through purchase-of-service agreements, user-side subsidies, and demonstration Projects, and
      (5) Coordinating rural connections between small public transportation operations and intercity bus carriers, or
   b. It will provide to the Federal Transit Administrator a Certification from the Chief Executive Officer of the State that:
      (1) It has consulted with the affected intercity bus service providers about the intercity bus needs of the State, and
      (2) The State’s intercity bus service needs are being met adequately.
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6. Its Projects in its Formula Grants for Rural Areas Program are included in:
   a. The Statewide Transportation Improvement Program, and
   b. To the extent applicable, a Metropolitan Transportation Improvement Program,

7. It:
   a. Has or will have the amount of funds required for the local share, as required by
      49 U.S.C. 5311(g),
   b. Will provide the local share funds from sources approved by FTA, and
   c. Will provide the local share funds when needed,

8. It may transfer a facility or equipment acquired using a grant under 49 U.S.C. 5311(b) to any other Recipient eligible to receive assistance under 49 U.S.C. chapter 53, if:
   a. The Recipient in possession of the facility or equipment consents to the transfer, and
   b. The facility or equipment will continue to be used as required under 49 U.S.C. 5311, and

9. Each fiscal year:
   a. It will spend at least fifteen (15) percent of its 49 U.S.C. 5311 funding available that fiscal year to develop and support intercity bus transportation within the State, with eligible activities, including:
      (1) Planning and marketing for intercity bus transportation,
      (2) Capital grants for intercity bus facilities,
      (3) Joint-use facilities,
      (4) Operating grants through purchase-of-service agreements, user-side subsidies, and demonstration Projects, and
      (5) Coordinating rural connections between small public transportation operations and intercity bus carriers, or
   b. It will provide to the Federal Transit Administrator a Certification from the Governor of the State that:
      (1) It has consulted with the affected intercity bus service providers about the intercity bus needs of the State, and
      (2) The State’s intercity bus service needs are being met adequately.

17.B. Formula Grants for Other Than Urbanized Areas Program.

*If your Applicant seeks FTA funding for its Project under the Formula Grants for Other Than Urbanized Areas Program, former 49 U.S.C. 5311 in effect in FY 2012 or a previous fiscal year, the Certifications in Group 17.B apply to your Applicant, except as FTA determines otherwise in writing.*

The following Certifications apply to each State or State organization serving as your Applicant for funding appropriated or made available for the Formula Grants for Other Than Urbanized Areas Project authorized by former 49 U.S.C. 5311(b)(1) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply. On its behalf, you certify and assure that:

1. It has or will have the following to carry out its proposed Project(s), including the safety and security aspects of its Project(s):
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MAP-21 cross-cutting requirements that apply.

(Separate Certifications and Assurances have been established for an Indian tribe that is an Applicant for a Tribal Transit Project financed with funding made available for 49 U.S.C. 5311(c).)

Before FTA may provide funding for your Applicant’s Project under any of the Programs listed above, in addition to other Certifications and Assurances you must select on its behalf, you must also select the Certifications in Group 17, except as FTA determines otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications and Assurances in Group 17 that does not apply will not be enforced.

17.A. Formula Grants for Rural Areas Program.

If your Applicant seeks FTA funding for its Project under the Formula Grants for Rural Areas Program, 49 U.S.C. 5311, as amended by MAP-21, the Certifications in Group 17.A apply to your Applicant, except as FTA determines otherwise in writing.

The following Certifications apply to each State or State organization serving as your Applicant for funding appropriated or made available for the Rural Areas Formula Project authorized by 49 U.S.C. 5311(b). On its behalf, you certify and assure that:

1. It has or will have the following to carry out its proposed Project(s), including the safety and security aspects of its Project(s):
   a. Legal capacity,
   b. Financial capacity, and
   c. Technical capacity,
2. It has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. Its Project equipment and facilities will be adequately maintained,
4. Its State program has provided for a fair distribution of Federal funding appropriated or made available for 49 U.S.C. 5311(b), within the State, including Indian reservations,
5. Its program provides or will provide the maximum feasible coordination of public transportation service funded by 49 U.S.C. 5311(b), with transportation service funded by other Federal sources,
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49 U.S.C. 5325(a),
(2) The prohibition against exclusionary or discriminatory specifications in its procurements under 49 U.S.C. 5323(h),
(3) “Buy America” under 49 U.S.C. 5323(j),
(4) Applicable pre-award and post-delivery requirements of 49 U.S.C. 5323(m),
(5) Applicable railcar option restrictions of 49 U.S.C. 5325(e), and
(6) “Veterans Preference/Employment” under 49 U.S.C. 5325(k),
e. It will comply with other applicable requirements under 49 U.S.C. 5323 and 5325,
f. It:
   (1) Has or will have and, as necessary, will require each Subrecipient to have the amount of funds required for the local share required by former 49 U.S.C. 5317(g),
   (2) Will provide and, as necessary, will require each Subrecipient to provide, the local share funds from sources approved by FTA, and
   (3) Will provide and, as necessary, will require each Subrecipient to provide, the local share funds when needed,
g. It has complied or will comply with, and will require each Subrecipient to comply with, 49 U.S.C. 5303, and 5304, and
h. To the extent applicable, it will comply with and, as necessary, will require each Subrecipient to comply with the final Federal regulations, when issued, that implement the safety plan requirements of 49 U.S.C. § 5329(d).

GROUP 17. RURAL/OTHER THAN URBANIZED AREAS/APPALACHIAN DEVELOPMENT/OVER-THE-ROAD BUS ACCESSIBILITY PROGRAMS.

The Certifications in Group 17 are required for funding under:
17.A. The Formula Grants for Rural Areas Program financed with funding appropriated or made available for 49 U.S.C. 5311(b), as amended by MAP-21, (Separate Certifications and Assurances have been established in Group 18 for an Indian tribe that is an Applicant for a Public Transportation on Indian Reservations Project financed with funding made available for 49 U.S.C. 5311(c)(1), as amended by MAP-21.)
17.B. The Formula Grants for Other Than Urbanized Areas Program financed with funding appropriated or made available for former 49 U.S.C. 5311(b) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply, (Separate Certifications and Assurances have been established in Group 18 for an Indian tribe that is an Applicant for a “Tribal Transit” Project financed with funding made available for former 49 U.S.C. 5311(c)(1) in effect in FY 2012 or a previous fiscal year.)
17.C. The Appalachian Development Public Transportation Assistance Program financed with funding appropriated or made available for 49 U.S.C. 5311(c)(2), as amended by MAP-21, and
17.D. The Over-the-Road Bus Accessibility Program financed with funding appropriated or made available for section 3038 of TEA-21, as amended by section 3039 of SAFETEA-LU, 49 U.S.C. 5310 note, except as superseded by
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(1) An areawide solicitation in cooperation with the appropriate metropolitan planning organization for applications for funding in compliance with former 49 U.S.C. 5317(d)(1), or
(2) A statewide solicitation for applications for New Freedom funding in compliance with former 49 U.S.C. 5317(d)(2),

b. Any allocations to Subrecipients of New Freedom funding authorized by former 49 U.S.C. 5317 will be distributed on a fair and equitable basis,

c. It will comply with the following Project selection and planning requirements:

(1) The Projects it has selected or will select for funding appropriated or made available for that program were derived from a public transit-human services transportation plan that has been:
   (a) Locally developed, and
   (b) Coordinated,

(2) That locally developed and coordinated plan was produced through a process that included:
   (a) Representatives of public, private, and nonprofit transportation providers,
   (b) Representatives of public, private, and nonprofit human services providers, and
   (c) Participation by the public,

d. Before it transfers funds to a Project funded by former 49 U.S.C. 5311(c), former 49 U.S.C. 5336, or both:
   (1) The funding to be transferred may be made available only to Projects eligible for funding appropriated or made available for former 49 U.S.C. 5317, and
   (2) It will have consulted with responsible local officials and publicly owned operators of public transportation in each area for which the amount to be transferred was originally awarded,

e. The requirements of former 49 U.S.C. 5307 and 5310, as determined by FTA, will apply to the New Freedom Program, authorized by former 49 U.S.C. 5317, and

2. The following Certifications for the New Freedom Program are required by former 49 U.S.C. 5307(d)(1) and 5310. Therefore, except as FTA determines otherwise in writing, on its behalf, you certify that:

a. It has or will have, and will require each Subrecipient to have, the following to carry out its proposed Project(s), including the safety and security aspects of its proposed Project(s):
   (1) Legal capacity,
   (2) Financial capacity, and
   (3) Technical capacity,

b. It has or will have, and will require each Subrecipient to have, satisfactory continuing control over the use of Project equipment and facilities,

c. It will maintain, and will require each Subrecipient to maintain, its Project equipment and facilities adequately,

d. When carrying out a procurement under former 49 U.S.C. 5317, it will, and will require each Subrecipient, to comply with the following provisions as amended by MAP-21:
   (1) Competitive procurement (as defined or approved by FTA), as required by
aspects of the proposed Project(s):
(1) Legal capacity,
(2) Financial capacity, and
(3) Technical capacity,
b. Your State Applicant and each Subrecipient has or will have satisfactory continuing control over the use of Project equipment and facilities,
c. Your State Applicant and each of its Subrecipients will maintain its Project equipment and facilities adequately,
d. When carrying out a procurement under former 49 U.S.C. 5310, it will, and will require each Subrecipient, to comply with the following provisions as amended by MAP-21:
(1) Competitive procurement (as defined or approved by FTA), as required by 49 U.S.C. 5325(a),
(2) The prohibition against exclusionary or discriminatory specifications in its procurements under 49 U.S.C. 5323(h),
(3) “Buy America” under 49 U.S.C. 5323(j),
(4) Applicable pre-award and post-delivery requirements of 49 U.S.C. 5323(m),
(5) Applicable railcar option restrictions of 49 U.S.C. 5325(e), and
(6) “Veterans Preference/Employment” under 49 U.S.C. 5325(k),
e. It will comply with other applicable requirements under 49 U.S.C. 5323 and 5325,
f. Your State Applicant:
(1) Has or will have and, as necessary, will require each Subrecipient to have the amount of funds required for the local share by former 49 U.S.C. 5310(c)(2),
(2) Will provide and, as necessary, will require each Subrecipient to provide, the local share funds from sources approved by FTA, and
(3) Will provide and, as necessary, will require each Subrecipient to provide, the local share funds when needed,
g. It has complied or will comply with, and will require each Subrecipient to comply with, 49 U.S.C. 5303, and 5304, and
h. To the extent applicable, your State Applicant will comply with and, as necessary, will require each Subrecipient to comply with the final Federal regulations, when issued, that implement the safety plan requirements of 49 U.S.C. § 5329(d).


If your Applicant seeks FTA funding for its Project under the New Freedom Program, former 49 U.S.C. 5317, in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply, the Certifications in Group 16.C apply to your Applicant, except as FTA determines otherwise in writing.

1. Former 49 U.S.C. 5317 in effect in FY 2012 or a previous fiscal year requires the following Certification for the New Freedom Program. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
a. It will make awards of New Freedom funding on a competitive basis after conducting:
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would undertake public transportation capital Project(s) planned, designed, and carried out to meet the special needs of elderly individuals and individuals with disabilities is:
(a) Unavailable,
(b) Insufficient, or
(c) Inappropriate, or
(2) A State or local governmental authority that:
(a) Is approved by a State to coordinate services for seniors and individuals with disabilities, or
(b) Certifies that there are not any nonprofit organizations readily available in the area to provide public transportation capital Projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities,
b. The Projects your State Applicant has selected or will select for funding appropriated or made available for former 49 U.S.C. 5310 are included in a public transit-human services transportation plan that has been:
(1) Locally developed, and
(2) Coordinated,
c. That public transit-human services transportation plan was developed and approved through a process that included participation by:
(1) Elderly Individuals,
(2) Individuals with disabilities,
(3) Representatives of public, private, and nonprofit transportation providers,
(4) Representatives of human services providers, and
(5) Other members of the public,
d. If your State Applicant allocates funds received under former 49 U.S.C. 5310 to Subrecipients, your State Applicant will have allocated those funds on a fair and equitable basis,
e. The Program of Projects your State Applicant has submitted or will submit contains or will contain an assurance that the Program provides for the maximum feasible coordination of transportation services funded by former 49 U.S.C. 5310 with transportation services funded by other Government sources,
f. If your State Applicant transfers former 49 U.S.C. 5310 funds to another Project funded under 49 U.S.C. 5336 in accordance with former 49 U.S.C. 5310(b)(2), the Project for which the funds are requested has been coordinated with private nonprofit providers of service under former 49 U.S.C. 5310, and
g. It will comply with the requirements of former 49 U.S.C. 5307 that FTA determined will apply to the former Formula Grants for the Special Needs of Elderly Individuals and Individuals with Disabilities Program,
2. The following Certifications for the Special Needs of Elderly Individuals and Individuals with Disabilities Program are required by former 49 U.S.C. 5307(d)(1). Therefore, except as FTA determines otherwise in writing, on behalf of your State Applicant, you certify that:
a. Your State Applicant and each of its Subrecipients have or will have the following to carry out its proposed Project(s), including the safety and security
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Disabilities, authorized by 49 U.S.C. 5310, and

2. FTA has determined certain requirements of 49 U.S.C. 5307, to be appropriate for which some require Certifications. Therefore, as specified under 49 U.S.C. 5307(c)(1), it certifies that:
   a. It has or will have, and will require each Subrecipient to have, the following to carry out its proposed Project(s), including the safety and security aspects of its proposed Project(s):
      (1) Legal capacity,
      (2) Financial capacity, and
      (3) Technical capacity,
   b. It has or will have, and will require each Subrecipient to have, satisfactory continuing control over the use of Project equipment and facilities,
   c. It will maintain, and will require each Subrecipient to maintain its Project equipment and facilities adequately,
   d. When carrying out a procurement under the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program, it will, and will require each Subrecipient to comply with the:
      (1) General Provisions of 49 U.S.C. 5323, and
      (2) Third Party Contract Provisions of 49 U.S.C. 5325,
   e. It has complied or will comply with, and will require each Subrecipient to comply with:
      (1) The Metropolitan Transportation Planning requirements of 49 U.S.C. 5303, and
      (2) The Statewide and Nonmetropolitan Transportation Planning requirements of 49 U.S.C. 5304,
   f. To the extent applicable, it will comply with, and require its Subrecipients to comply with the final Federal regulations, when issued, that implement the safety plan requirements of 49 U.S.C. § 5329(d).

16.B. Formula Grants for the Special Needs of Elderly Individuals and Individuals with Disabilities Program.

If your Applicant seeks FTA funding for its Project under the Formula Grants for the Special Needs of Elderly Individuals and Individuals with Disabilities Program, former 49 U.S.C. 5310 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply, the Certifications in Group 16.B apply to your Applicant, except as FTA determines otherwise in writing.

1. The following Certifications for the Formula Grants for the Special Needs of Elderly Individuals and Individuals with Disabilities Program are required by former 49 U.S.C. 5310 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply. Therefore, except as FTA determines otherwise in writing, on behalf of your State Applicant, you certify that:
   a. Each of your State Applicant’s Subrecipients is:
      (1) A private nonprofit organization, if the public transportation service that
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(1) A private nonprofit organization, or
(2) A State or local governmental authority that:
   (a) Is approved by a State to coordinate services for seniors and individuals with disabilities, or
   (b) Certifies that there are no private nonprofit organizations readily available in the area to provide the services authorized for support under the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program,

b. It will comply with the following Project selection and planning requirements:
   (1) The Projects it has selected or will select for funding appropriated or made available for 49 U.S.C. 5310 are included in a public transit-human services transportation plan that has been:
      (a) Locally developed, and
      (b) Coordinated,
   (2) The public transit-human services transportation plan was developed and approved through a process that included participation by:
      (a) Seniors,
      (b) Individuals with disabilities,
      (c) Representatives of public, private, and nonprofit transportation providers,
      (d) Representatives of public, private, and nonprofit human services providers, and
      (e) Other members of the public,
   (3) The transportation projects to assist in providing transportation services for seniors and individuals with disabilities are included in a program of projects,
   (4) A program of projects under Group 16.A.1.b(3) above is or will be submitted annually to FTA, and
   (5) To the maximum extent feasible, the services funded by 49 U.S.C. 5310 will be coordinated with transportation services funded by other Federal departments and agencies, including any transportation activities carried out by a recipient of a grant from the Department of Health and Human Services,

c. As required by 49 U.S.C. 5310(e)(2)(B), it certifies that if it allocates funds received under 49 U.S.C. 5310, to Subrecipients, it will have allocated those funds on a fair and equitable basis,

d. It will transfer a facility or equipment financed with funding appropriated or made available for a grant under 49 U.S.C. 5310, to any other recipient eligible to receive assistance under 49 U.S.C. chapter 53, only if:
   (1) The recipient in possession of the facility or equipment consents to the transfer, and
   (2) The facility or equipment will continue to be used as required under 49 U.S.C. 5310,

e. As required by 49 U.S.C. 5310(b)(2), it will use at least fifty-five (55) percent of the funds on capital projects to meet the special needs of seniors and disabled, and

f. The requirements of 49 U.S.C. 5307, as determined by FTA, will apply to the Formula Grants for the Enhanced Mobility of Seniors and Individuals with
The Certifications in Group 16 are required for funding under:

16.A. The Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program, financed or to be financed with funds appropriated or made available for 49 U.S.C. 5310, as amended by MAP-21, which among other things authorizes funding for New Freedom Projects and Project Activities.

16.B. The Formula Grants for the Special Needs of Elderly Individuals and Individuals with Disabilities Program financed or to be financed with funds appropriated or made available for former 49 U.S.C. 5310 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply, and

16.C. The New Freedom Program financed or to be financed with funds appropriated or made available for former 49 U.S.C. 5317 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply.

Before FTA may provide funding for your Applicant's Project under any of the Programs listed above, in addition to other Certifications and Assurances you must select on its behalf, you must also select the Certifications in Group 16, except as FTA determines otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications in Group 16 that does not apply will not be enforced.

16.A. Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program.

If your Applicant seeks FTA funding for its Project under the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program, 49 U.S.C. 5310, as amended by MAP-21, the Certifications in Group 16.A apply to your Applicant, except as FTA determines otherwise in writing.

1. The following Certifications for the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program are required by 49 U.S.C. 5310. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
   a. Each of its Subrecipients is:
(2) The financial capacity, and
(3) The technical capacity,
b. It has or will have, and will require each Subrecipient to have satisfactory continuing control over the use of Project equipment and facilities,
c. It will maintain, and will require each Subrecipient to maintain, its Project equipment and facilities adequately,
d. To the extent applicable, it will ensure, and will require each Subrecipient to ensure, that for transportation using or involving a facility or equipment of a Project financed under former 49 U.S.C. 5316 the following individuals will be charged a fare not exceeding fifty (50) percent of the peak hour fare:
   (1) Any elderly individual,
   (2) Any handicapped individual, as described in 49 CFR part 27,
   (3) Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. 401 et seq.), and
   (4) Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. 1395 et seq.),
e. When carrying out a procurement under former 49 U.S.C. 5316, it will comply with the following provisions as amended by MAP-21:
   (1) Competitive procurement (as defined or approved by FTA), as required by 49 U.S.C. 5325(a),
   (2) The prohibition against exclusionary or discriminatory specifications in its procurements, as required by 49 U.S.C. 5323(h),
   (3) "Buy America" under 49 U.S.C. 5323(j),
   (4) Applicable pre-award and post-delivery requirements of 49 U.S.C. 5323(m), and
   (5) "Veterans Preference/Employment" under 49 U.S.C. 5325(k),
f. It will comply with other applicable requirements under 49 U.S.C. 5323 and 5325,
g. It:
   (1) Has or will have and, as necessary, will require each Subrecipient to have the amount of funds required for the local share by former 49 U.S.C. 5316,
   (2) Will provide and, as necessary, will require each Subrecipient to provide, the local share funds from sources approved by FTA, and
   (3) Will provide and, as necessary, will require each Subrecipient to provide, the local share funds when needed,
h. It has complied or will comply with, and will require each Subrecipient to comply with, 49 U.S.C. 5303, and 5304,
i. It has or will have, and will require each Subrecipient to have, a locally developed process to solicit and consider public comment before:
   (1) Raising a fare, or
   (2) Implementing a major reduction of public transportation, and
j. To the extent applicable, it will comply with, and as necessary, will require each Subrecipient to comply with the final Federal regulations, when issued, that implement the safety plan requirements of 49 U.S.C. § 5329(d).

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that apply. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

a. It will make awards of JARC funding on a competitive basis following:
   (1) An areawide solicitation in cooperation with the appropriate metropolitan planning organization for applications for funding in compliance with former 49 U.S.C. 5316 if your Applicant receives funding under former 49 U.S.C. 5316(c)(1)(A), and
   (2) A statewide solicitation for applications for JARC funding in compliance with former 49 U.S.C. 5316 if your Applicant receives funding under former 49 U.S.C. 5316(c)(1)(B) or (C),

b. Any allocations to Subrecipients of JARC funding authorized by former 49 U.S.C. 5316 will be distributed on a fair and equitable basis,

c. As required by former 49 U.S.C. 5316:
   (1) The Projects it has selected or will select for former 49 U.S.C. 5316 funding must be derived from a public transit-human services transportation plan that has been:
       (a) Locally developed, and
       (b) Coordinated, and
   (2) That locally developed and coordinated plan was produced through a process that included:
       (a) Representatives of public, private, and nonprofit transportation providers,
       (b) Human service providers, and
       (c) Participation by the public,

d. Before it transfers funds to a Project funded by former 49 U.S.C. 5336, that Project has been or will have been coordinated with private nonprofit providers of services as required under former 49 U.S.C. 5316(g)(2),

e. Before using funds apportioned for Projects serving an area other than that for which funding was apportioned under former 49 U.S.C. 5316:
   (1) The State's chief executive officer, or his or her designee, will have certified that all the JARC program objectives of former 49 U.S.C. 5316 are being met in the area from which the funding would be derived, and
   (2) If the State has a statewide program for meeting the JARC program objectives of former 49 U.S.C. 5316, the funds can be used for Projects anywhere in the State, and

f. The requirements of former 49 U.S.C. 5307 will apply to the JARC Program, authorized by former 49 U.S.C. 5316, and

2. The following Certifications for the JARC Program are required by former 49 U.S.C. 5307(d)(1) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply. Therefore, except as FTA determines otherwise in writing, on its behalf, you certify that:

a. It has or will have, and will require each Subrecipient to have, the following to carry out its proposed Project(s), including the safety and security aspects of its proposed Project(s):
   (1) The legal capacity,
2. It has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. It will maintain its Project equipment and facilities adequately,
4. It will ensure that, during non-peak hours for transportation using or involving a facility or equipment of a Project financed under 49 U.S.C. 5307(h), the following individuals will be charged a fare not exceeding fifty (50) percent of the peak hour fare:
   a. Any senior,
   b. Any individual who, because of illness, injury, age, congenital malfunction, or other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), cannot use a public transportation service or a public transportation facility effectively without special facilities, planning, or design,
   c. Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. 401 et seq.), or
   d. Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. 1395 et seq.),
5. When carrying out a procurement under 49 U.S.C. 5307(h), it will comply with the:
   a. General Provisions of 49 U.S.C. 5323, and
6. As required by 49 U.S.C. 5307(d), it:
   a. Has or will have the amount of funds required for the local share,
   b. Will provide the local share funds from sources approved by FTA, and
   c. Will provide the local share funds when needed,
7. As required by 49 U.S.C. 5307(c)(1)(H), it will comply with:
   a. The Metropolitan Transportation Planning requirements of 49 U.S.C. 5303, and
   b. The Statewide and Nonmetropolitan Transportation Planning requirements of 49 U.S.C. 5304,
8. As required by 49 U.S.C. 5307(c)(1)(I), it has a locally developed process to solicit and consider public comment before:
   a. Raising a fare, or
   b. Implementing a major reduction of public transportation, and
9. It will comply with the final Federal regulations, when issued, that implement the safety plan requirements of 49 U.S.C. § 5329(d).

D. Job Access and Reverse Commute (JARC) Formula Grant Program.

If your Applicant seeks FTA funding for its Project under the Job Access and Reverse Commute (JARC) Formula Grant Program, former 49 U.S.C. 5316 in effect in FY 2012 or a previous fiscal year, the Certifications in Group 15.C apply to your Applicant, except as FTA determines otherwise in writing.

1. The following Certifications for the Job Access and Reverse Commute (JARC) Formula Grant Program are required by former 49 U.S.C. 5316 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements
more), including:
(1) Increased lighting in or adjacent to a public transportation system (including bus stops, subway stations, parking lots, and garages),
(2) Increased camera surveillance of an area in or adjacent to that system,
(3) Emergency telephone line or lines to contact law enforcement or security personnel in an area in or adjacent to that system, and
(4) Any other Project intended to increase the security and safety of an existing or planned public transportation, or

b. It will certify that such expenditures for transportation security Projects are not necessary (Information about its intentions must be recorded in the “Security” tab page of the TEAM-Web “Project Information” window when it submits its Urbanized Area Formula Grants Program application in TEAM-Web),

12. If it serves an urbanized area with a population of at least 200,000 individuals:
   a. Each fiscal year, it will ensure that at least one (1) percent of the amount apportioned to the urbanized area is spent for Transit Enhancements, as defined in former 49 U.S.C. 5302(a)(15),
   b. It will include in its quarterly report for the fourth quarter of the preceding Federal fiscal year:
      (1) A list of its Transit Enhancement Project Activities during that Federal fiscal year using those former 49 U.S.C. 5307 funds, or
      (2) Sufficient information to demonstrate that the Designated Recipients in its urbanized area together have spent one (1) percent of the amount of funding that must be made available to them for Transit Enhancements or have included the same information in a separate report attached in TEAM-Web, and
   c. The report of its or the Designated Recipients’ Transit Enhancement Projects or Project Activities is or will be incorporated by reference and made part of its Certifications and Assurances, and

13. It will comply with the final Federal regulations, when issued, that implement the safety plan requirements of 49 U.S.C. § 5329(d).

C. Passenger Ferry Grant Program.

If your Applicant seeks FTA funding for its Project under the Passenger Ferry Grant Program, 49 U.S.C. 5307(h), the Certifications in Group 15.C apply to your Applicant, except as FTA determines otherwise in writing.

The following Certifications for the Passenger Ferry Grant Program funding are required by 49 U.S.C. 5307(h) and (c)(1). Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
1. It has or will have the following to carry out its proposed Project(s), including the safety and security aspects of the proposed Project(s):
   a. Legal capacity,
   b. Financial capacity, and
   c. Technical capacity,
d. Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. 1395 et seq.),

5. When carrying out a procurement under former 49 U.S.C. 5307 in effect in FY 2012 or a previous fiscal year, it will comply with the following provisions as amended by MAP-21:
   a. Competitive procurement (as defined or approved by FTA), as required by 49 U.S.C. 5325(a),
   b. The prohibition against exclusionary or discriminatory specifications in its procurements under 49 U.S.C. 5323(h),
   c. “Buy America” under 49 U.S.C. 5323(j),
   d. Applicable pre-award and post-delivery requirements of 49 U.S.C. 5323(m),
   e. Applicable railcar option restrictions of 49 U.S.C. 5325(e), and
   f. “Veterans Preference/Employment” under 49 U.S.C. 5325(k),

6. It will comply with other applicable requirements under 49 U.S.C. 5323 and 5325,

7. It:
   a. Has or will make available to the public information on amounts available to it under 49 U.S.C. 5307 and the Program of Projects it proposes to undertake,
   b. Will develop or has developed, in consultation with interested parties, including private transportation providers, a proposed Program of Projects for activities to be financed,
   c. Will publish or has published a proposed Program of Projects in a way that affected citizens, private transportation providers, and local elected officials have the opportunity to examine the proposed program and submit comments on the proposed program and the Applicant or Recipient’s performance,
   d. Will provide or has provided an opportunity for a public hearing in which to obtain the views of citizens on the proposed Program of Projects,
   e. Will ensure or has ensured that the proposed Program of Projects provides for the coordination of public transportation services assisted under 49 U.S.C. 5336 with transportation services assisted from other U.S. Government sources,
   f. Will consider or has considered comments and views received, especially those of private transportation providers, in preparing the final Program of Projects, and
   g. Will make or has made the final Program of Projects available to the public,

8. It:
   a. Has or will have the amount of funds required for the local share,
   b. Will provide the local share funds from sources approved by FTA, and
   c. Will provide the local share funds when needed,

9. It has complied or will comply with, and will require each Subrecipient to comply with, 49 U.S.C. 5303, and 5304,

10. It has a locally developed process to solicit and consider public comment before:
    a. Raising a fare, or
    b. Implementing a major reduction of public transportation,

11. Each fiscal year:
    a. At least one (1) percent of the 49 U.S.C. 5307 funding apportioned to an urbanized area must be spent for public transportation security Projects (limited to capital Projects if it serves an urbanized area with a population of 200,000 or
as defined in 49 U.S.C. 5302(1),

b. It will include in its quarterly report for the fourth quarter of the preceding Federal fiscal year:
   (1) A list of its Associated Transit Improvement Projects or Project Activities during that Federal fiscal year using those 49 U.S.C. 5307 funds, or
   (2) Sufficient information to demonstrate that the Designated Recipients in its urbanized area together have spent one (1) percent of the funding apportioned to the area for Associated Transit Improvement Projects or Project Activities, or have included the same information in a separate report attached in TEAM-Web, and
c. The report of its Associated Transit Improvement Projects or Project Activities is or will be incorporated by reference and made part of its Certifications and Assurances, and

12. It will comply with the final Federal regulations, when issued, that implement the safety requirements of 49 U.S.C. § 5329(d).

B. Urbanized Area Formula Grants Program before MAP-21 Became Effective.

You must select the Certification in Group 15.B if your Applicant seeks funding under the Urbanized Area Formula Grants Program financed with funds appropriated or made available for former 49 U.S.C. 5307 in effect in FY 2012 or a previous fiscal year. In administering this program, MAP-21 cross-cutting requirements supersede inconsistent former requirements.

The following Certifications for the Urbanized Area Formula Grants Program are required by former 49 U.S.C. 5307(d)(1) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

1. It has or will have the following to carry out its proposed Project(s), including the safety and security aspects of Project(s):
   a. Legal capacity,
   b. Financial capacity, and
c. Technical capacity,

2. It has or will have satisfactory continuing control over the use of Project equipment and facilities,

3. It will maintain its Project equipment and facilities adequately,

4. It will ensure that for transportation using or involving a facility or equipment of a Project financed under former 49 U.S.C. 5307 in effect in FY 2012 or a previous fiscal year, the following individuals will be charged a fare not exceeding fifty (50) percent of the peak hour fare:
   a. Any elderly individual,
   b. Any handicapped individual, as described in 49 CFR part 27,
c. Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. 401 et seq.), or
individuals, private transportation providers, and local elected officials will have an opportunity to examine and submit comments on the proposed Program of Projects and its performance as an Applicant or Recipient,
d. Has provided or will provide an opportunity for a public hearing to obtain the views of individuals on the proposed Program of Projects,
e. Has ensured or will ensure that the proposed Program of Projects provide for coordination of transportation services funded by FTA under 49 U.S.C. 5336 with transportation services supported by other United States Government sources,
f. Has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final Program of Projects, and

g. Has made or will make the final Program of Projects available to the public,

7. As required by 49 U.S.C. 5307(d), it:
a. Has or will have the amount of funds required for the local share,
b. Will provide the local share funds from sources approved by FTA, and
c. Will provide the local share funds when needed,

8. As required by 49 U.S.C. 5307(c)(1)(H), it will comply with:
a. The Metropolitan Transportation Planning requirements of 49 U.S.C. 5303, and
b. The Statewide and Nonmetropolitan Transportation Planning requirements of 49 U.S.C. 5304,

9. As required by 49 U.S.C. 5307(c)(1)(I), it has a locally developed process to solicit and consider public comment before:
a. Raising a fare, or
b. Implementing a major reduction of public transportation,

10. Each fiscal year:
a. At least one (1) percent of the amount of the 49 U.S.C. 5307 funding apportioned to the urbanized area must be expended for public transportation security Projects as described in 49 U.S.C. 5307(c)(1)(J)(i) including:
   (1) Increased lighting in or adjacent to a public transportation system (including bus stops, subway stations, parking lots, and garages),
   (2) Increased camera surveillance of an area in or adjacent to that system,
   (3) Providing emergency telephone line or lines to contact law enforcement or security personnel in an area in or adjacent to that system, and
   (4) Any other Project intended to increase the security and safety of an existing or planned public transportation system, or
b. The Designated Recipients in its urbanized area certify that such expenditures for transportation security Projects are not necessary (Information about the intentions of your Designated Recipients in your Applicant’s urbanized area must be recorded in the “Security” tab page of the TEAM-Web “Project Information” window when it submits its Urbanized Area Formula Grants Program application in TEAM-Web),

11. If it serves an urbanized area with a population of at least 200,000 individuals, as determined by the Bureau of the Census:
a. Each fiscal year, it will ensure that at least one (1) percent of the amount apportioned to the urbanized area is spent for Associated Transit Improvements,
Any provision of the Certifications in Group 15 that does not apply will not be enforced.

15.A. Urbanized Area Formula Grants Program under MAP-21.

If your Applicant seeks FTA funding for its Project under the Urbanized Area Formula Grants Program, 49 U.S.C. 5307, as amended by MAP-21, the Certifications in Group 15.A apply to your Applicant, except as FTA determines otherwise in writing.

The following Certifications for the Urbanized Area Formula Grants Program funding appropriated or made available in FYs 2013 and 2014 are required by 49 U.S.C. 5307(c)(1). Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

1. It has or will have the following to carry out its proposed Project(s), including the safety and security aspects of the proposed Project(s):
   a. Legal capacity,
   b. Financial capacity, and
   c. Technical capacity,

2. It has or will have satisfactory continuing control over the use of Project equipment and facilities,

3. It will maintain its Project equipment and facilities adequately,

4. It will ensure that, during non-peak hours for transportation using or involving a facility or equipment of a Project financed under 49 U.S.C. 5307, the following individuals will be charged a fare not exceeding fifty (50) percent of the peak hour fare:
   a. Any senior,
   b. Any individual who, because of illness, injury, age, congenital malfunction, or other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), cannot use a public transportation service or a public transportation facility effectively without special facilities, planning, or design,
   c. Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. 401 et seq.), or
   d. Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. 1395 et seq.),

5. When carrying out a procurement under 49 U.S.C. 5307, it will comply with the:
   a. General Provisions of 49 U.S.C. 5323, and

6. It has complied with or will comply with 49 U.S.C. 5307(b), because it:
   a. Has made or will make available to the public information on amounts of its funding available to it under 49 U.S.C. 5307,
   b. Has developed or will develop, in consultation with interested parties, including private transportation providers, a proposed Program of Projects for activities to be funded,
   c. Has published or will publish a Program of Projects in a way that affected
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1. It has or will have the following to carry out its proposed Project(s), including the safety and security aspects of those Project(s):
   a. Legal capacity,
   b. Financial capacity, and
   c. Technical capacity,
2. It has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. It will maintain its Project equipment and facilities adequately, and
4. It has complied or will comply with, and will require each Subrecipient to comply with, 49 U.S.C. 5303 and 5304.

GROUP 15. URBANIZED AREA FORMULA GRANTS PROGRAMS, PASSENGER FERRY GRANT PROGRAM, AND JOB ACCESS AND REVERSE COMMUTE (JARC) FORMULA GRANT PROGRAM.

The Certifications in Group 15 are required for funding under:
15.A. The Urbanized Area Formula Grants Program financed with funds appropriated or made available for 49 U.S.C. 5307, as amended by MAP-21, which among other things, authorizes funding for Job Access and Reverse Commute (JARC) Projects and Project Activities,
15.B. The Urbanized Area Formula Grants Program financed with funds appropriated or made available for former 49 U.S.C. 5307 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply,
15.C. The Passenger Ferry Grant Program financed with funds appropriated or made available for 49 U.S.C. 5307(h), as amended by MAP-21, and
15.D. The Job Access and Reverse Commute (JARC) Formula Grant Program financed with funds appropriated or made available for former 49 U.S.C. 5316 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply.

Before FTA may provide funding for your Applicant’s Project under any of the Programs listed above, in addition to other Certifications and Assurances you must select on its behalf, you must also select the Certifications in Group 15, except as FTA determines otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.
funding available to it under 49 U.S.C. 5339,
b. Has developed or will develop, in consultation with interested parties, including private transportation providers, a proposed Program of Projects for activities to be funded,
c. Has published or will publish a Program of Projects in a way that affected individuals, private transportation providers, and local elected officials will have an opportunity to examine and submit comments on the proposed Program of Projects and its performance as an Applicant or Recipient,
d. Has provided or will provide an opportunity for a public hearing to obtain the views of individuals on the proposed Program of Projects,
e. Has ensured or will ensure that the proposed Program of Projects provide for coordination of transportation services funded by FTA under 49 U.S.C. 5336 with transportation services supported by other United States Government sources,
f. Has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final Program of Projects, and
g. Has made or will make the final Program of Projects available to the public,

7. As required by 49 U.S.C. 5307(d), it:
a. Has or will have the amount of funds required for the local share,
b. Will provide the local share funds from sources approved by FTA, and
c. Will provide the local share funds when needed,

8. It will comply with:
a. The Metropolitan Transportation Planning requirements of 49 U.S.C. 5303, and
b. The Statewide and Nonmetropolitan Transportation Planning requirements of 49 U.S.C. 5304,

9. It has a locally developed process to solicit and consider public comment before:
a. Raising a fare, or
b. Implementing a major reduction of public transportation, and

10. It will comply with the final Federal regulations, when issued, that implement the safety plan requirements of 49 U.S.C. § 5329(d).

14.B. Bus and Bus Related Equipment and Facilities Grant Program (Discretionary).

If your Applicant seeks FTA funding for its Project under the Bus and Bus Related Equipment and Facilities Grant Program (Discretionary), former 49 U.S.C. 5309 in effect in FY 2012 or a previous fiscal year, the Certifications in Group 14.B below apply to your Applicant, except as FTA determines otherwise in writing.

The following Certifications for the Bus and Bus Related Equipment and Facilities Grant Program (Discretionary) funding are required by former 49 U.S.C. 5309(c)(2), which applies the requirements of former 49 U.S.C. 5307(d)(1)(A), (B), (C), and (H) in effect in FY 2012 or a previous fiscal year to this Program except as superseded by MAP-21 cross-cutting requirements that apply. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications in Group 14 that does not apply will not be enforced.

14.A. Bus and Bus Facilities Formula Grants Program

If your Applicant seeks FTA funding for its Project under the Bus and Bus Facilities Formula Grants Program, 49 U.S.C. 5339, the Certifications in Group 14.A below apply to your Applicant, except as FTA determines otherwise in writing.

The following Certification for Bus and Bus Facilities Formula Grants Program funding are required by 49 U.S.C. 5339(b), which states that “[t]he requirements of section 5307 apply to recipients of grants made under this section.” Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

1. It has or will have the following to carry out its proposed Project(s), including the safety and security aspects of its proposed Project(s):
   a. Legal capacity,
   b. Financial capacity, and
   c. Technical capacity,
2. It has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. It will maintain its Project equipment and facilities adequately,
4. It will ensure that, during non-peak hours for transportation using or involving a facility or equipment of a Project financed under 49 U.S.C. 5339, the following individuals will be charged a fare not exceeding fifty (50) percent of the peak hour fare:
   a. Any senior,
   b. Any individual who, because of illness, injury, age, congenital malfunction, or other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), cannot use a public transportation service or a public transportation facility effectively without special facilities, planning, or design,
   c. Any individual presenting a Medicare card issued to that individual under title II of the Social Security Act (42 U.S.C. 401 et seq.), and
   d. Any individual presenting a Medicare card issued to that individual under title XVIII of the Social Security Act (42 U.S.C. 1395 et seq.),
5. When carrying out a procurement under 49 U.S.C. 5339, it will comply with the:
   a. General Provisions of 49 U.S.C. 5323, and
6. It has complied with or will comply with 49 U.S.C. 5307(b), because it:
   a. Has made or will make available to the public information on amounts of its
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Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certification in Group 13 that does not apply will not be enforced.

Former 49 U.S.C. 5309(b)(2) and former 49 U.S.C. 5307(d)(1) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply, require the following Certifications for Fixed Guideway Modernization Grant Program funding. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

1. It has or will have the following to carry out its proposed Project(s), including the safety and security aspects of the proposed Project(s):
   a. Legal capacity,
   b. Financial capacity, and
   c. Technical capacity,
2. It has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. It will maintain its Project equipment and facilities adequately, and
4. It has complied or will comply with, and will require each Subrecipient to comply with, 49 U.S.C. 5303 and 5304.

GROUP 14. BUS AND BUS FACILITIES FORMULA GRANTS PROGRAM AND BUS AND BUS RELATED EQUIPMENT AND FACILITIES GRANT PROGRAM (DISCRETIONARY).

The Certifications in Group 14 are required for funding under:

14.A. The Bus and Bus Facilities Formula Grants Program, 49 U.S.C. 5339, as amended by MAP-21, and

14.B. The Bus and Bus Related Equipment and Facilities Grant Program (Discretionary), former 49 U.S.C. 5309(b)(3) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross cutting requirements that apply.

Before FTA may provide funding for your Applicant's Project under either Program listed above, in addition to other Certifications and Assurances you must select on its behalf, you must also select the Certifications in Group 14, except as FTA determines otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or

GROUP 12. STATE OF GOOD REPAIR PROGRAM.

Certain Certifications and Assurances listed previously are required for the State of Good Repair Program funding under 49 U.S.C. 5337.

Before FTA may provide funding for your Applicant's Project under the State of Good Repair Program, 49 U.S.C. 5337, for your Applicant's Project, in addition to other Certifications and Assurances you must select on its behalf, you must also select the Certifications in Group 12, except as FTA determines otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Assurance in Group 12 that does not apply will not be enforced.

On behalf of your Applicant, you certify that:
1. It has or will have the following to carry out its proposed Project(s), including the safety and security aspects of the Project(s):
   a. Legal capacity,
   b. Financial capacity, and
   c. Technical capacity,
2. It has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. It will maintain its Project equipment and facilities adequately, and
4. It will comply with:
   a. The Metropolitan Transportation Planning requirements of 49 U.S.C. 5303, and

GROUP 13. FIXED GUIDEWAY MODERNIZATION GRANT PROGRAM.

Before FTA may provide funding for your Applicant's Project under the Fixed Guideway Modernization Grant Program, former 49 U.S.C. 5309 in effect in FY 2012 or a previous fiscal year, in addition to other Certifications and Assurances you must select on its behalf, you must also select the Certifications in Group 13, except as FTA determines otherwise in writing.
requirements apply have complied or will comply with all applicable requirements of 49 CFR part 655 to the extent those regulations are consistent with 49 U.S.C. 5331, and

3. Consistent with U.S. DOT Office of Drug and Alcohol Policy and Compliance Notice, issued October 22, 2009, if your Applicant, its Subrecipients, or Third Party Contractors to which these testing requirements apply reside in a State that permits marijuana use for medical or recreational purposes, your Applicant, its Subrecipients, and Third Party Contractors to which these testing requirements apply have complied or will comply with the Federal controlled substance testing requirements of 49 CFR part 655.

GROUP 11. FIXED GUIDEWAY CAPITAL INVESTMENT GRANTS PROGRAM (NEW STARTS, SMALL STARTS, AND CORE CAPACITY) AND CAPITAL INVESTMENT PROGRAM IN EFFECT BEFORE MAP-21.

The Certifications in Group 11 apply to the New Starts, Small Starts, or Core Capacity Programs, 49 U.S.C. 5309.

Before FTA may provide funding for your Applicant's New Starts, Small Starts, or Core Capacity Project in addition to other Certifications and Assurances you must select on its behalf, you must also select the Certifications in Group 11, except as FTA may determine otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications in Group 11 that does not apply will not be enforced.

Except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

1. It has or will have the following capabilities to carry out its proposed Project(s), including the safety and security aspects of the Project(s):
   a. Legal capacity,
   b. Financial capacity, and
   c. Technical capacity,
2. It has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. It will maintain its Project equipment and facilities adequately, and
4. It will comply with:
   a. The Metropolitan Transportation Planning requirements of 49 U.S.C. 5303, and
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and

2. Comply with the final Federal regulations when issued that implement the transit asset management provisions of 49 U.S.C. 5326.


If your Applicant applies for funding under 49 U.S.C. chapter 53 and it is a State government, local government, or any other operator of a public transportation system, the Public Transportation Safety Plan Certifications in Group 09.B apply to your Applicant, except as FTA determines otherwise in writing.

On behalf of your Applicant, you certify that it will:
1. Follow the Federal guidance, when issued, that will implement the safety plan provisions of 49 U.S.C. § 5329(d), except as FTA determines otherwise in writing, and
2. Comply with the final Federal regulations, when issued, that implement the safety plan requirements of 49 U.S.C. § 5329(d).

GROUP 10. ALCOHOL AND CONTROLLED SUBSTANCES TESTING.

If your Applicant must comply with the alcohol and controlled substance testing requirements of 49 U.S.C. 5331 and its implementing regulations, before FTA may provide funding for your Applicant's Project, in addition to other Certifications and Assurances you must select on your Applicant's behalf, you must also select the Certifications in Group 10, except as FTA may determine otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications in Group 10 that does not apply will not be enforced.

As required by 49 U.S.C. 5331, and FTA regulations, “Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations,” 49 CFR part 655, subpart I, specifically 49 CFR 655.83, on behalf of your Applicant, including a State Applicant, and on behalf of its Subrecipients and Third Party Contractors, you certify that:
1. Your Applicant, its Subrecipients, and Third Party Contractors to which these testing requirements apply have established and implemented:
   a. An alcohol misuse testing program, and
   b. A controlled substance testing program,
2. Your Applicant, its Subrecipients, and Third Party Contractors to which these testing
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applies to your Applicant, except as FTA determines otherwise in writing.

On behalf of your Applicant, you certify and assure that, as required by FTA regulations, “Capital Leases,” 49 CFR part 639, specifically 49 CFR 639.15(b)(1) and 49 CFR 639.21, if your Applicant acquires any capital asset through a lease financed with Federal funding appropriated or made available for 49 U.S.C. chapter 53:

1. It will not use Federal funding appropriated or made available for public transportation projects eligible under 49 U.S.C. chapter 53 or any other applicable law to finance the cost of leasing any capital asset until:
   a. It performs calculations demonstrating that leasing the capital asset would be more cost-effective than purchasing or constructing a similar asset, and
   b. It completes these calculations before the later of:
      (1) Entering into the lease, or
      (2) Receiving a capital grant for the asset, and

2. It will not enter into a capital lease for which FTA can provide only incremental Federal funding unless it has adequate financial resources to meet its future lease obligations if Federal funding is not available.

GROUP 09. TRANSIT ASSET MANAGEMENT PLAN AND PUBLIC TRANSPORTATION AGENCY SAFETY PLAN.

Before FTA may provide funding appropriated or made available for 49 U.S.C. chapter 53 to support your Applicant’s Project, in addition to other Certifications and Assurances you must select on your Applicant’s behalf, you must also select the Certifications in Group 09, except as FTA determines otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications in Group 09 that does not apply will not be enforced.


If your Applicant applies for funding appropriated or made available for 49 U.S.C. chapter 53, the Transit Asset Management Certifications in Group 09.A apply to your Applicant, except as FTA determines otherwise in writing.

On behalf of your Applicant, you certify that it and each Subrecipient will:

1. Follow Federal guidance when issued that implements transit asset management system provisions of 49 U.S.C. 5326, except as FTA determines otherwise in writing,
chapter 53 to support interest or financing costs of any Project financed under the Urbanized Area Formula Grants Program, Fixed Guideway Capital Investment Grants Program, or another program as FTA may specify, or finance leasing costs, in addition to other Certifications and Assurances you must select on your Applicant's behalf, you must also select the Certifications in Group 08, except as FTA may determine otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications and Assurances in Group 08 that does not apply will not be enforced.

8.A. Interest and Financing Costs.

If your Applicant intends to use FTA funding to support interest or other financing costs for Projects funded by the Urbanized Area Formula Grants Program, Fixed Guideway Capital Investment Grants Program, or another program as FTA may specify, the Interest and Financing Costs Certifications in Group 08.A apply to your Applicant, except as FTA determines otherwise in writing.

On behalf of your Applicant, you certify that:
1. It will not seek reimbursement for interest or other financing costs unless:
   a. It is eligible to receive Federal funding for those costs, and
   b. Its records demonstrate that it has shown reasonable diligence in seeking the most favorable financing terms, to the extent FTA may require, and
2. It will comply with the same favorable financing cost provisions for:
   a. Urbanized Area Formula Grants Projects,
   b. Projects under Full Funding Grant Agreements,
   c. Projects with Early Systems Work Agreements,
   d. Fixed Guideway Capital Investment Projects funded by previous FTA enabling legislation,
   e. State of Good Repair Projects,
   f. Bus and Bus Facilities Projects, and
   g. Low or No Emission Vehicle Development Projects.

8.B. Acquisition of Capital Assets by Lease.

If your Applicant seeks FTA funding to acquire capital assets through a lease, the Acquisition of Capital Assets by Lease Certifications and Assurances in Group 08.B

a. Provided in the most integrated setting feasible, and
b. Equivalent to the service it offers individuals without disabilities with respect to:
   (1) Response time,
   (2) Fares,
   (3) Geographic service area,
   (4) Hours and days of service,
   (5) Restrictions on priorities based on trip purpose,
   (6) Availability of information and reservation capability, and
   (7) Constraints on capacity or service availability.

GROUP 07. INTELLIGENT TRANSPORTATION SYSTEMS.

Before FTA may provide funding for an Intelligent Transportation Systems (ITS) Project or a Project in support of an ITS Project, in addition to other Certifications and Assurances you must select on your Applicant's behalf, you must also select the Intelligent Transportation Systems Assurances in Group 07, except as FTA determines otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Assurances in Group 07 that does not apply will not be enforced.

On behalf of your Applicant, you and your Applicant:
1. Understand that, as used in this assurance, the term Intelligent Transportation Systems (ITS) Project is defined to include any Project that, in whole or in part, finances the acquisition of technologies or systems of technologies that provide or significantly contribute to the provision of one or more ITS user services as defined in the “National ITS Architecture,” and
2. Assure that, as provided in 23 U.S.C. 517(d), any ITS Project it undertakes that is funded with appropriations made available from the Highway Trust Fund, including amounts made available to deploy ITS facilities or equipment, will conform to the appropriate regional ITS architecture, applicable standards, and protocols developed under 23 U.S.C. 517(a) or (c), unless it obtains a waiver as provided in 23 U.S.C. 517(d)(2).

GROUP 08. INTEREST AND FINANCING COSTS AND ACQUISITION OF CAPITAL ASSETS BY LEASE.

Before FTA may provide funding appropriated or made available for 49 U.S.C.
model, and
b. It will not authorize final acceptance of the bus until:
   (1) The bus has been tested at FTA’s bus testing facility, and
   (2) It has received a copy of the test report prepared on that new bus model,
3. It will ensure that the bus that is tested has met the performance standards consistent
   with those regulations, including:
   a. Performance standards for:
      (1) Maintainability,
      (2) Reliability,
      (3) Performance (including braking performance),
      (4) Structural integrity,
      (5) Fuel economy,
      (6) Emissions, and
      (7) Noise, and
   b. Minimum safety performance standards established under 49 U.S.C. 5329, and
4. After FTA has issued regulations authorized by 49 U.S.C. 5318(e)(2), it will ensure
   that the bus that is tested has received a passing aggregate test score under the
   “Pass/Fail” standard established by regulation.

GROUP 06. DEMAND RESPONSIVE SERVICE.

If your Applicant is a public entity, operates demand responsive service, and seeks FTA
funding to acquire a non-rail vehicle that is not accessible, before FTA may provide
funding for that Project, in addition to other Certifications and Assurances you must
select on your Applicant’s behalf, you must also select the Demand Responsive Service
Certifications in Group 06, except as FTA determines otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and
Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or
other Third Party Participant in its Project, except as FTA determines otherwise in
writing. For this reason, we strongly encourage your Applicant to take appropriate
measures, including, but not limited to, obtaining sufficient documentation from each
Subrecipient and other Third Party Participants to assure the validity of the applicable
Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications in Group 06 that does not apply will not be enforced.

As required by U.S. DOT regulations, “Transportation Services for Individuals with
Disabilities (ADA),” 49 CFR part 37, specifically 49 CFR 37.77(d), on behalf of your
Applicant, you certify that:
1. Your Applicant offers public transportation services equivalent in level and quality of
   service to:
   a. Individuals with disabilities, including individuals who use wheelchairs, and
   b. Individuals without disabilities, and
2. Viewed in its entirety, its service for individuals with disabilities is:
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Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications in Group 05 that does not apply will not be enforced.

5.A. Rolling Stock Reviews.

If your Applicant seeks FTA funding to acquire rolling stock for use in revenue service, the Certifications in Group 05.A apply to your Applicant, except as FTA determines otherwise in writing.

On behalf of your Applicant, you certify that when procuring rolling stock for use in revenue service:
1. It will comply with:
   a. Federal transit laws, specifically 49 U.S.C. 5323(m), and
   b. FTA regulations, "Pre-Award and Post-Delivery Audits of Rolling Stock Purchases," 49 CFR part 663, and
2. As provided in 49 CFR 663.7:
   a. It will conduct or cause to be conducted the required pre-award and post-delivery reviews, and
   b. It will maintain on file the Certifications required by 49 CFR part 663, subparts B, C, and D.

5.B. Bus Testing.

If your Applicant seeks FTA funding to acquire a new bus model, the Bus Testing Certifications in Group 05.B apply to your Applicant, except as FTA determines otherwise in writing.

On behalf of your Applicant, you certify that:
1. Bus Testing requirements apply to all acquisitions of new buses and new bus models that require bus testing, and it will comply with:
   a. 49 U.S.C. 5318, and
   b. FTA regulations, "Bus Testing," 49 CFR part 665, to the extent these regulations are consistent with 49 U.S.C. 5318,
2. As required by 49 CFR 665.7, when acquiring the first bus of any new bus model or a bus model with a major change in components or configuration:
   a. It will not spend any Federal funds appropriated under 49 U.S.C. chapter 53 to acquire that bus until:
      (1) That bus has been tested at FTA’s bus testing facility, and
      (2) That bus has received a copy of the test report prepared on that new bus
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a. Your Applicant, when it becomes a Recipient of Federal funding appropriated or made available for:
   (1) Federal transit laws, 49 U.S.C. chapter 53,
   (2) 23 U.S.C. 133 or 142, or
   (3) Any other Act that provides Federal public transportation assistance, unless otherwise excepted, and
b. Any Third Party Participant that receives Federal funding derived from:
   (1) Federal transit laws, 49 U.S.C. chapter 53,
   (2) 23 U.S.C. 133 or 142, or
   (3) Any other Act that provides Federal public transportation assistance, unless otherwise excepted,

3. A Third Party Participant includes any:
   a. Subrecipient at any tier,
   b. Lessee,
   c. Third Party Contractor or Subcontractor at any tier, and
   d. Other Third Party Participant in the Project,

4. You and your Applicant agree, and will obtain the agreement of any Third Party Participant involved in your Applicant’s Project, that it will not engage in school bus operations in competition with private operators of school buses, except as permitted under:
   a. Federal transit laws, specifically 49 U.S.C. 5323(f) and (g),
   b. FTA regulations, “School Bus Operations,” 49 CFR part 605, to the extent consistent with 49 U.S.C. 5323(f) and (g),
   c. Any other Federal School Bus regulations, or
   d. Federal guidance, except as FTA determines otherwise in writing,

5. You and your Applicant agree that the latest School Bus Agreement you have selected on its behalf in FTA’s latest annual Certifications and Assurances is incorporated by reference in and made part of the underlying Agreement accompanying an award of FTA funding, and

6. You and your Applicant agree that after it is a Recipient, if it or any Third Party Participant has violated this School Bus Agreement, FTA may:
   a. Bar your Applicant or Third Party Participant from receiving further Federal transit funds, or
   b. Require the Applicant or Third Party Participant to take such remedial measures as FTA considers appropriate.

GROUP 05. ROLLING STOCK REVIEWS AND BUS TESTING.

Before FTA may provide funding for a Project to acquire rolling stock for use in revenue service or to acquire a new bus model, in addition to other Certifications and Assurances you must select on your Applicant’s behalf, you must also select the Rolling Stock Reviews and Bus Testing Certifications in Group 05, except as FTA determines otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and
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latest annual Certifications and Assurances, and

(2) These corrective measures and remedies may include:
   (a) Barring it or any Third Party Participant operating public transportation under the Project that has provided prohibited charter service from receiving FTA funds,
   (b) Withholding an amount of Federal funds as provided by Appendix D to FTA’s Charter Service regulations, or
   (c) Any other appropriate remedy that may apply, and

2. In addition to the exceptions to the charter service restrictions in FTA’s Charter Service Regulations, FTA has established the following additional exceptions to those restrictions:
   a. FTA’s Charter Service restrictions do not apply to your Applicant if it seeks funding appropriated or made available for 49 U.S.C. 5307 and 5311, to be used for Job Access and Reverse Commute (JARC) activities that would have been eligible for assistance under repealed 49 U.S.C. 5316 in effect in FY 2012 or a previous fiscal year, provided that it uses that FTA funding for those program purposes only,
   b. FTA’s Charter Service restrictions do not apply to your Applicant if it seeks funding appropriated or made available for 49 U.S.C. 5310, to be used for New Freedom activities that would have been eligible for assistance under repealed 49 U.S.C. 5317 in effect in FY 2012 or a previous fiscal year, provided it uses that FTA funding for those program purposes only, and
   c. An Applicant for assistance under 49 U.S.C. chapter 53 will not be determined to have violated the FTA Charter Service regulations if that Recipient provides a private intercity or charter transportation operator reasonable access to that Recipient’s federally funded public transportation facilities, including intermodal facilities, park and ride lots, and bus-only highway lanes, as provided in 49 U.S.C. 5323(r).

4.C. School Bus Agreement.

If your Applicant seeks FTA funding to acquire or operate transit facilities or equipment, the School Bus Agreement in Group 04.C applies to your Applicant, except as FTA determines otherwise in writing.

To comply with 49 U.S.C. 5323(f) and (g) and FTA regulations, “School Bus Operations,” 49 CFR part 605, to the extent consistent with 49 U.S.C. 5323(f) and (g), on behalf of your Applicant, you are entering into the following School Bus Agreement:

1. FTA’s “School Bus Operations” regulations restrict school bus operations using facilities and equipment acquired with Federal funding derived from:
   a. Federal transit laws, 49 U.S.C. chapter 53,
   b. 23 U.S.C. 133 or 142, or
   c. Any other Act that provides Federal public transportation assistance, unless otherwise excepted,

2. FTA’s school bus operations restrictions extend to:
a. FTA’s Charter Service regulations restrict transportation by charter service using facilities and equipment acquired by Recipients of FTA funding for transportation Projects with Federal funding derived from:
   (1) Federal transit laws, 49 U.S.C. chapter 53,
   (2) 23 U.S.C. 133 or 142, or
   (3) Any other Act that provides Federal public transportation assistance, unless otherwise excepted,

b. FTA’s charter service restrictions extend to:
   (1) Your Applicant, when it becomes a Recipient of Federal funding appropriated or made available for:
      (a) Federal transit laws, 49 U.S.C. chapter 53,
      (b) 23 U.S.C. 133 or 142, or
      (c) Any other Act that provides Federal public transportation assistance, unless otherwise excepted, and
   (2) Any Third Party Participant that receives Federal funding derived from:
      (a) Federal transit laws, 49 U.S.C. chapter 53,
      (b) 23 U.S.C. 133 or 142, or
      (c) Any other Act that provides Federal public transportation assistance, unless otherwise excepted,

c. A Third Party Participant includes any:
   (1) Subrecipient at any tier,
   (2) Lessee,
   (3) Third Party Contractor or Subcontractor at any Tier, and
   (4) Other Third Party Participant in its Project,

d. You and your Applicant agree that neither it nor any governmental authority or publicly owned operator that receives Federal public transportation assistance appropriated or made available for its Project will engage in charter service operations, except as permitted under:
   (1) Federal transit laws, specifically 49 U.S.C. 5323(d) and (g),
   (2) FTA regulations, “Charter Service,” 49 CFR part 604, to the extent consistent with 49 U.S.C. 5323(d) and (g),
   (3) Any other Federal Charter Service regulations, or
   (4) Federal guidance, except as FTA determines otherwise in writing,

e. You and your Applicant agree that the latest Charter Service Agreement it has selected in its latest annual Certifications and Assurances is incorporated by reference in and made part of the underlying Agreement accompanying an award of FTA funding, and

f. You and your Applicant agree that:
   (1) FTA may require corrective measures or impose remedies on it or any governmental authority or publicly owned operator that receives FTA funding appropriated or made available for its Project that has engaged in a pattern of violations of FTA’s Charter Service regulations by:
      (a) Conducting charter operations prohibited by Federal transit laws and FTA’s Charter Service regulations, or
      (b) Otherwise violating its Charter Service Agreement it has elected in its
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other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Assurances and Agreements in Group 04 that does not apply will not be enforced.


If your Applicant is a State, local government, or Indian tribal government and seeks FTA funding to acquire the property of a private transit operator or operate public transportation in competition with or in addition to a public transportation operator, the Private Property Protections Assurances in Group 04.A apply to your Applicant, except as FTA determines otherwise in writing.

To facilitate FTA’s ability to make the findings required by 49 U.S.C. 5323(a)(1), on behalf of your Applicant, you assure that:

1. It has or will have:
   a. Determined that the funding is essential to carrying out a Program of Projects as required by 49 U.S.C. 5303, 5304, and 5306,
   b. Provided for the participation of private companies engaged in public transportation to the maximum extent feasible, and
   c. Paid just compensation under State or local laws to the company for any franchise or property acquired, and

2. It has completed the actions described in Group 4.A.1 of this Certification before it:
   a. Acquires the property or an interest in the property of a private provider of public transportation, or
   b. Operates public transportation equipment or facilities:
      (1) In competition with transportation service provided by an existing public transportation operator, or
      (2) In addition to transportation service provided by an existing public transportation operator.

4.B. Charter Service Agreement.

If your Applicant seeks FTA funding to acquire or operate transit facilities or equipment, the Charter Service Agreement in Group 04.B applies to your Applicant, except as FTA determines otherwise in writing.

To comply with 49 U.S.C. 5323(d) and (g) and FTA regulations, “Charter Service,” 49 CFR part 604, specifically 49 CFR 604.4, on behalf of your Applicant, you are entering into the following Charter Service Agreement:

1. FTA’s “Charter Service” regulations apply as follows:
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(4) Other third party agreements under a:
   (a) Federal grant or cooperative agreement, or
   (b) Federal loan, line of credit, loan guarantee, or loan insurance,

3. It understands that:
   a. This Certification is a material representation of fact that the Federal government relies on, and
   b. It must submit this Certification before the Federal government may award funding for a transaction covered by 31 U.S.C. 1352, including a:
      (1) Federal grant or cooperative agreement, or
      (2) Federal loan, line of credit, loan guarantee, or loan insurance, and

4. It also understands that any person who does not file a required Certification will incur a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

GROUP 03. PROCUREMENT AND PROCUREMENT SYSTEMS.

We request that you select the Procurement and Procurement Systems Certification in Group 03 on behalf of your Applicant, especially if it is a State, local, or Indian tribal government with a certified procurement system, as provided in 49 CFR 18.36(g)(3)(ii).

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certification in Group 03 that does not apply will not be enforced.

On behalf of your Applicant, you certify that its procurements and its procurement system will comply with all Federal laws and regulations in accordance with applicable Federal guidance, except to the extent FTA has approved otherwise in writing.

GROUP 04. PRIVATE SECTOR PROTECTIONS.

Before FTA may provide funding for a Project that involves the acquisition of public transportation property or operation of public transportation facilities or equipment, in addition to other Certifications you must select on your Applicant’s behalf, you must also select the Private Property Protections Assurances in Group 04.A and enter into the Agreements in Group 04.B and Group 04.C on behalf of your Applicant, except as FTA determines otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or
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writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.

Any provision of the Certifications in Group 02 that does not apply will not be enforced.

On behalf of your Applicant, you certify that:

   a. The lobbying restrictions of this Certification apply to its requests:
      (1) For $100,000 or more in Federal funding for a grant or cooperative agreement, and
      (2) For $150,000 or more in Federal funding for a loan, line of credit, or loan guarantee, and
   b. Your Certification on its behalf applies to the lobbying activities of:
      (1) It,
      (2) Its Principals, and
      (3) Its Subrecipients at the first tier,

2. To the best of your knowledge and belief:
   a. No Federal appropriated funds have been or will be paid by or on its behalf to any person to influence or attempt to influence:
      (1) An officer or employee of any Federal agency regarding the award of a:
         (a) Federal grant or cooperative agreement, or
         (b) Federal loan, line of credit, loan guarantee, or loan insurance, and
      (2) A Member of Congress, an employee of a member of Congress, or an officer or employee of Congress regarding the award of a:
         (a) Federal grant or cooperative agreement, or
         (b) Federal loan, line of credit, loan guarantee, or loan insurance,
   b. It will submit a complete OMB Standard Form LLL (Rev. 7-97), "Disclosure of Lobbying Activities," consistent with its instructions, if any funds other than Federal appropriated funds have been or will be paid to any person to influence or attempt to influence:
      (1) An officer or employee of any Federal agency regarding the award of a:
         (a) Federal grant or cooperative agreement, or
         (b) Federal loan, line of credit, loan guarantee, or loan insurance, and
      (2) A Member of Congress, an employee of a member of Congress, or an officer or employee of Congress regarding the award of a:
         (a) Federal grant or cooperative agreement, or
         (b) Federal loan, line of credit, loan guarantee, or loan insurance, and
   c. It will include the language of this Certification in the award documents for all subawards at all tiers, including, but not limited to:
      (1) Third party contracts,
      (2) Subcontracts,
      (3) Subagreements, and
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subchapter A, parts 1, 2, 3, and 4,

h. To the extent applicable, obtain a certificate of compliance with the seismic design and construction requirements of U.S. DOT regulations, “Seismic Safety,” 49 CFR part 41, specifically 49 CFR 41.117(d), before accepting delivery of any FTA funded building,

i. Comply with, and assure that its Subrecipients located in special flood hazard areas comply with, section 102(a) of the Flood Disaster Protection Act of 1973, as amended, 42 U.S.C. 4012a(a), by:
   (1) Participating in the Federal flood insurance program, and
   (2) Purchasing flood insurance if the total cost of insurable construction and acquisition is $10,000 or more,

j. Comply with:
   (1) The Hatch Act, 5 U.S.C. 1501 – 1508, 7324 – 7326, which limits the political activities of State and local agencies and their officers and employees whose primary employment activities are financed in whole or part with Federal funds, including a Federal loan, grant agreement, or cooperative agreement, and
   (2) 49 U.S.C. 5323(l)(2) and 23 U.S.C. 142(g), which provide an exception from Hatch Act restrictions for a nonsupervisory employee of a public transportation system (or of any other agency or entity performing related functions) receiving FTA funding appropriated or made available for 49 U.S.C. chapter 53 and 23 U.S.C. 142(a)(2) to whom the Hatch Act does not otherwise apply,

k. Perform the financial and compliance audits as required by the:
   (2) U.S. OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations,” Revised, and
   (3) Most recent applicable U.S. OMB A-133 Compliance Supplement provisions for the U.S. DOT,

l. Comply with all other Federal laws or regulations that apply, and

m. Follow Federal guidance governing it and its Project, except to the extent that FTA has expressly approved otherwise in writing.

GROUP 02. LOBBYING.

Before FTA may provide funding for a Federal grant or cooperative agreement exceeding $100,000 or a Federal loan, line of credit, loan guarantee, or loan insurance exceeding $150,000, in addition to other Certifications and Assurances you must select on your Applicant's behalf, you must also select the Lobbying Certifications in Group 02, unless your Applicant is an Indian Tribe exempt from the requirements of 31 U.S.C. 1352 or FTA determines otherwise in writing.

Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to its Project, itself, any Subrecipient, or other Third Party Participant in its Project, except as FTA determines otherwise in
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(3) The Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. 3701 et seq.,

f. It will comply with any applicable environmental standards that may be prescribed to implement Federal laws and executive orders, including, but not limited to:

(1) Following the institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended, 42 U.S.C. 4321 - 4335 and Executive Order No. 11514, as amended, 42 U.S.C. 4321 note,

(2) Following the notification of violating facilities provisions of Executive Order No. 11738, 42 U.S.C. 7606 note,

(3) Following the protection of wetlands provisions of Executive Order No. 11990, 42 U.S.C. 4321 note,

(4) Following the evaluation of flood hazards in floodplains provisions of Executive Order No. 11988, 42 U.S.C. 4321 note,

(5) Complying with the assurance of Project consistency with the approved State management program developed pursuant to the Coastal Zone Management Act of 1972, as amended, 16 U.S.C. 1451 - 1465,

(6) Complying with the Conformity of Federal Actions to State (Clean Air) Implementation Plans requirements under section 176(c) of the Clean Air Act of 1955, as amended, 42 U.S.C. 7401 - 7671q,

(7) Complying with the protections for underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, 42 U.S.C. 300f - 300j-6,

(8) Complying with the protections for endangered species under the Endangered Species Act of 1973, as amended, 16 U.S.C. 1531 - 1544,

(9) Complying with the environmental protections for Federal transportation programs, including, but not limited to, protections for parks, recreation areas, or wildlife or waterfowl refuges of national, State, or local significance or any land from a historic site of national, State, or local significance to be used in a transportation Project, as required by 49 U.S.C. 303,

(10) Complying with the protections for national wild and scenic rivers systems, as required under the Wild and Scenic Rivers Act of 1968, as amended, 16 U.S.C. 1271 - 1287, and

(11) Complying with and facilitating compliance with:
(a) Section 106 of the National Historic Preservation Act of 1966, as amended, 16 U.S.C. 470f,

(b) The Archaeological and Historic Preservation Act of 1974, as amended, 16 U.S.C. 469 - 469c, and

(c) Executive Order No. 11593 (identification and protection of historic properties), 16 U.S.C. 470 note,

g. To the extent applicable, comply with the following Federal requirements for the care, handling, and treatment of warmblooded animals held or used for research, teaching, or other activities supported by Federal funding:

(1) The Animal Welfare Act, as amended, 7 U.S.C. 2131 et seq., and

FTA FISCAL YEAR 2014 CERTIFICATIONS AND ASSURANCES

2. Displaced Partnerships, corporations, or associations,
   (c) As provided by 42 U.S.C. 4625 and 49 CFR part 24, it will provide
       relocation assistance programs offering the services described in the
       U.S. DOT regulations to such displaced:
       1. Families and individuals, and
       2. Partnerships, corporations, or associations,
   (d) As required by 42 U.S.C. 4625(c)(3), within a reasonable time before
       displacement, it will make available comparable replacement dwellings
       to families and individuals,
   (e) It will:
       1. Carry out the relocation process to provide displaced persons with
           uniform and consistent services, and
       2. Make available replacement housing in the same range of choices
           with respect to such housing to all displaced persons regardless of
           race, color, religion, or national origin,
   (f) It will be guided by the real property acquisition policies of 42 U.S.C.
       4651 and 4652,
   (g) It will pay or reimburse property owners for their necessary expenses as
       specified in 42 U.S.C. 4653 and 4654, understanding that FTA will
       provide Federal funding for its eligible costs for providing payments for
       those expenses, as required by 42 U.S.C. 4631,
   (h) It will execute the necessary implementing amendments to FTA funded
       third party contracts and subagreements,
   (i) It will execute, furnish, and be bound by such additional documents as
       FTA may determine necessary to effectuate or implement these
       assurances,
   (j) It will incorporate these assurances by reference into and make them a
       part of any third party contract or subagreement, or any amendments
       thereto, relating to any FTA funded Project involving relocation or land
       acquisition, and
   (k) It will provide in any affected document that these relocation and land
       acquisition provisions must supersede any conflicting provisions,
   c. It will comply with the Lead-Based Paint Poisoning Prevention Act, specifically
      42 U.S.C. 4831(b), which prohibits the use of lead-based paint in the construction
      or rehabilitation of residence structures,
   d. It will, to the extent applicable, comply with the protections for human subjects
      involved in research, development, and related activities supported by Federal
      funding of:
         (1) The National Research Act, as amended, 42 U.S.C. 289 et seq., and
         (2) U.S. DOT regulations, "Protection of Human Subjects," 49 CFR part 11,
   e. It will, to the extent applicable, comply with the labor standards and protections
      for federally funded Projects of:
         (1) The Davis-Bacon Act, as amended, 40 U.S.C. 3141 – 3144, 3146, and 3147,
         (2) Sections 1 and 2 of the Copeland "Anti-Kickback" Act, as amended,
           18 U.S.C. 874, and 40 U.S.C. 3145, respectively, and
FTA Fiscal Year 2014 Certifications and Assurances

(3) The prohibitions against discrimination on the basis of age in federally funded programs, as provided in the Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 – 6107,

(4) The prohibitions against discrimination on the basis of disability in federally funded programs, as provided in section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794,

(5) The prohibitions against discrimination on the basis of disability, as provided in the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 et seq.,

(6) The prohibitions against discrimination in the sale, rental, or financing of housing, as provided in Title VIII of the Civil Rights Act, 42 U.S.C. 3601 et seq.,

(7) The prohibitions against discrimination on the basis of drug abuse, as provided in the Drug Abuse Office and Treatment Act of 1972, as amended, 21 U.S.C. 1101 et seq.,

(8) The prohibitions against discrimination on the basis of alcohol abuse, as provided in the Comprehensive Alcohol Abuse and Alcoholism Prevention Act of 1970, as amended, 42 U.S.C. 4541 et seq.,

(9) The confidentiality requirements for records of alcohol and drug abuse patients, as provided in the Public Health Service Act, as amended, 42 U.S.C. 290dd – 290dd-2, and

(10) The nondiscrimination provisions of any other statute(s) that may apply to its Project,

b. As provided by the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (Uniform Relocation Act), 42 U.S.C. 4601 et seq., and 49 U.S.C. 5323(b), regardless of whether Federal funding has been provided for any of the real property acquired for Project purposes:

(1) It will provide for fair and equitable treatment of displaced persons or persons whose property is acquired as a result of federally funded programs, and

(2) It has the necessary legal authority under State and local laws and regulations to comply with:
   (a) The Uniform Relocation Act, 42 U.S.C. 4601 et seq., as specified by 42 U.S.C. 4630 and 4655, and
   (b) U.S. DOT regulations, “Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally Assisted Programs,” 49 CFR part 24, specifically 49 CFR 24.4, and

(3) It has complied with or will comply with the Uniform Relocation Act and implementing U.S. DOT regulations because:
   (a) It will adequately inform each affected person of the benefits, policies, and procedures provided for in 49 CFR part 24,
   (b) As required by 42 U.S.C. 4622, 4623, and 4624, and 49 CFR part 24, if an FTA funded Project results in displacement, it will provide fair and reasonable relocation payments and assistance to:
      1 Displaced families or individuals, and
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entities or individuals, as required, including, but not limited to the:
(1) FTA,
(2) The Comptroller General of the United States, and
(3) State, through an authorized representative, if appropriate,
c. It will establish a proper accounting system in accordance with generally accepted
accounting standards or FTA guidance, and
d. It will establish safeguards to prohibit employees from using their positions for a
purpose that results in:
(1) A personal or organizational conflict of interest, or personal gain, or
(2) The appearance of a personal or organizational conflict of interest or personal
gain,

2. Project Specifics. On behalf of your Applicant, you assure that:
a. Following receipt of an FTA award, it will begin and complete Project work
within the time periods that apply,
b. For FTA funded construction Projects:
   (1) It will comply with FTA provisions concerning the drafting, review, and
       approval of construction plans and specifications,
   (2) It will provide and maintain competent and adequate engineering supervision
       at the construction site to assure that the completed work conforms with the
       approved plans and specifications,
   (3) It will include a covenant to assure nondiscrimination during the useful life
       of its Project in its title to federally funded real property,
   (4) To the extent FTA requires, it will record the Federal interest in the title to
       FTA funded real property or interests in real property, and
   (5) It will not alter the site of the FTA funded construction Project or facilities
       without permission or instructions from FTA by:
       (a) Disposing of the underlying real property or other interest in the site and
           facilities,
       (b) Modifying the use of the underlying real property or other interest in the
           site and facilities, or
       (c) Changing the terms of the underlying real property title or other interest
           in the site and facilities, and
   c. It will furnish progress reports and other information as FTA or the State may
       require, and

3. Statutory and Regulatory requirements. On behalf of your Applicant, you assure that:
a. It will comply with all Federal statutes relating to nondiscrimination that apply,
   including, but not limited to:
   (1) The prohibitions against discrimination on the basis of race, color, or national
       origin, as provided in Title VI of the Civil Rights Act, 42 U.S.C. 2000d,
   (2) The prohibitions against discrimination on the basis of sex, as provided in:
       (a) Title IX of the Education Amendments of 1972, as amended, 20 U.S.C.
           1681 – 1683, and 1685 – 1687, and
       (b) U.S. DOT regulations, “Nondiscrimination on the Basis of Sex in
           Education Programs or Activities Receiving Federal Financial
           Assistance,” 49 CFR part 25,
FTA FISCAL YEAR 2014 CERTIFICATIONS AND ASSURANCES

governmental entity (Federal, State, or local) with commission of any of the offenses listed in the preceding subsection 1.E.2.b of this Certification,

d. It has not had one or more public transactions (Federal, State, or local) terminated for cause or default within a three-year period preceding this Certification,

e. If, at a later time, it receives any information that contradicts the statements of subsections 2.a – 2.d above, it will promptly provide that information to FTA,

f. It will treat each lower tier contract or lower tier subcontract under its Project as a covered lower tier contract for purposes of 2 CFR part 1200 and 2 CFR part 180 if it:
   (1) Equals or exceeds $25,000,
   (2) Is for audit services, or
   (3) Requires the consent of a Federal official, and

g. It will require that each covered lower tier contractor and subcontractor:
   (1) Comply and facilitate compliance with the Federal requirements of 2 CFR parts 180 and 1200, and
   (2) Assure that each lower tier participant in its Project is not presently declared by any Federal department or agency to be:
      (a) Debarred from participation in its federally funded Project,
      (b) Suspended from participation in its federally funded Project,
      (c) Proposed for debarment from participation in its federally funded Project,
      (d)Declared ineligible to participate in its federally funded Project,
      (e) Voluntarily excluded from participation in its federally funded Project,
      or
      (f) Disqualified from participation in its federally funded Project, and

3. It will provide a written explanation as indicated on a page attached in FTA’s TEAM-Web or the Signature Page if it or any of its principals, including any of its first tier Subrecipients or its Third Party Participants at a lower tier, is unable to certify compliance with the preceding statements in this Certification Group 01.E.

1.F. U.S. OMB Assurances in SF-424B and SF-424D.

The assurances in Group 01.F are consistent with the U.S. OMB assurances required in the U.S. OMB SF-424B and SF-424D, updated as necessary to reflect changes in Federal laws and regulations.

1. Administrative Activities. On behalf of your Applicant, you assure that:
   a. For every Project described in any application it submits, it has adequate resources to properly plan, manage, and complete its Project, including the:
      (1) Legal authority to apply for Federal funding,
      (2) Institutional capability,
      (3) Managerial capability, and
      (4) Financial capability (including funds sufficient to pay the non-Federal share of Project cost),
   b. It will give limited access and the right to examine Project-related materials to
FTA FISCAL YEAR 2014 CERTIFICATIONS AND ASSURANCES

5307(c)(1)(D)(ii), you assure that:

a. It will comply with the following prohibitions against discrimination on the basis of disability listed in Group1.D.4.b below, of which compliance is a condition of approval or extension of any FTA funding awarded to:
   (1) Construct any facility,
   (2) Obtain any rolling stock or other equipment,
   (3) Undertake studies,
   (4) Conduct research, or
   (5) Participate in or obtain any benefit from any FTA administered program, and

b. In any program or activity receiving or benefiting from Federal funding that U.S. DOT administers, no qualified people with a disability will, because of their disability, be:
   (1) Excluded from participation,
   (2) Denied benefits, or
   (3) Otherwise subjected to discrimination.

1.E. Suspension and Debarment Certification.

On behalf of your Applicant, you certify that:

1. It will comply and facilitate compliance with U.S. DOT regulations, “Nonprocurement Suspension and Debarment,” 2 CFR part 1200, which adopts and supplements the U.S. Office of Management and Budget (U.S. OMB) “Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” 2 CFR part 180,

2. To the best of its knowledge and belief, that its Principals and Subrecipients at the first tier:
   a. Are eligible to participate in covered transactions of any Federal department or agency and are not presently:
      (1) Debarred,
      (2) Suspended,
      (3) Proposed for debarment,
      (4) Declared ineligible,
      (5) Voluntarily excluded, or
      (6) Disqualified,
   b. Its management has not within a three-year period preceding its latest application or proposal been convicted of or had a civil judgment rendered against any of them for:
      (1) Commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction, or contract under a public transaction,
      (2) Violation of any Federal or State antitrust statute, or
      (3) Commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making any false statement, or receiving stolen property,
   c. It is not presently indicted for, or otherwise criminally or civilly charged by a
FTA FISCAL YEAR 2014 CERTIFICATIONS AND ASSURANCES

(1) While the property is used for the purpose that the Federal funding is extended, and
(2) While the property is used for another purpose involving the provision of similar services or benefits,
e. The United States has a right to seek judicial enforcement of any matter arising under:
   (1) Title VI of the Civil Rights Act, 42 U.S.C. 2000d,
   (2) U.S. DOT regulations, 49 CFR part 21, and
   (3) This assurance,
f. It will make any changes in its Title VI implementing procedures, as U.S. DOT or FTA may request, to comply with:
   (1) Title VI of the Civil Rights Act, 42 U.S.C. 2000d,
   (2) U.S. DOT regulations, 49 CFR part 21, and
   (3) Federal transit laws, 49 U.S.C. 5332,
g. It will comply with Federal guidance issued to implement Federal nondiscrimination requirements, except as FTA determines otherwise in writing,
h. It will extend the requirements of 49 U.S.C. 5332, 42 U.S.C. 2000d, and 49 CFR part 21 to each Third Party Participant, including any:
   (1) Subrecipient,
   (2) Transferee,
   (3) Third Party Contractor or Subcontractor at any tier,
   (4) Successor in Interest,
   (5) Lessee, or
   (6) Other participant in its Project, except FTA and the Applicant (that later becomes the Recipient),
i. It will include adequate provisions to extend the requirements of 49 U.S.C. 5332, 42 U.S.C. 2000d, and 49 CFR part 21 to each third party agreement, including each:
   (1) Subagreement at any tier,
   (2) Property transfer agreement,
   (3) Third party contract or subcontract at any tier,
   (4) Lease, or
   (5) Participation agreement, and
j. The assurances you have made on its behalf remain in effect as long as FTA determines appropriate, including, for example, as long as:
   (1) Federal funding is extended to its Project,
   (2) Its Project property is used for a purpose for which the Federal funding is extended,
   (3) Its Project property is used for a purpose involving the provision of similar services or benefits,
   (4) It retains ownership or possession of its Project property, or
   (5) FTA may otherwise determine in writing, and
submitted or will submit each application for Federal funding to the appropriate State and local agencies for intergovernmental review, to facilitate compliance with those regulations.


On behalf of your Applicant, you assure that:

1. It will comply with the following laws and regulations so that no person in the United States will be denied the benefits of, or otherwise be subjected to, discrimination in any U.S. DOT or FTA funded program or activity (particularly in the level and quality of transportation services and transportation-related benefits) on the basis of race, color, national origin, religion, sex, disability, or age:
   a. Federal transit laws, specifically 49 U.S.C. 5332 (prohibiting discrimination on the basis of race, color, religion, national origin, sex, disability, age, employment, or business opportunity),
   b. Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000d,
   e. U.S. DOT regulations, “Nondiscrimination in Federally-Assisted Programs of the Department of Transportation-Effectuation of Title VI of the Civil Rights Act of 1964,” 49 CFR part 21,
   f. U.S. DOT regulations, specifically 49 CFR parts 27, 37, 38, and 39, and
   g. Any other applicable Federal statutes that may be signed into law or Federal regulations that may be promulgated,

2. It will comply with Federal guidance implementing Federal nondiscrimination laws and regulations, except to the extent FTA determines otherwise in writing.

3. As required by 49 CFR 21.7:
   a. It will comply with 49 U.S.C. 5332, 42 U.S.C. 2000d, and 49 CFR part 21 in the manner:
      (1) It conducts each Project,
      (2) It undertakes property acquisitions, and
      (3) It operates its Project facilities, including:
          (a) Its entire facilities, and
          (b) Its facilities operated in connection with its Project,
   b. This assurance applies to its entire Project and to all parts of its facilities, including the facilities it operates to implement its Project,
   c. It will promptly take the necessary actions to carry out this assurance, including:
      (1) Notifying the public that discrimination complaints about transportation-related services or benefits may be filed with U.S. DOT or FTA, and
      (2) Submitting information about its compliance with these provisions to U.S. DOT or FTA upon their request,
   d. If it transfers FTA funded real property, structures, or improvements to another party, any deeds and instruments recording that transfer will contain a covenant running with the land assuring nondiscrimination:
FTA FISCAL YEAR 2014 CERTIFICATIONS AND ASSURANCES

FEDERAL FISCAL YEAR 2014 CERTIFICATIONS AND ASSURANCES FOR FEDERAL TRANSIT ADMINISTRATION ASSISTANCE PROGRAMS
(Signature page alternative to providing Certifications and Assurances in TEAM-Web)

Name of Applicant: City of Englewood, Colorado

The Applicant agrees to comply with applicable provisions of Groups 01 – 24. _____

OR

The Applicant agrees to comply with applicable provisions of the Groups it has selected:

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<tr>
<td>22.</td>
<td>Public Transportation Emergency Relief Program.</td>
<td></td>
</tr>
<tr>
<td>23.</td>
<td>Expedited Project Delivery Pilot Program.</td>
<td></td>
</tr>
<tr>
<td>24.</td>
<td>Infrastructure Finance Programs.</td>
<td></td>
</tr>
</tbody>
</table>
FTA FISCAL YEAR 2014 CERTIFICATIONS AND ASSURANCES

have an opportunity to examine and submit comments on the proposed Program of Projects and its performance as an Applicant or Recipient,

(4) Has provided or will provide an opportunity for a public hearing to obtain the views of individuals on the proposed Program of Projects,

(5) Has ensured or will ensure that the proposed Program of Projects provide for coordination of public transportation services funded by FTA under 49 U.S.C. 5336 and the SIB Program with federally funded transportation services supported by other United States Government sources,

(6) Has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final Program of Projects, and

(7) Has made or will make the final Program of Projects available to the public,

h. It:

(1) Has or will have the amount of funds required for the local share by the SIB Program, but not less than twenty-five (25) percent of each capitalization grant,

(2) Will provide the local share funds from sources approved by FTA, and

(3) Will provide the local share funds when needed,

i. It has a locally developed process to solicit and consider public comment before:

(1) Raising a fare, or

(2) Implementing a major reduction of public transportation, and

j. It will comply with the final Federal regulations, when issued, that implement the safety plan requirements of 49 U.S.C. § 5329(d),

2. As required by 49 U.S.C. chapter 53, it certifies that it will not seek reimbursement for interest and other financing costs incurred in connection with its Project unless:

a. It is eligible to receive Federal funding for those expenses, and

b. Its records demonstrate that it has used reasonable diligence in seeking the most favorable financing terms underlying those costs, to the extent FTA may require, and

3. It agrees that it will adopt a transit asset management plan that complies with regulations implementing 49 U.S.C. 5326(d).

Selection and Signature Page(s) follow.
FTA FISCAL YEAR 2014 CERTIFICATIONS AND ASSURANCES

FEDERAL FISCAL YEAR 2014 FTA CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE
(Required of all Applicants for FTA funding and all FTA Grantees with an active Capital or Formula Project)

AFFIRMATION OF APPLICANT

Name of the Applicant: City of Englewood, Colorado

Name and Relationship of the Authorized Representative: Randy P. Penn, Mayor

BY SIGNING BELOW, on behalf of the Applicant, I declare that it has duly authorized me to make these Certifications and Assurances and bind its compliance. Thus, it agrees to comply with all Federal statutes and regulations, and follow applicable Federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative makes to the Federal Transit Administration (FTA) in Federal Fiscal Year 2014, irrespective of whether the individual that acted on his or her Applicant’s behalf continues to represent it.

FTA intends that the Certifications and Assurances the Applicant selects on the other side of this document should apply to each Project for which it seeks now, or may later seek FTA funding during Federal Fiscal Year 2014.

The Applicant affirms the truthfulness and accuracy of the Certifications and Assurances it has selected in the statements submitted with this document and any other submission made to FTA, and acknowledges that the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. 3801 et seq., and implementing U.S. DOT regulations, “Program Fraud Civil Remedies,” 49 CFR part 31, apply to any certification, assurance or submission made to FTA. The criminal provisions of 18 U.S.C. 1001 apply to any certification, assurance, or submission made in connection with a Federal public transportation program authorized by 49 U.S.C. chapter 53 or any other statute.

In signing this document, I declare under penalties of perjury that the foregoing Certifications and Assurances, and any other statements made by me on behalf of the Applicant are true and accurate.

Signature: ___________________________ Date: ________________

Name
Authorized Representative of Applicant

AFFIRMATION OF APPLICANT’S ATTORNEY

For (Name of Applicant):______________________________

As the undersigned Attorney for the above named Applicant, I hereby affirm to the Applicant that it has authority under State, local, or tribal government law, as applicable, to make and comply with the Certifications and Assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the Certifications and Assurances have been legally made and constitute legal and binding obligations on it.

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these Certifications and Assurances, or of the performance of its FTA Project or Projects.

Signature: ___________________________ Date: ________________

Name
Attorney for Applicant

Each Applicant for FTA funding and each FTA Grantee with an active Capital or Formula Project must provide an Affirmation of Applicant’s Attorney pertaining to the Applicant’s legal capacity. The Applicant may enter its signature in lieu of the Attorney’s signature, provided the Applicant has on file this Affirmation, signed by the attorney and dated this Federal fiscal year.
INTERGOVERNMENTAL AGREEMENT ENGLEWOOD LIGHT RAIL CORRIDOR NEXT STEPS STUDY

PARTIES

City of Englewood, Colorado (Englewood)
City of Sheridan, Colorado (Sheridan)

This Intergovernmental Agreement ("IGA" or "Agreement") is made and entered into on the ___________________________ day of __________________________, 2014, by and between the City of Englewood, a Colorado home rule municipality acting by and through its Community Development Department, hereinafter referred to as "Englewood", and the City of Sheridan, a Colorado home rule municipality, hereinafter referred to as "Sheridan"; collectively referred to as "Parties".

RECITALS

Englewood and Sheridan are authorized by state statute and their respective home rule charters to enter into intergovernmental agreements for the sharing and or provision of services.

Englewood and the Regional Transportation Department ("RTD") have entered into an intergovernmental agreement regarding funding assistance for the development of a Station Area Master Plan Next Steps Study ("Plan") for the area designated as the Bates, Englewood and Oxford Station areas located adjacent to the Southwest Light Rail transit line.

The Plan's objectives are to provide a strategic road map for local government actions that can foster development, advance the design of transportation improvements all of which support the Denver Regional Council of Governments Station Areas / Urban Center Studies Eligibility and Evaluation Criteria and RTD's Transit Oriented Development policy.

The Plan is funded by a grant in the amount of Two Hundred and Forty Thousand Dollars ($240,000) from the Federal Highway Administration, which is administered by RTD and calls for a match of Fifty Thousand Dollars ($50,000) in funds provided by Englewood plus Ten Thousand Dollars ($10,000) of in-kind project management billable hours.

The Denver Regional Council of Governments requested that Englewood partner with Sheridan in order to study the following Sheridan transportation infrastructure improvements within the scope of the Plan:
• Oxford Avenue Protected Bikeway- Oxford Station to Fort Logan

• Oxford Station Pedestrian Bridge (Tunnel—Station Connection to west side of Santa Fe Drive).

Sheridan finds that the above infrastructure improvements would be of benefit to the community and desires to enter into an intergovernmental agreement with Englewood under which it would contribute Ten Thousand Dollars ($10,000) which will leverage an additional Forty Thousand Dollars ($40,000) of federal grant funds for development of the Plan.

TERMS AND CONDITIONS

Englewood will serve as the Plan's Project Manager. Sheridan will be kept apprised of all correspondence between the Englewood project manager, RTD, and the Consultant who will develop the Plan.

Sheridan representatives will be invited by Englewood to participate in the consultant proposal selection process. Englewood reserves the right to have final decision making authority over the selection of the consultant team.

Sheridan shall upon execution of the IGA submit its Ten Thousand Dollar ($10,000) local match to Englewood, which will manage hourly consultant billing and reimbursable expenses. Sheridan's local match will be accounted for separately from Englewood's funds and records of such expenditures shall be provided to Sheridan upon its request. The cost as determined by the Consultant for the "Sheridan Transportation Improvements: Alternatives Development, Design, and Evaluation" portion of the Plan will be paid exclusively from Sheridan's local match. Any additional funds leveraged by Sheridan's local match will be used to fund the following Project tasks that are needed to perform the "City of Sheridan Alternatives Development, Design, and Evaluation" portion of the Plan:

• Project Kick Off: Agency Coordination and Public Involvement Plan
• Study Area Data Collection and Conditions Assessment

Should the amount of federal funds made available for the Plan be less than Two Hundred Forty Thousand ($240,000), the federal funding shall be split between Englewood and Sheridan at an Eighty (80) percent ratio to Englewood and Twenty (20) percent ratio to Sheridan.

This Agreement will remain in place until the Plan's final Project deliverables from the Consultant have been accepted by the Parties.

Should the Station Area Master Plan between Englewood and RTD be terminated for any reason, this Agreement shall terminate and any unencumbered and unspent funds deposited by Sheridan shall be returned upon the
closing of the Project.

Any notices, bills, invoices, or other documents required by this Agreement shall be sufficiently delivered if sent by the parties in the United States mail, postage prepaid, or by email to the parties at the following addresses:

<table>
<thead>
<tr>
<th>City of Sheridan</th>
<th>City of Englewood</th>
</tr>
</thead>
<tbody>
<tr>
<td>4101 So. Federal Blvd.</td>
<td>1000 Englewood Parkway</td>
</tr>
<tr>
<td>Sheridan, CO 80110</td>
<td>Englewood, CO 80110</td>
</tr>
<tr>
<td>Attn: Devin Granbery, City Manager (<a href="mailto:dgranbery@ci.sheridan.co.us">dgranbery@ci.sheridan.co.us</a>)</td>
<td>Attn: Gary Sears, City Manager</td>
</tr>
</tbody>
</table>

**Miscellaneous.**

a. **Assignment.** Except as otherwise provided in this Agreement, no party may assign the Agreement and/or any of its rights and obligations hereunder without the prior written consent of the other parties.

b. **Merger.** This Agreement represents the entire agreement between the parties with respect to the subject matter hereof and all prior agreements, understandings, or negotiations shall be deemed merged herein. No representations, warranties, promises, or agreements, express or implied, shall exist between the parties, except as stated herein.

c. **Amendment.** No amendment to this Agreement shall be made or deemed to have been made unless in writing, as agreed upon and executed by all parties.

d. **Governing Law.** This Agreement shall be interpreted and enforced according to the laws of the State of Colorado. Venue for any action hereunder shall be in Arapahoe District Court, Colorado.

e. **Authority.** The parties represent that each has taken all actions that are necessary or that are required by its procedures, bylaws, or applicable law to legally authorize the undersigned signatories to execute this Agreement on behalf of the parties and to bind the parties to its terms.

f. **Severability.** To the extent that this Agreement may be executed and performance of the obligations of the parties may be accomplished within the intent of the Agreement, the terms of the Agreement are severable, and should any term or provision hereof be declared invalid or become inoperative for any reason, such invalidity, or failure shall not affect the validity of any other terms or provision hereof.

g. **Waiver.** The waiver of any breach of a term hereof shall not be construed as a
waiver of any other term, or the same term upon a subsequent breach.

h. No Third Party Beneficiaries. It is expressly understood and agreed that enforcement of the terms and conditions of this Agreement and all rights of action relating to such enforcement, shall be strictly reserved to the parties hereto and nothing contained in this Agreement shall give or allow any such claim or right of action by any other or third person under this Agreement. It is the express intention of the parties to this Agreement that any person or entity other than the parties receiving services or benefits under this Agreement be deemed an incidental beneficiary only.

i. Changes in Law. This Agreement is subject to such modifications as may be required by changes in state or federal law. Any modification shall be discussed and agreed upon by the parties and be incorporated in this Agreement by a written amendment signed by the parties.

j. Counterparts. This Agreement may be executed in counterparts. Signatures on separate originals shall constitute and be of the same effect as signatures on the same original. Electronic and faxed signatures shall constitute original signatures.

IN WITNESS WHEREOF, the parties have executed this Agreement.

CITY OF ENGLEWOOD, COLORADO

Randy P. Penn, Mayor

ATTEST:

Loucrishia A. Ellis, City Clerk

CITY OF SHERIDAN, COLORADO

Dallas Hall, Mayor

ATTEST: APPROVED AS TO FORM:

Arlene Sagee, City Clerk

William P. Hayashi, City Attorney
BY AUTHORITY

ORDINANCE NO. _____  COUNCIL BILL NO. 26
SERIES OF 2014  INTRODUCED BY COUNCIL
MEMBER GILLIT

AN ORDINANCE AMENDING TITLE 7, CHAPTER 6B, OF THE ENGLEWOOD MUNICIPAL CODE BY DELETING SUBSECTION A(2) REGARDING LOITERING ON SCHOOL BUILDINGS OR GROUNDS.

WHEREAS, in 1985 the Englewood City Council enacted 7-6B-7(A)(2) making it illegal to loiter in or about a school building or grounds; and

WHEREAS, during research into loitering issues surrounding prohibited conduct on Englewood Environmental Foundation, Inc., property it was discovered that the State Statute C.R.S. 18-9-112(2)(d) which was used as the model for the language in the City's ordinance at Subsection (A)(2) was held to be unconstitutional by the Colorado Supreme Court in People v. C.M., 630 P.2d 593 (Colo. 1981); and

WHEREAS, The City Council of the City of Englewood, Colorado deems it in the best interest of the City to update the Code and to bring it in line with the Colorado Supreme Court's decision in People v. C.M., 630 P.2d 593 (Colo. 1981).

NOW, THEREFORE, BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF ENGLEWOOD, COLORADO, THAT:

Section I. The City Council of the City of Englewood, Colorado hereby authorizes amending Title 7, Chapter 6B, Section 7, entitled Loitering of the Englewood Municipal Code 2000, to read as follows:

7-6B-7: Loitering.

A. It shall be unlawful to:

1. Loiter for the purpose of begging; or

2. Loiter in or about a school building or grounds, not having any reason or relationship involving custody of or responsibility for a pupil, or any other specific and legitimate reason for being there, and not having written permission from a school administrator; or

3. Loiter in a place, at a time and in a manner not usual and appropriate for the place, or where circumstances warrant alarm or concern for the safety of persons or property in the vicinity. Among the circumstances which may be considered in determining whether such alarm is warranted is the fact that such person takes flight upon appearance of a peace officer, refuses to identify himself, or manifestly endeavors to conceal himself, or conceal or dispose of any object. Unless flight by the person or other circumstance makes it impracticable, a peace officer shall, prior to any arrest for an offense under this section, afford such person an opportunity to dispel any
alarm which would otherwise be warranted by requesting him to identify himself and explain his presence and conduct. No person shall be convicted of an offense under this section if the peace officer did not comply with the preceding sentence, or if it appears at trial that the explanation given by the person was true and, if believed by the peace officer at the time, would have dispelled the alarm.

43. Loiter so as to interfere with the free and unobstructed use of a public way or place by other persons.

B. For purposes of this section, "loiter" means to be dilatory, to stand idly around, to linger, delay or wander about, or to tarry in a public place.

Section 2. Safety Clauses. The City Council hereby finds, determines, and declares that this Ordinance is promulgated under the general police power of the City of Englewood, that it is promulgated for the health, safety, and welfare of the public, and that this Ordinance is necessary for the preservation of health and safety and for the protection of public convenience and welfare. The City Council further determines that the Ordinance bears a rational relation to the proper legislative object sought to be obtained.

Section 3. Severability. If any clause, sentence, paragraph, or part of this Ordinance or the application thereof to any person or circumstances shall for any reason be adjudged by a court of competent jurisdiction invalid, such judgment shall not affect, impair or invalidate the remainder of this Ordinance or it application to other persons or circumstances.

Section 4. Inconsistent Ordinances. All other Ordinances or portions thereof inconsistent or conflicting with this Ordinance or any portion hereof are hereby repealed to the extent of such inconsistency or conflict.

Section 5. Effect of repeal or modification. The repeal or modification of any provision of the Code of the City of Englewood by this Ordinance shall not release, extinguish, alter, modify, or change in whole or in part any penalty, forfeiture, or liability, either civil or criminal, which shall have been incurred under such provision, and each provision shall be treated and held as still remaining in force for the purposes of sustaining any and all proper actions, suits, proceedings, and prosecutions for the enforcement of the penalty, forfeiture, or liability, as well as for the purpose of sustaining any judgment, decree, or order which can or may be rendered, entered, or made in such actions, suits, proceedings, or prosecutions.

Section 6. Penalty. The Penalty Provision of Section 1-4-1 EMC shall apply to each and every violation of this Ordinance.

Introduced, read in full, and passed on first reading on the 5th day of May, 2014.

Published by Title as a Bill for an Ordinance in the City’s official newspaper on the 9th day of May, 2014.
Published as a Bill for an Ordinance on the City’s official website beginning on the 7th day of May, 2014 for thirty (30) days.

Read by title and passed on final reading on the 19th day of May, 2014.

Published by title in the City’s official newspaper as Ordinance No. ____. Series of 2014, on the 23rd day of May, 2014.

Published by title on the City’s official website beginning on the 21st day of May, 2014 for thirty (30) days.

This Ordinance shall take effect thirty (30) days after publication following final passage.

______________________________
Randy P. Penn, Mayor

ATTEST:

______________________________
Loucrishia A. Ellis, City Clerk

I, Loucrishia A. Ellis, City Clerk of the City of Englewood, Colorado, hereby certify that the above and foregoing is a true copy of the Ordinance passed on final reading and published by title as Ordinance No. ____. Series of 2014.
BY AUTHORITY

ORDINANCE NO. ____
SERIES OF 2014

COUNCIL BILL NO. 27
INTRODUCED BY COUNCIL
MEMBER GILLIT

AN ORDINANCE AMENDING TITLE 7, CHAPTER 3, OF THE ENGLEWOOD MUNICIPAL CODE 2000 BY THE ADDITION OF A NEW SECTION 6, ENTITLED DETERMINATION OF FEES.

WHEREAS, 24-72-306(1) C.R.S. allows fees to be charged for the search, retrieval and copying of Criminal Justice Records; and

WHEREAS, 16-22-108(6) C.R.S. mandates that persons who are subject to mandatory registration with the Police Department as sex offenders shall bear the cost of the photograph or image and fingerprinting required for registration; and

WHEREAS, the cost of registering sex offenders and responding to requests from the public for information on registered sex offenders are substantial and should be reimbursed to the City; and

WHEREAS, the passage of this Ordinance will amend the Englewood Municipal Code stating that the determination of these fees shall be set by resolution.

NOW, THEREFORE, BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF ENGLEWOOD, COLORADO, THAT:

Section 1. The City Council of the City of Englewood, Colorado hereby authorizes amending Title 7, Chapter 3, by adding a new Section 7, entitled Determination of Fees of the Englewood Municipal Code 2000, to read as follows:

7-3: Prohibited Residency of Sex Offenders.

7-3-6: Determination of Fees.

The City Council shall determine and set all fees required for the registration of sex offenders by resolution.

Section 2. Safety Clauses. The City Council hereby finds, determines, and declares that this Ordinance is promulgated under the general police power of the City of Englewood, that it is promulgated for the health, safety, and welfare of the public, and that this Ordinance is necessary for the preservation of health and safety and for the protection of public convenience and welfare. The City Council further determines that the Ordinance bears a rational relation to the proper legislative object sought to be obtained.
Section 3. Severability. If any clause, sentence, paragraph, or part of this Ordinance or the application thereof to any person or circumstances shall for any reason be adjudged by a court of competent jurisdiction invalid, such judgment shall not affect, impair or invalidate the remainder of this Ordinance or its application to other persons or circumstances.

Section 4. Inconsistent Ordinances. All other Ordinances or portions thereof inconsistent or conflicting with this Ordinance or any portion hereof are hereby repealed to the extent of such inconsistency or conflict.

Section 5. Effect of repeal or modification. The repeal or modification of any provision of the Code of the City of Englewood by this Ordinance shall not release, extinguish, alter, modify, or change in whole or in part any penalty, forfeiture, or liability, either civil or criminal, which shall have been incurred under such provision, and each provision shall be treated and held as still remaining in force for the purposes of sustaining any and all proper actions, suits, proceedings, and prosecutions for the enforcement of the penalty, forfeiture, or liability, as well as for the purpose of sustaining any judgment, decree, or order which can or may be rendered, entered, or made in such actions, suits, proceedings, or prosecutions.

Section 6. Penalty. The Penalty Provision of Section 1-4-1 EMC shall apply to each and every violation of this Ordinance.

Introduced, read in full, and passed on first reading on the 5th day of May, 2014.

Published by Title as a Bill for an Ordinance in the City’s official newspaper on the 9th day of May, 2014.

Published as a Bill for an Ordinance on the City’s official website beginning on the 7th day of May, 2014 for thirty (30) days.

Read by title and passed on final reading on the 19th day of May, 2014.

Published by title in the City’s official newspaper as Ordinance No. ___. Series of 2014, on the 23rd day of May, 2014.

Published by title on the City’s official website beginning on the 21st day of May, 2014 for thirty (30) days.

This Ordinance shall take effect thirty (30) days after publication following final passage.

______________________________
Randy P. Penn, Mayor

ATTEST:

Loucrishia A. Ellis, City Clerk
I, Loucrishia A. Ellis, City Clerk of the City of Englewood, Colorado, hereby certify that the above and foregoing is a true copy of the Ordinance passed on final reading and published by title as Ordinance No. ___, Series of 2014.

Loucrishia A. Ellis
COUNCIL GOAL AND PREVIOUS COUNCIL ACTION

City Council was presented and passed a Bill for an Ordinance adding Section 6 to Title 7, Chapter 5 of the Englewood Municipal Code on first reading May 5, 2014. Council considered the Bill for an Ordinance on second reading earlier tonight. Section 6 of Title 7, Chapter 5 allows the City Council to set sex offender registration fees by resolution.

RECOMMENDED ACTION

Staff recommends City Council approve the attached resolution setting fees for sex offender registration as follows:

Initial Registration: $75.00
Additional Registration (quarterly or annually): $25.00

BACKGROUND, ANALYSIS, AND ALTERNATIVES IDENTIFIED

City Council has set fees by resolution for a number of the licensing activities administered by the City of Englewood. The purpose of charging fees is to help offset the cost of administering the licensing and registration of certain activities so the burden does not fall on the taxpayers. The fees for registering sex offenders will help offset the staff time needed to administer the registration program.

FINANCIAL IMPACT

These fees will not be a significant source of revenue but will help offset staff time to administer the registration program.

LIST OF ATTACHMENTS

Proposed Resolution
RESOLUTION NO. ______
SERIES OF 2014

A RESOLUTION SETTING SEX OFFENDER REGISTRATION FEES.

WHEREAS, Title 7, Chapter 3, Section 6, of the Englewood Municipal Code establishes that the City Council sets sex offender registration fees by resolution; and

WHEREAS, the City of Englewood City Council passed C.B. 27, Series of 2014, on May 5, 2014 allowing Council to set sex offender fees by resolution; and

WHEREAS, the passage of this proposed resolution will establish registration fees for Sex Offender Registrations.

NOW, THEREFORE, BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF ENGLEWOOD, COLORADO, AS FOLLOWS:

Section 1. The City Council of the City of Englewood, Colorado authorizes the following Sex Offender Registration Fees as follows:

<table>
<thead>
<tr>
<th>Fee Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial Registration</td>
<td>$75.00</td>
</tr>
<tr>
<td>Additional Registration (quarterly or annually)</td>
<td>$25.00</td>
</tr>
</tbody>
</table>

ADOPTED AND APPROVED this 19th day of May, 2014.

ATTEST: ____________________________

Randy P. Penn, Mayor

Loucrishia A. Ellis, City Clerk

I, Loucrishia A. Ellis, City Clerk for the City of Englewood, Colorado, hereby certify the above is a true copy of Resolution No. ______, Series of 2014.
COUNCIL COMMUNICATION

<table>
<thead>
<tr>
<th>Date:</th>
<th>Agenda Item:</th>
<th>Subject:</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 19, 2014</td>
<td>10 a</td>
<td>Public Hearing for an Ordinance Adopting Amendments to Title 16 Concerning Site Improvement Plans</td>
</tr>
</tbody>
</table>

Initiated By: Community Development Department  
Staff Source: Chris Neubecker, Senior Planner

COUNCIL GOAL AND PREVIOUS COUNCIL ACTION

This item was reviewed by City Council during First Reading of the Ordinance on May 5, 2014. This ordinance advances the City Council goals of having clear regulations, and also ensuring that large developments can obtain approval of site plans before applying for building permits, which involves significantly more investment in architectural and structural plans.

PREVIOUS PLANNING COMMISSION ACTION

The Planning and Zoning Commission discussed this proposal to amend Title 16: Unified Development Code, Site Improvement Plans at a Study Session on January 22, 2014. The Commission conducted a Public Hearing on February 20, 2014. There were no members of the public that testified at the public hearing. Following discussion, the Commission voted in favor of forwarding to City Council the proposed amendments to Title 16, Chapter 2: “Development Review and Approval Procedures”, as presented in the attached Bill for an Ordinance.

RECOMMENDED ACTION

The Community Development Department recommends conducting a public hearing and taking testimony on the proposed ordinance concerning amendments to Title 16: Unified Development Code regarding Site Improvement Plans.

BACKGROUND, ANALYSIS, AND ALTERNATIVES IDENTIFIED

The current Zoning Site Plan Review process in the Unified Development Code (Section 16-2-9) does not fully address projects that involve site work not associated with a building permit. For example, the developer of Sprouts Farmers Market on South Broadway was seeking approval of their site plan before applying for a building permit, which requires much greater plan detail and additional cost to the developer. The Sprouts developer needed approval of a site plan in order to secure financing. This is a fairly common requirement in the development financing industry. Site plan review is not currently required for major landscaping or major site work, other than paving parking lots. The current Development Code also lacks sufficient detail on submittal requirements and needs updating to reflect new size thresholds for building permits.

In addition, the Commission supported changing from "Zoning Site Plan" to "Site Improvement Plan." This change is proposed because the plan review relates more to the proposed site improvements than to the
zoning. This change will clarify that site work, or “site improvements,” require review and approval by the City. This is particularly relevant for existing uses, where there is no need to review the zoning, but where site improvements requiring plan review are proposed.

**ANALYSIS**

Site plan review is performed by planners in the Community Development Department with input from other members of the Development Review Team. Staff reviews and approves (or denies) the proposed development based on the zoning, as well as dimensional standards such as setbacks, height, parking and landscaping. In many cases, current codes are not clear if certain development activities require site plan review. Also, in many cases, property owners or developers are seeking approval of the site plan (which is relatively inexpensive to produce) before committing resources to the building design (which is more expensive).

The proposed changes will clarify requirements on the plan format and information that must be included for plan review. For example, the current regulations do not specify the sheet size of the plan, or the scale required on the plan. These are basic elements of site planning that should be listed in the regulations.

The primary changes proposed to the existing Zoning Site Plan Review process (Section 16-2-9 EMC) include the following:

- Change from “Zoning Site Plan” to “Site Improvement Plan”
- Require Site Improvement Plan review for site work and landscaping over $5,000 in value. (This amount was chosen because it was determined as a cutoff between “minor” and “major” landscaping.)
- Require Site Improvement Plan review for alterations to existing structures resulting in a change of floor area of 10% or greater, or any change that reduces the setback to a property line
- Provide more detail on the submittal requirements for plans and plan format
- The lapsing period for approval of site improvement plans would change from 60 days to 180 days
- Change the size threshold for building permits to match new building codes
- Other syntax changes to improve readability and enforceability of the code

Site Improvement Plan review will remain an administrative decision. Appeals to administrative decisions are to the Board of Adjustment and Appeals. As proposed, this policy would apply to both residential and nonresidential properties.

**FINANCIAL IMPACT**

There should be a positive financial impact on the City through additional collection of Use Tax identified through the Site Improvement Plan review process. This ordinance should also have a positive financial impact by encouraging new development and facilitating approval of site plans before developers move on to the more expensive architectural and structural plans required for a building permit.

**LIST OF ATTACHMENTS**

Planning and Zoning Commission Staff Report – February 20, 2014
Planning and Zoning Commission Minutes – February 20, 2014
Planning and Zoning Commission Findings of Fact - Case No. 2013-09
Bill for an Ordinance
MEMORANDUM

TO: Planning and Zoning Commission

THROUGH: Alan White, Community Development Director

FROM: Chris Neubecker, Senior Planner

DATE: February 20, 2014

SUBJECT: Case 2013-09 – Public Hearing
Site Improvement Plans

Recommendations

The Community Development Department request that the Planning & Zoning Commission review, take public testimony, and forward to City Council a recommendation for adoption the proposed amendments to the Unified Development Code of the Englewood Municipal Code, Title 16, Chapter 2, Development Review and Approval Procedures, relating to Zoning Site Plan Review.

Background

The current Zoning Site Plan Review process outlined in the Unified Development Code (Section 16-2-9) does not fully address projects that involve site planning not associated with a building permit. For example, Sprouts Farmers Market on S. Broadway was seeking approval of their site plan before moving forward with the building permit process which requires much greater plan detail. Landscaping and major site work are also not listed as activities requiring site plan review. The current code also lacks sufficient detail on submittal requirements and needs to be updated to reflect current size thresholds for building permit. In addition, staff recommends changing from “Zoning Site Plan” to “Site Improvement Plan” to clarify that plan review applies to improvements proposed, and not just compliance with zoning.

Analysis

The current regulations list examples of where formal Zoning Site Plan review is required. Plan review is performed by planners in the Community Development Department. Staff reviews and approves (or denies) the proposed uses based on the zoning, as well as dimensional standards such as setbacks and height, parking and landscaping. In many cases, it is not clear if certain development activities require zoning site plan review. Also, in many cases, property owners or developers are seeking approval of the site plan (which is
relatively inexpensive to produce) before committing resources to the building design (which is more expensive).

The proposed changes will also set clear requirements on the plan format and information that must be supplied for plan review. For example, the current regulations do not specify the sheet size of the plan, or the scale required on the plan. These are basic elements of a site plan that should be listed in the regulations.

The primary changes proposed to the existing Zoning Site Plan Review process (Section 16-2-9 EMC) include the following:

- Change from “Zoning Site Plan” to “Site Improvement Plan”
- Require Site Improvement Plan review for site work and landscaping over $5,000 in value
- Require Site Improvement Plan review for alterations to existing structures resulting in a change of floor area of 10% or greater, or any change that reduces the setback to a property line
- Provide more detail on the submittal requirements for plans and plan format
- Other syntax changes that improve the readability and enforceability of the code.

Information on the Development Review Team (DRT) that was included in previous versions of this proposal has been removed. We have determined that while this service is valuable to property owners and developers, it is not something that directly regulates the review process, and should not be included in the Unified Development Code.

Site Improvement Plan review will remain an administrative decision. Appeals to administrative decisions are to the Board of Adjustment and Appeals.

**Recommendation**

Staff recommends that the Planning & Zoning Commission support the proposed code changes as presented.

A motion to recommend approval of the proposed code amendments to City Council is needed.

**Next Steps**

If the Planning & Zoning Commission recommends approval, we intend to move forward with first reading of an ordinance by City Council.

**Attachments**

Amendments to Title 16 pertaining to Site Improvement Plans
I. CALL TO ORDER

The regular meeting of the City Planning and Zoning Commission was called to order at 7:00 p.m. in the City Council Chambers of the Englewood Civic Center, Chair Brick presiding.

Present: Roth, Knoth, Brick, Kinton, Townley, Fish, Freemire, Madrid (alternate)

Absent: Bleile (Excused), King (Excused)

Staff: Alan White, Director, Community Development
      Chris Neubecker, Senior Planner
      Dan Brotzman, City Attorney

Chair Brick added election of officers to the agenda.

II. APPROVAL OF MINUTES
February 4, 2013

Fish moved; Freemire seconded: TO APPROVE THE FEBRUARY 4, 2013 MINUTES

Chair Brick asked if there were any modifications or corrections. Mr. Fish requested that the attendance record be modified to remove Mr. Welker and reflect that Ms. Townley and Mr. Knoth were in attendance.

AYES: Fish, Kinton, Knoth, Roth, Townley, Freemire
NAYS: None
ABSTAIN: Brick
ABSENT: Bleile, King

Motion carried.

III. PUBLIC HEARING 2013-06 NON-CONFORMING STRUCTURES

Fish moved; Knoth seconded: To open public hearing for Case #2013-06 Non-Conforming Structures

AYES: Fish, Kinton, Knoth, Roth, Townley, Freemire, Brick
Chris Neubecker, Senior Planner, was sworn in. Mr. Neubecker reviewed the history of Case #2013-06 Non-Conforming Structures. The issue was raised when the Community Housing Development Association (CHDA) contacted the City in August, 2013, requesting a zoning text amendment. The existing UDC contains language which prohibits non-conforming structures from being rebuilt to the same size and scale as they currently exist if that element of the design is not conforming. CHDA purchased and renovated properties in the MU-R-3B district that are over the allowed density for that site (21 and 22 units each) based on the lot area. If the buildings were destroyed or incurred damage of 60% or more based on cost, the buildings could only be rebuilt at 11 and 12 units respectively. The entities financing the properties are concerned because of the potential loss of value.

The UDC was reviewed and revised language is being proposed to allow the buildings to be rebuilt. Language has also been revised to allow voluntary redevelopment in the event that a property owner would want to demolish and rebuild, even when there is no damage to the building. A time limit is also proposed that would require the applicant to obtain a building permit within one year from the time the building was damaged or destroyed.

Staff recommends that the text amendment be submitted to City Council for First Reading.

Questions from the Commission:

Ms. Townley requested clarification that the issue is the non-conforming structure or the land use. Mr. Neubecker responded that this ordinance does not address the nonconforming use of the land, only the structure.

Mr. Knoth asked if the density could be increased; Mr. Neubecker responded that the structure could be rebuilt to the current allowed density for that zoning area or the previous density of the non-conforming structure, whichever is greater.

Mr. Freemire inquired as to what the remedy would be for an aggrieved party who did not agree with the changes made by the Planning and Zoning Commission. Mr. Neubecker responded that the decision would be made by staff and would not come before the Planning and Zoning Commission. Appeals of administrative decisions go to the Board of Adjustments and Appeals.

Mr. Roth commented on the actual number of structures in R-1-A, of which 5 are known, and the desire of City Council to preserve the standards for R-1-A. He expressed that in C (1)(b) of the proposal, he was concerned with the language in the last sentence regarding “undue burden on the owner” in regards to meeting the zoning standards. Mr. Neubecker explained that the intent is to determine the impact of the redevelopment in the area and the rights of property owners, seeking a balance between the two.
makes the determination of undue burden and Mr. Neubecker responded that the staff is responsible for the administrative decisions regarding redevelopment.

Mr. Fish asked how it is determined if a property is deemed to be non-conforming in light of the fact that there is no accurate list of properties. Mr. Neubecker replied that the list that the Community Development department has is a list of non-conformities based specifically on lot size and existing density. The list is created using information from Arapahoe County Assessor's office, which contains information regarding the number of units in a structure.

Dan Brotzman, City Attorney, was sworn in to address the issue of "undue burden" as it relates to property development. Mr. Brotzman explained that "undue burden" will always be defined by discussion between Staff and the property owner. Mr. Brotzman agreed to supply the Commission with a document defining "undue burden."

Chair Brick verified that the City Attorney's office would like "undue burden" to not be tied to economic factors.

Chris Neubecker, Senior Planner, stated that when applicants seek remedy with the Board of Adjustments, the result is generally a variance. He read the standards that apply to variances, and suggested that similar criteria would be used to determine "undue burden". He offered that the language in 16-9-3:C(1)(b) can be amended to delete the statement "and where meeting such zoning standards does not create an undue burden on the owner."

Jo Ellen Davidson, Director of Community Housing Development Association (CHDA), 325 Inverness Drive South, Englewood, was sworn in.

Ms. Davidson thanked the Commissioners for their consideration of CHDA's request for amendment. Ms. Davidson described the mission of the CHDA and its history in Englewood. She supplied the Commissioners with information regarding the financial investment CHDA has made in the buildings comprising the Canterbury East and South apartments and the Presidential Arms apartments in Englewood. One objective of CHDA is to make a significant improvement in the community. Their funding is from a variety of both public and private resources. She expressed that they are concerned over the potential loss of the properties in light of the fact that all improvements are completed up front when CHDA acquires the property. They have a long term commitment to the properties and make improvements for long term use.

The Commissioners did not have any questions for Ms. Davidson.

Staff did not have a rebuttal to present.

Mr. Knoth motioned;
Mr. Fish seconded: To close the public hearing for Case #2013-06 Non-Conforming Structures
Motion to approve staff recommendation for Case #2013-06 Non-Conforming Structures

Knoth moved;
Roth seconded: TO APPROVE STAFF RECOMMENDATION FOR CASE #2013-06 NON CONFORMING STRUCTURES

Mr. Roth offered a friendly amendment to strike language from 16-9-3 C(1)(b) “and where meeting such zoning standards does not create an undue burden on the owner.”

Mr. Brick commented that in line with the Comprehensive Plan, it is important to support organizations both private and public that are interested in improving the housing stock in the City of Englewood and it is important that the Commission support these efforts, particularly for buildings such as CHDA’s to promote the health and welfare of the community.

Mr. Fish agreed with the exclusion of the language due to the fact that the property owner does have recourse if they disagree with the decision of the staff.

Mr. Knoth commented that the amendment would protect the income of the property owner by insuring that they could continue to receive the same income from the property if they are allowed to reconstruct the building with the same number of units.

Mr. Fish added that the Board of Adjustment and Appeals does not rule based on monetary issues, but strictly deals with variances which are exceptions to the code regarding safety issues. His experience with the Board of Adjustment and Appeals is that they would not rule based on financial impact.

Mr. Roth reiterated that the intent of the change in the zoning code is to allow the owner to rebuild to the original density.

Vote: TO APPROVE CASE #2013-06 NON CONFORMING STRUCTURES AS RECOMMENDED BY STAFF WITH FRIENDLY AMENDMENT TO STRIKE LANGUAGE IN 16-9-3 C(1)(b) “AND WHERE MEETING SUCH ZONING STANDARDS DOES NOT CREATE AN UNDUE BURDEN ON THE OWNER.”

Mr. Fish – We have series of non-conforming buildings that will continue to degrade and as a community need to seek a mechanism to maintain and improve these buildings. As evidenced by testimony received, at least one situation has occurred in which these buildings that were non-conforming have not only been maintained but improved. This is something that needs to be encouraged by the city as it pertains to the Comprehensive
Plan. Higher density exceptions have been granted through the PUD process as exceptions to the underlying zoning structure and this is a trend for the City of Englewood and may be included in a future Comprehensive Plan to align with the trend not only in Englewood but nationally.

Mr. Kinton agreed with Mr. Fish that anything that can be done to improve the housing stock should be encouraged.

AYES: Fish, Kinton, Knoth, Roth, Townley, Freemire, Brick
NAYS: None
ABSTAIN: None
ABSENT: Bleile, King

Motion carries.

IV. PUBLIC HEARING 2013-09 ZONING SITE PLAN REVIEW

Knoth moved; Roth seconded: TO OPEN THE PUBLIC HEARING FOR CASE #2013-09 ZONING SITE PLAN REVIEW

AYES: Fish, Kinton, Knoth, Roth, Townley, Freemire, Brick
NAYS: None
ABSTAIN: None
ABSENT: Bleile, King

Chris Neubecker, Senior Planner, described the Zoning Site Plan Review process as outlined in 16-2-9 of the UDC. The proposed amendment would change the title of 16-2-9 to Site Improvement Plan Review. The proposed amendment would outline the process staff uses to review an application that is not otherwise going to the Planning and Zoning Commission. Examples are a building permit, review of a landscaping plan, a major site plan and projects that are not large enough to require Planning Commission or Board of Adjustment approval. The majority of the work performed by current planning staff is review of plans against current codes.

The proposed changes would allow an applicant to go through the Site Improvement Plan process before moving on to the permitting process which requires a higher level of detail and formal building plans. The process is not always about zoning, but about the actual layout of the site itself. The proposed changes would clarify when the Site Plan Review process is necessary and also the types of application materials that are required to be submitted including the size and the scale of the plans for review. Should a property owner be challenged by these requirements, staff can assist with creating plans containing the information.

The major changes proposed include changing the title of the code to Site Improvement Plan Review, the requirement of plan review for large site work projects and landscaping
over $5,000 in value, alterations of floor area in excess of 10% of the floor area or reduction in the setback to a property line, additional detail on the plans submitted and minor syntax changes that improve the readability and enforceability of the code. Previous recommendations, including language on the DRT (Development Review Team), have been removed from the proposed amendment. Site Improvement Plan Review remains an administrative function and appeals to administrative decisions are made through the Board of Adjustments and Appeals.

Ms. Townley asked if this process would apply to any type of property. Mr. Neubecker responded that it would apply to all properties regardless of zone area. He also clarified that the requirement for the process would not preclude a property owner from occupying their home.

Mr. Freemire commented on the language in 16-2-9 A(5) and the threshold of $5,000 for the project value. He suggested that some type of multiplier or index be included to account for inflation and increased cost of a project. Mr. Neubecker stated that there is not precedence for including a contingency for inflation, which would be difficult to calculate and hard for some people to understand.

Mr. Roth questioned the need for the additional language in 16-2-9 (A)(4) regarding residential driveways. The current code does not contain a definition of a residential driveway. Mr. Neubecker supplied the Commissioners with information on the definition of a driveway as it is stated in the City of Englewood UDC as well as from other sources. The reason for adding the phrase “residential driveway” is to clarify that Site Improvement Plan Review is not necessary, and to eliminate a conflict with a previous citizen’s initiative.

Mr. Fish noted a change to 16-2-9 (B)(3) to correct a typographical error “Sites ≥ 10,000 square feet: Scale 1” = 10’.

Fish proposed changes to 16-2-9 D(1)(b and e) to associate the term “compliance” with standards and policy, and the term “consistency” with guidelines.

No public was present at the hearing.

Alan White, Director, spoke about the 180 day time limit as a commonly accepted standard for a time frame for a project to be completed from the time it has gone through the Site Improvement Plan Review process.

Knoth moved; Roth seconded: TO CLOSE THE PUBLIC HEARING FOR CASE #2013-09 SITE IMPROVEMENT PLAN REVIEW

AYES: Fish, Kinton, Knoth, Roth, Townley, Freemire, Brick
NAYS: None
ABSTAIN: None
ABSENT: Bleile, King
Knoth moved; Fish seconded: TO APPROVE CASE #2013-09 ZONING SITE PLAN REVIEW AS WRITTEN BY STAFF

Mr. Fish requested that the length of the lapse between review and implementation be changed from 60 days to 180 days. Mr. Knoth accepted the Friendly Amendment. The clerical error will be corrected to reflect the proper scale for plans.

AYES: Fish, Kinton, Knoth, Roth, Townley, Freemire, Brick
NAYS: None
ABSTAIN: None
ABSENT: Bleile, King

Motion passes.

IV. PUBLIC FORUM

No Public was present.

V. ATTORNEY’S CHOICE

Attorney Brotzman had no comment.

VI. STAFF’S CHOICE

Mr. Neubecker announced that the March 4th meeting will be a continuation of the discussion regarding the TSA overlay in the industrial area. Staff members attended the “Safe Routes to School” meeting and information received was helpful. He thanked Commissioner Townley and Commissioner Kinton for attending.

VII. COMMISSIONER’S CHOICE

Chair Brick requested a motion for a nomination for Chair.

Mr. Roth moved;
Mr. Knoth seconded: To nominate Mr. Fish for Chair and Mr. King for Vice Chair of the Commission

AYES: Fish, Kinton, Knoth, Roth, Townley, Freemire, Brick
NAYS: None
ABSTAIN: None
ABSENT: Bleile, King

Ms. Townley - Legislation in House of Representatives may allow Planning and Zoning commissioners to receive pay. She also attended a meeting with DRCOG regarding Healthy Spaces in regard to Comprehensive Plan and is encouraging cities to include health and safe routes to school.
Mr. Fish complimented staff for the helpful way in which the cases were presented for consideration and for the information provided to the Commission regarding Home Occupations and City Council's opinion.

The meeting adjourned at 8:40 p.m.

/s/ Julie Bailey, Recording Secretary
IN THE MATTER OF CASE #2013-09, )
FINDINGS OF FACT, CONCLUSIONS )
AND RECOMMENDATIONS RELATING ) FINDINGS OF FACT AND
TO THE AMENDMENT OF THE UNIFIED ) CONCLUSIONS OF THE
DEVELOPMENT CODE ZONING SITE ) CITY PLANNING AND
PLAN REVIEW ) ZONING COMMISSION

INITIATED BY: )
COMMUNITY DEVELOPMENT )
DEPARTMENT )
1000 ENGLEWOOD PARKWAY )
ENGLEWOOD, CO 80110 )

Commission Members Present: Fish, Freemire, Knoth, Roth, Kinton, Brick, Townley
Commission Members Absent: Bleile, King

This matter was heard before the City Planning and Zoning Commission on February 20, 2014 in the City Council Chambers of the Englewood Civic Center.

Testimony was received from staff and no public was present at the hearing. The Commission received notice of Public Hearing, the Staff Report, and a copy of the proposed amendment to the Unified Development Code which were incorporated into and made a part of the record of the Public Hearing.

After considering the statements of the witnesses, and reviewing the pertinent documents, the members of the City Planning and Zoning Commission made the following Findings and Conclusions.

FINDINGS OF FACT

1. THAT the Public Hearing on the Amendment of the Unified Development Code 16-2-9 Zoning Site Plan Review was brought before the Planning Commission by the Department of Community Development, a department of the City of Englewood.

2. THAT notice of the Public Hearing was published in the Englewood Herald on February 7, 2014 and was on the City’s website from February 6th through 20th.
3. THAT all testimony received from staff members and the public has been made part of the record of the Public Hearing.

4. THAT the title of 16-2-9 will Change from "Zoning Site Plan" to "Site Improvement Plan".

5. THAT property owners will be required to complete a Site Improvement Plan Review for site work and landscaping over $5,000 in value.

6. THAT the revised code will provide more detail on the submittal requirements for plans and plan format as outlined in the revised Site Improvement Plan Review process.

7. THAT other syntax changes will improve the readability and enforceability of the code.

8. THAT the proposed amendments related to the Zoning Site Improvement Plan Review are consistent with the goals and objectives of Roadmap Englewood: The 2003 Englewood Comprehensive Plan.

9. THAT the proposed Amendments related to the Zoning Site Plan Review process should be adopted as part of Title 16: Unified Development Code of the Englewood Municipal Code.

10. THAT the proposed updates are necessary to clarify the submittal requirements and review process for approval of a Site Improvement Plan.

11. THAT the proposed code amendment helps citizens to better understand the review process, and that this revision advances the health, safety and welfare of the community.

CONCLUSIONS

1. THAT the Public Hearing on the Amendment of the Unified Development Code Zoning Site Plan Review was brought before the Planning Commission by the Department of Community Development, a department of the City of Englewood.

2. THAT notice of the Public Hearing was published in the Englewood Herald on February 7, 2014 and was on the City’s website from February 6th through 20th.

3. THAT all testimony received from staff members and the public has been made part of the record of the Public Hearing.
4. THAT the title of 16-2-9 will Change from “Zoning Site Plan” to “Site Improvement Plan”.

5. THAT property owners will be required to complete a Site Improvement Plan Review for site work and landscaping over $5,000 in value.

6. THAT the revised code will provide more detail on the submittal requirements for plans and plan format as outlined in the revised Site Improvement Plan Review process.

7. THAT Other syntax changes will improve the readability and enforceability of the code.

8. THAT the proposed amendments related to Zoning Site Plan Review are consistent with the goals and objectives of Roadmap Englewood: The 2003 Englewood Comprehensive Plan and the Englewood.

9. THAT the proposed Amendments related to 16-2-9 Zoning Site Plan Review should be adopted as part of Title 16: Unified Development Code of the Englewood Municipal Code.

10. THAT the proposed updates are necessary to clarify the submittal requirements and review process for approval of a Site Improvement Plan.

11. THAT the proposed code amendment helps citizens to better understand the review process, and that this revision advances the health, safety and welfare of the community.

DECISION

THEREFORE, it is the decision of the City Planning and Zoning Commission that Case #2013-09, Amendments to 16-2-9 Zoning Site Plan Review should be referred to the City Council with a favorable recommendation.

The decision was reached upon a vote on a motion made at the meeting of the City Planning and Zoning Commission on February 20, 2014, by Mr. Knoth, seconded by Mr. Fish, which motion states:

CASE #2013-09, AMENDMENTS TO TITLE 16: UNIFIED DEVELOPMENT CODE RELATED TO 16-2-9 ZONING SITE PLAN REVIEW AS STATED BE RECOMMENDED FOR APPROVAL TO CITY COUNCIL WITH A
FAVORABLE RECOMMENDATION WITH THE FOLLOWING CONDITION:

1. 16-2-9 (E)(2) Lapse: General Development Applications. A Site Improvement Plan shall lapse and be of no further force and effect if a building permit, or City Manager or designee approval, as required, is not issued for the property subject to the Site Improvement Plan within one hundred eighty (180) days from the date of approval of the Site Improvement Plan.

AYES: Knoth, Roth, Fish, Brick, Kinton, Freemire, Townley
NAYS: None
ABSTAIN: None
ABSENT: Bleile, King

Motion carried.

These Findings and Conclusions are effective as of the meeting on February 20, 2014.

BY ORDER OF THE CITY PLANNING & ZONING COMMISSION

John Brick, Chair
BY AUTHORITY

ORDINANCE NO. ______ SERIES OF 2014
COUNCIL BILL NO. 24
INTRODUCED BY COUNCIL MEMBER ________________

A BILL FOR

AN ORDINANCE AMENDING TITLE 16, CHAPTER 2, SECTIONS 2, 7, 9, AND
TITLE 16, CHAPTER 3, SECTION 2, OF THE ENGLEWOOD MUNICIPAL CODE
2000, PERTAINING TO ZONING SITE PLAN REVIEW.

WHEREAS, the current regulations list examples of where formal Zoning Site Plan
review is required. Plan review is performed by the Community Development
Department. Staff reviews and approves or denies the proposed use based on the zoning,
as well as dimensional standards such as setbacks, height, parking and landscaping; and

WHEREAS, the current Zoning Site Plan Review process outlined in the Unified
Development Code (Section 16-2-9) does not address projects that involve site planning
not associated with a building permit; and

WHEREAS, the changes proposed to the existing Zoning Site Plan Review process
(Section 16-2-9 EMC) include a change from the term “Zoning Site Plan” to “Site
Improvement Plan”; and

WHEREAS, the changes proposed require Site Improvement Plan review for site
work and landscaping over $5,000 in value; and

WHEREAS, the Planning and Zoning Commission was concerned that $5,000 would
become outdated and discussed including a CPI component; however, such was not
included in the proposal to City Council; and

WHEREAS, under 16-2-9(A)(4) EMC, the Planning and Zoning Commission had a
great deal of discussion regarding the exception of residential driveways; however, no
recommendation was made; and

WHEREAS, the Planning and Zoning Commission extended the lapse date from 60
days to 180 days, which requires a correction in Chart 16-2-2 EMC; and

WHEREAS, Site Improvement Plan review will remain an administrative decision;
and

WHEREAS, appeals to administrative decisions are to the Board of Adjustment and
Appeals; and

WHEREAS, the Englewood Planning and Zoning Commission recommended
approval of these changes at the February 20, 2014 meeting.
NOW, THEREFORE, BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF ENGLEWOOD, COLORADO, AS FOLLOWS:

Section 1. The City Council of the City of Englewood, Colorado hereby authorizes amending Title 16, Chapter 2, Section 9, of the Englewood Municipal Code 2000, to read as follows:

16-2-9: Zoning Site Improvement Plan Review.

A. Applicability. No land or structure shall be used, occupied, built, constructed upon, altered or developed for any use without complying with the Zoning Site Improvement Plan requirements and procedures provided in this Section, as applicable. A Zoning Site Improvement Plan shall be required for any of the following:

1. The commencement of any development, improvement, or construction requiring a building permit, except for interior remodel and or interior tenant finish.

2. The construction or expansion of fences, walls, and or accessory structures (e.g., garages, carports, storage sheds, decks) in any zone districts, including decks and patios less than thirty inches (30") in height and residential accessory structures containing less than two hundred twenty (220) square feet in floor area, or commercial accessory structures containing less than one hundred twenty (120) square feet that do not otherwise require a building permit.

3. Accessory uses, not including home occupations, marked as "A" in the applicable table cell in Table 16-5-1.1, "Table of Allowed Uses".

4. The construction, re-installation, expansion, alteration, removal, surfacing, paving, or resurfacing of a parking area, except for a residential driveway.

5. Site work, landscaping, grading, or excavation in excess of five thousand dollars ($5,000) in value as determined by a reasonable contract or bid consistent with prices for such materials and services in the Denver metropolitan area.

6. Additions and exterior alterations of any structure resulting in a change equal to or greater than ten percent (10%) of the floor area of the structure.

7. Any change that reduces the setback to a property line.

B. Initiation. An application for a Zoning Site Improvement Plan may only be initiated by those parties identified in Section 16-2-3(A) EMC. The "Applicant" shall be the person, persons or legal entity that initiates the application for a Site Improvement Plan.

C. City Review. The Applicant shall submit a plan of the proposed development or improvement showing the location of all property boundaries, the location and dimensions of all existing and proposed structures (including accessory structures
such as garages, sheds, outbuildings, trash enclosures, shelters, etc.), the location and surface material of all parking areas, driveways and sidewalks, the location of all landscaping (including species and size), fences and retaining walls. Applicant shall also submit plans showing the location of all existing and proposed storm water detention facilities as required by Section 16-6-8 EMC. The Applicant shall submit copies of plans, including site plan, floor plans and elevations of all proposed structures. In addition, the applicant shall submit either as-built plans or photographs of all existing structures on the property.

1. General Development Applications.

   a. Development/Use Requiring a Building Permit. The City Manager or designee shall review the proposed Zoning Site Improvement Plan as part of the building permit application process. Based on the results of these reviews, the City Manager or designee shall act to approve, approve with conditions, or deny the proposed Zoning Site Improvement Plan based on the review criteria stated in Section 16-2-9(D) EMC, below.

   b. Development/Uses Not Requiring a Building Permit. The City Manager or designee shall review the proposed Zoning Site Improvement Plan for compliance with applicable standards of this Title. Based on the results of these reviews, the City Manager or designee shall act to approve, approve with conditions, or deny the proposed Zoning Site Improvement Plan based on the review criteria stated in Section 16-2-9(D) EMC, below. A copy of the approved Zoning Site Improvement Plan shall be maintained by the City.

2. Preliminary Review: Applicants are encouraged to contact the City in advance of submittal for formal Site Improvement Plan Review or application for a Building Permit to obtain preliminary feedback on the proposed development.

3. Plan Format: The Site Improvement Plan shall meet the following requirements:

   Sites <10,000 square feet:  Scale: 1" = 20’ or 1” = 10’
   Sheet size: 24” x 36” or 8 ½” x 11” or 11” x 17”

   Sites >10,000 square feet:  Scale: 1” = 10’ or other increments of 10’ as approved by the City of Englewood.
   Sheet size: 24” x 36” or 30” x 42” or 36” X 48”
Site plans shall depict the property corners and all permanent survey monuments. All plans shall clearly indicate the size of the site (in square feet and in acres), existing and proposed building areas (in square feet), building setbacks to property lines, and proposed building height. In addition, all existing and proposed exterior building materials shall be shown on the plan elevations. A landscaping plan shall accompany all site plans and shall include existing and proposed ground surfaces, location of all existing trees and other significant vegetation, as well as size, species and number of all proposed landscaping. (Exception: A landscaping plan shall not be required for development that does not involve the removal of existing landscaping, or the addition of new landscaping.)

D. Criteria. All Zoning Site Improvement Plans shall be reviewed, and shall be approved, approved with conditions, or denied based on the following criteria:

1. Consistency with Adopted Plans and Standards.
   a. Consistency with the spirit and intent of the City's Comprehensive Plan and this Title;
   b. Compliance and consistency with any applicable Station Area Standards and Guidelines for property in the TSA district;
   c. If approval of a conditional use is being requested as part of a Zoning Site Improvement Plan, compliance and consistency with all applicable conditional use standards and criteria listed in this Section and in Section 16-2-12 EMC; and
   d. If approval of a limited use is being requested as part of a Site Improvement Plan, compliance with all applicable limited use standards and criteria listed in this Section and in Section 16-2-13 EMC; and

   e. Consistency with all other applicable standards, guidelines, policies, and plans adopted by Council.

2. Impact on Existing City Infrastructure and Public Improvements. The proposed development shall not result in undue or unnecessary burdens on the City's existing infrastructure and public improvements, or that arrangements shall be made to mitigate such impacts.

3. Internal Efficiency of Design. The proposed design of the site shall achieve internal efficiency for its users, provide adequate of recreation; allow for safe public access, safety and other factors, including but not limited to provide adequate storm drainage facilities, sewer and water facilities, grades; and matters relating directly to and promote public health and convenience. All sites shall be designed and constructed to safely accommodate pedestrians, bicyclists and automobiles.

4. Control of External Effects. The proposed development controls shall reduce external negative effects on: Nearby land uses; and movement and
congestion of traffic; This shall include negative impacts from noise, lighting, signage, landscaping, accumulation of litter noise-generated, arrangement of signs and lighting to prevent nuisances, landscaping, features to prevent littering or accumulation of trash, and other factors deemed to affect public health, welfare, safety and convenience.

E. After Approval.

1. The City shall approve the proposed Site Improvement Plan if the plan meets all requirements of this chapter or an applicable Planned Unit Development (PUD); complies with all required adopted plans, codes and standards; and any negative impacts on existing or planned city infrastructure have been mitigated.

Compliance with Zoning Site Improvement Plan Approval. The Zoning Site Improvement Plan shall limit and control the issuance and validity of all building permits and occupancy permits and shall restrict and limit the construction, location, use, and operation of all land and structures included within the Zoning Site Improvement Plan to all limitations and conditions set forth in the approved Zoning Site Improvement Plan. Failure to maintain a property in compliance with its approved Zoning Site Improvement Plan shall be a basis for enforcement action under this Title.

2. Lapse: General Development Applications. A Zoning Site Improvement Plan shall lapse and be of no further force and effect if a building permit, or City Manager or designee approval, as required, is not issued for the property subject to the Zoning Site Improvement Plan within sixty one hundred and eighty (60 180) days from the date of approval of the Zoning Site Improvement Plan's approval.

3. Lapse: PUD and TSA Applications. A Zoning Site Plan shall lapse and be of no further force and effect if a building permit, as required, is not issued for the property subject to the Zoning Site Plan within three (3) years from the date of the Zoning Site Plan's approval.

F. Modification and Amendment of Zoning Site Improvement Plans.

1. Any approved Zoning Site Improvement Plan may be modified or amended as provided in this subsection or entirely withdrawn by the landowner Applicant if a building permit has not been issued. Once a building permit has been issued, the building permit and Site Improvement Plan shall control, unless both the building permit and Site Improvement Plan are thereafter amended or abandoned as identified in this chapter.

2. The City Manager or designee may approve, or approve with conditions, an administrative modification to an approved TSA district Zoning Site Improvement Plan without notice to the public, if the proposed change does not produce any of the following conditions:
a. An increase in residential density, nonresidential floor area ratio (FAR), or ground coverage of structures of more than ten percent (10%).

b. An increase in external effects concerning traffic, circulation, safety noise, or provision of utilities.

c. A reduction or increase in building setbacks that would violate the requirements of the TSA district standards by more than ten percent (10%).

d. A reduction in the amount of required off-street parking.

e. A reduction in the amount of required landscaping.

3. Any proposed amendment that does not qualify for review and approval as an administrative modification to a Zoning-Site Improvement Plan shall be reviewed and approved in the same manner as an application for a new Zoning-Site Improvement Plan, and shall be subject to the same approval criteria and appeal as a new application for a Zoning Site Improvement Plan.

4. An application for administrative modifications to an approved Zoning Site Improvement Plan shall be subject to the administrative rules and regulations established by the City Manager or designee. Any proposed amendment shall comply with the current regulations, standards, and guidelines for development in the zone district in which the property is located.
Section 2. The City Council of the City of Englewood, Colorado hereby authorizes amending Title 16, Chapter 2, Section 2 entitled Summary Table of Administrative and Review Roles of the Englewood Municipal Code 2000, to read as follows:

16-2-2: Summary Table of Administrative and Review Roles.

The following table summarizes the review and decision-making responsibilities of the entities that have specific roles in the administration of the procedures set forth in this Chapter. For purposes of this table, an "(Approval) Lapsing Period" refers to the total time from the application’s approval that an applicant has to proceed with, and often complete, the approved action. Failure to take the required action within the specified "lapsing period" will automatically void the approval. See Section 16-2-3.L EMC, "Lapse of Approval," below.

<table>
<thead>
<tr>
<th>Procedure</th>
<th>Section Ref.</th>
<th>Pre-App. Req’d</th>
<th>Review (R) Decision-Making (D) or Appeal (A) Bodies</th>
<th>Notice Required</th>
<th>Lapsing Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adaptive Reuse of Designated Historical Buildings</td>
<td>16-5-3</td>
<td>✓</td>
<td>R R D</td>
<td>✓</td>
<td>None</td>
</tr>
<tr>
<td>Administrative Adjustments</td>
<td>16-2-17</td>
<td>✓</td>
<td>D A</td>
<td></td>
<td>None</td>
</tr>
<tr>
<td>Administrative Land Review Permit</td>
<td>16-2-11</td>
<td>✓</td>
<td>D A</td>
<td></td>
<td>60 days to record</td>
</tr>
<tr>
<td>Amendments to the Text of this Title</td>
<td>16-2-6</td>
<td>R R D</td>
<td></td>
<td>✓</td>
<td>None</td>
</tr>
<tr>
<td>Annexation Petitions</td>
<td>16-2-5</td>
<td>✓</td>
<td>R R D</td>
<td>✓</td>
<td>None</td>
</tr>
<tr>
<td>Appeals to Board</td>
<td>16-2-18</td>
<td>✓</td>
<td></td>
<td>D</td>
<td>None</td>
</tr>
<tr>
<td>Comprehensive Plan Amendments</td>
<td>16-2-4</td>
<td></td>
<td>R R D</td>
<td>✓</td>
<td>None</td>
</tr>
<tr>
<td>Conditional Use Permits</td>
<td>16-2-12</td>
<td>✓</td>
<td>R D A</td>
<td>✓</td>
<td>1 year</td>
</tr>
<tr>
<td>Conditional Use - Telecommunication</td>
<td>16-7</td>
<td>✓</td>
<td>R D A</td>
<td>✓</td>
<td>None</td>
</tr>
<tr>
<td>Development Agreements</td>
<td>16-2-15</td>
<td>R</td>
<td>D</td>
<td></td>
<td>As stated in Agreement</td>
</tr>
<tr>
<td>Floodplain Dev’t. Permit and Floodplain Variances</td>
<td>See Chapter 16-4 for applicable procedures and standards</td>
<td></td>
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<tr>
<td>Historic Preservation</td>
<td>16-6-11</td>
<td>✓</td>
<td>R R D</td>
<td>✓</td>
<td>None</td>
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<tr>
<td>Landmark Sign</td>
<td>16-6-13</td>
<td>✓</td>
<td>D A</td>
<td>✓</td>
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<tr>
<td>Limited Review Use</td>
<td>16-2-</td>
<td>✓</td>
<td>D A</td>
<td></td>
<td>1 year</td>
</tr>
<tr>
<td>Permits</td>
<td>13</td>
<td></td>
<td></td>
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<td>-------------------------</td>
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<td></td>
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<td></td>
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</tr>
<tr>
<td>Major Subdivisions</td>
<td>16-2-10</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Preliminary Plat</td>
<td>✓</td>
<td></td>
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</tr>
<tr>
<td>Final Plat</td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Simultaneous Review Preliminary Plat/Final Plat</td>
<td>✓</td>
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<tr>
<td>Recorded Final Plat</td>
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<td></td>
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<tr>
<td>Minor Subdivision</td>
<td>16-2-11</td>
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<tr>
<td>Preliminary Plat</td>
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<td></td>
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</tr>
<tr>
<td>Final Plat</td>
<td>D</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Recorded Final Plat</td>
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<td></td>
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<tr>
<td>Official Zoning Map Amendments (Rezonings)</td>
<td>✓</td>
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<tr>
<td>PUD and TSA Rezonings</td>
<td>✓</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Temporary Use Permits</td>
<td>✓</td>
<td></td>
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<tr>
<td>Unlisted Use Classifications</td>
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<tr>
<td>Zoning Site Improvement Plan</td>
<td>✓</td>
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<tr>
<td>Zoning Variances</td>
<td>✓</td>
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</tr>
</tbody>
</table>

6 months to submit Final Plat
60 days to record
60 days to record
6 months to submit Final Plat
None
As stated in Permit
None
3 years 180 days
180 days

CM/D = City Manager or Designee (Including the Development Review Team)
PC = Planning and Zoning Commission
CC = City Council
BAA = Board of Adjustment and Appeals

¹ Notice Required: See Table 16-2-3.1 Summary of Mailed Notice Requirements
Section 3. The City Council of the City of Englewood, Colorado hereby authorizes amending Title 16, Chapter 2, Section 7 entitled Official Zoning Map Amendments (Rezonings) of the Englewood Municipal Code 2000, to read as follows:

16-2-7: Official Zoning Map Amendments (Rezonings).

The City may initially zone annexed property, or the boundaries or areas of any zone district may be changes, or the zone classification of any parcel of land may be changed pursuant to this Section. Rezonings shall not be used as a way to legitimize nonconforming uses or structures, and should not be used when a conditional use, Zoning Variance, or Administrative Adjustment could be used to achieve the same result. Rezonings to a Planned Unit Development district (PUD) or Transit Station Area (TSA) district are subject to additional procedures and criteria as set forth in this Section.

I. After Approval—Lapsing Period.

1. Base District Rezoning. An approved base district rezoning shall not lapse, but shall remain in effect until superceded by a later or inconsistent amendment to, or replacement of, the official zoning map. However, if the City has required the submission of a Zoning Site Improvement Plan as part of the rezoning process, and has approved a Zoning Site Improvement Plan for the rezoned property, and the Zoning Site Improvement Plan later lapses pursuant to Section 16-2-9(E) EMC, the Council may initiate a rezoning of the property to its prior zone map designation, or to an alternative designation more consistent with the Comprehensive Plan.

2. PUD or TSA rezoning. An approved PUD or TSA district rezoning shall not lapse, but shall remain in effect until superceded by a later or inconsistent amendment to, or replacement of, the official zoning map.

Section 4. The City Council of the City of Englewood, Colorado hereby authorizes amending Title 16, of the Englewood Municipal Code 2000, to change the term “Zoning Site Plan” to “Site Improvement Plan” in the following Sections:

16-2-7(I)(1) – in 3 places
16-2-13(A)
16-2-13(D)
16-2-15 – in the intro paragraph
16-2-15(A)
16-2-15(E)
16-2-19(B)(3)
16-2-19(C)(3) – in 4 places
16-2-19(E)
16-2-19(H)
16-3-2(D)(1)
16-5-2(A)(7)
16-5-3(7)
16-5-5(D)(1)
16-5-5(E)(1)(b)(3)
16-6-3(F)(2)(c)(3)

9
Section 5. Safety Clauses. The City Council hereby finds, determines, and declares that this Ordinance is promulgated under the general police power of the City of Englewood, that it is promulgated for the health, safety, and welfare of the public, and that this Ordinance is necessary for the preservation of health and safety and for the protection of public convenience and welfare. The City Council further determines that the Ordinance bears a rational relation to the proper legislative object sought to be obtained.

Section 6. Severability. If any clause, sentence, paragraph, or part of this Ordinance or the application thereof to any person or circumstances shall for any reason be adjudged by a court of competent jurisdiction invalid, such judgment shall not affect, impair or invalidate the remainder of this Ordinance or its application to other persons or circumstances.

Section 7. Inconsistent Ordinances. All other Ordinances or portions thereof inconsistent or conflicting with this Ordinance or any portion hereof are hereby repealed to the extent of such inconsistency or conflict.

Section 8. Effect of repeal or modification. The repeal or modification of any provision of the Code of the City of Englewood by this Ordinance shall not release, extinguish, alter, modify, or change in whole or in part any penalty, forfeiture, or liability, either civil or criminal, which shall have been incurred under such provision, and each provision shall be treated and held as still remaining in force for the purposes of sustaining any and all proper actions, suits, proceedings, and prosecutions for the enforcement of the penalty, forfeiture, or liability, as well as for the purpose of sustaining any judgment, decree, or order which can or may be rendered, entered, or made in such actions, suits, proceedings, or prosecutions.

Section 9. Penalty. The Penalty Provision of Section 1-4-1 EMC shall apply to each and every violation of this Ordinance.
Introduced, read in full, and passed on first reading on the 5th day of May, 2014.

Published by Title as a Bill for an Ordinance in the City's official newspaper on the 9th day of May, 2014.

Published as a Bill for an Ordinance on the City's official website beginning on the 7th day of May, 2014 for thirty (30) days.

______________________________
Randy P. Penn, Mayor

ATTEST:

Loucrishia A. Ellis, City Clerk

I, Loucrishia A. Ellis, City Clerk of the City of Englewood, Colorado, hereby certify that the above and foregoing is a true copy of a Bill for an Ordinance, introduced, read in full, and passed on first reading on the 5th day of May, 2014.

______________________________
Loucrishia A. Ellis
COUNCIL COMMUNICATION

DATE: May 19, 2014
AGENDA ITEM: 11 a i
SUBJECT: Ordinance Approving rezoning 3265-3299 South Logan Street from R-1-C to the “3299 South Logan Street Residences” Planned Unit Development (PUD)

INITIATED BY:
Shadow Creek Homes, LLC
Toby Terhune
P.O. Box 350909
Westminster, Colorado 80031

STAFF SOURCE: Brook Bell, Planner II

COUNCIL GOAL AND PREVIOUS COUNCIL ACTION

There has been no previous Council action concerning the proposed rezoning request.

PREVIOUS PLANNING COMMISSION ACTION

The Planning and Zoning Commission considered the proposed PUD at a Public Hearing conducted on April 22, 2014. The Commission considered testimony and voted 9-0 to forward the proposed “3299 South Logan Street Residences” PUD to City Council with a favorable recommendation for approval.

RECOMMENDED ACTION

Staff recommends adoption of an ordinance approving the proposed 3299 South Logan Street Residences PUD and setting June 2, 2014 as the date for the Public Hearing to consider public testimony on the proposed zoning change.

BACKGROUND

The subject property of this PUD is located at the northwest corner of South Logan Street and East Floyd Avenue. Land to the north, south, and east of the subject property is zoned R-1-C Single Unit Residential District. Land directly to the west of the subject property is zoned MU-R-3-B NPO Mixed Use Medium to High Density Residential and Limited Office District with a Neighborhood Preservation Overlay. Properties to the west and southwest of subject property contain several multi-unit apartment buildings.

The property at 3299 South Logan contains an existing building that was originally a church until 1967 when the Englewood Shrine Club purchased the building and obtained a variance to use it for their functions. The Shrine Club’s organization thrived for many years; however, more recently the declining membership in the Englewood Shrine Club led to the members’ decision to sell the building.

The variance granted to the Englewood Shrine Club in 1967 was for a club use only with additional conditions that narrowly defined the proposed use. With the narrowly defined variance, and the lack of
enough land area to allow other permitted uses (24,000 s.f. minimum), the property had difficulty attracting prospective buyers or tenants to reoccupy the building.

After some time on the market, Shadow Creek Homes, LLC purchased the Shrine Club property in 2013. Mr. Terhune’s company also purchased the house at 3265 South Logan Street directly north of the Shrine Club property. Between the two properties, there is enough land area to meet the minimum threshold (one-half acre) to apply for a PUD rezoning that would allow for an enhanced residential development.

**PUD OVERVIEW**

A Planned Unit Development establishes specific zoning and site planning criteria to meet the needs of a specific development proposal that may not be accommodated within existing zoning development regulations. PUDs provide the opportunity for unified development control for multiple properties or multiple uses.

The proposed 3299 South Logan Street Residences PUD will allow a maximum of three (3) one-unit dwellings, one (1) two-unit dwelling, and three (3) detached accessory structures above garages that may be used as dwelling units. The majority of the parking would be in detached garages with an additional surface parking pad provided for each detached accessory structure. All of the designated parking is accessed from the alley, and meets the City’s parking regulations.

The two proposed new homes are setback approximately 20 feet from South Logan Street to be compatible with the existing structures to the north and south. The Site Plan includes rear yard spaces with patios between the residential uses and garages. The Landscape Plan delineates landscaping in the public right-of-way, as well as front and rear yards. All new utilities are to be placed underground between the garages and the residences. A Minor Subdivision application to reconfigure the lots has been submitted, and will be reviewed administratively if the PUD application is approved.

**Architectural Character:** The proposed PUD will be urban in character and respect the pedestrian scale of the neighborhood. The PUD contains architectural character standards that require a mix of pattern and color changes, a minimum masonry requirement or defined front porches, and a requirement that building entries be clearly defined with architectural elements. The exterior materials and colors of the detached accessory structure are required to compliment the overall character of the principal dwelling. Provisions for roof pitches and flat roofs are also included. It should be noted that the conceptual building footprint shown on the Site Plan and the proposed building elevations are subject to change; however, any changes would have to meet the design standards and guidelines of the PUD.

**Permitted Uses:** The subject property currently lies within the R-1-C Single Unit Residential District. The existing R-1-C Zone District allows primarily residential and public/institutional uses. The proposed PUD District Plan includes a table of allowed uses that lists the primary permitted residential and public/institutional uses. It should be noted that the proposed table of allowed uses matches the permitted uses of the R-1-C Zone District with the exception of the two-unit dwelling proposed for the Shrine Club building and the (3) detached accessory structures over the garages.

**Dimensional Standards:** The following table provides a comparison of dimensional requirements for principal structures between the property’s existing R-1-C zone classification and the proposed PUD.
### COMPARISON OF DIMENSIONAL REQUIREMENTS FOR PRINCIPAL STRUCTURES

<table>
<thead>
<tr>
<th></th>
<th>Min Lot Area (sq ft)</th>
<th>Max FAR</th>
<th>Max Lot Coverage (%)</th>
<th>Min Lot Width (ft)</th>
<th>Max Height (ft)</th>
<th>Minimum Setbacks (ft)</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Front</td>
<td>Each Side</td>
<td>Rear</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>R-1-C District (Existing Zoning)</td>
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<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>One-Unit Dwelling</td>
<td>6,000</td>
<td>None</td>
<td>40</td>
<td>50</td>
<td>32</td>
<td>25</td>
<td>5</td>
<td>20</td>
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<tr>
<td>One-Unit Dwelling on a Small Lot</td>
<td>4,500</td>
<td>None</td>
<td>35</td>
<td>37</td>
<td>32</td>
<td>25</td>
<td>3</td>
<td>20</td>
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<tr>
<td>All Other Allowed Uses</td>
<td>24,000</td>
<td>None</td>
<td>40</td>
<td>200</td>
<td>32</td>
<td>25</td>
<td>25</td>
<td>25</td>
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<table>
<thead>
<tr>
<th>3299 South Logan Street Residences PUD (New Zoning)</th>
<th></th>
<th></th>
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<th></th>
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<th></th>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td>Existing One-Unit Dwelling (Lot 1)</td>
<td>4,000</td>
<td>None</td>
<td>60</td>
<td>33</td>
<td>32</td>
<td>15 to 29</td>
<td>45</td>
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</tr>
<tr>
<td>One-Unit Dwelling (Lots 2 and 3)</td>
<td>4,500</td>
<td>None</td>
<td>50</td>
<td>37</td>
<td>32</td>
<td>15 to 29</td>
<td>3</td>
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<td></td>
<td></td>
<td>45</td>
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<tr>
<td>Existing Building (Two-Unit Dwelling Lots 4 and 5)</td>
<td>3,500</td>
<td>None</td>
<td>60</td>
<td>Lot 4, Lot 5</td>
<td>32</td>
<td>Lot 4 Porch 20 to Hous e</td>
<td>50</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>North 10</td>
<td></td>
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</tr>
<tr>
<td>All Other Allowed Uses</td>
<td>24,000</td>
<td>None</td>
<td>40</td>
<td>200</td>
<td>32</td>
<td>25</td>
<td>25</td>
<td>25</td>
</tr>
</tbody>
</table>

**Residential Density:** The proposed 3299 South Logan Street Residences PUD would permit a maximum of 8 dwelling units on the 0.5 acre property (including the maximum permitted 3 secondary suites above the garages). This represents a maximum density of 16 dwelling units per acre (d.u./ac.). For comparison purposes, some properties to the west and southwest of the subject property (across the alley) contain multi-unit apartment buildings with densities of between 50 d.u./ac. and 60 d.u./ac.
**Setbacks:** A setback is the minimum distance a structure must be located from a property line. The proposed PUD setbacks for principal structures are shown in the table of Dimensional Requirements above. The proposed setbacks for rear garages and detached accessory structures are as follows.

<table>
<thead>
<tr>
<th>Lot 1 (Existing Garage)</th>
<th>Lots 2, 3, &amp; 4 (3-Car Garage &amp; Detached Accessory Structure above)</th>
<th>Lot 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Side Setback</td>
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</tr>
<tr>
<td>North 2.3'</td>
<td>North 1'</td>
<td>3'</td>
</tr>
<tr>
<td>South 3'</td>
<td>South 9'</td>
<td></td>
</tr>
<tr>
<td>Rear Setback</td>
<td></td>
<td>6'</td>
</tr>
<tr>
<td>5.9'</td>
<td></td>
<td>6'</td>
</tr>
</tbody>
</table>

It should be noted that the detached accessory structures above the garages are limited to 400 square feet of interior space. This is the size of approximately two car bays in the garage below with an option to add an exterior patio over the third bay of the garage.

**Building Height:** The maximum building heights in the PUD are based on the average elevation of the finished grade at the corners of the building to the highest point of the building or structure. The maximum allowed PUD building height for all uses is 32 feet; the maximum allowed height for garages without a detached accessory structure is 16 feet.

**Bulk Plane:** The bulk plane regulates building mass and is a function of required setbacks and maximum building height for each type of use. The proposed PUD states that any new construction within the PUD shall meet the bulk plane shown on Sheet 04 of the PUD drawings.

The bulk plane depicted on Sheet 04 of the PUD shows the starting point of the 45 degree bulk plane starting at 16' above grade rather than the 12' above grade requirement in the Unified Development Code (UDC). This represents a 33% increase in bulk plane height compared to the current UDC requirement. For comparison purposes, the City of Denver’s bulk plane for urban houses begins at 17' above grade. Regardless of bulk plane requirements, the maximum height for structures in the proposed PUD is still limited to the 32’ maximum height of the R-1-C Zone District.

**Parking:** The UDC requires 2 parking spaces for each single-unit dwelling and 1.5 parking spaces for each multi-unit dwelling. The proposed PUD requires 2 parking spaces for each single-unit dwelling and 2 parking spaces for each multi-unit dwelling, plus 1 parking space for each detached accessory structure. The PUD provides an option for a third garage bay/parking space for Lots 2, 3, and 4; if this option is chosen, there will be an additional parking space for either the primary residence or the detached accessory structure. It should be noted that the proposed PUD has over 240 lineal feet of street frontage that permits on-street parking; this translates to approximately 10 potential on-street parking spaces fronting the proposed PUD site.

**Traffic:** The Public Works Department reviewed the proposed PUD request for potential impacts. Public Works concluded that a traffic impact study was not required due to the slight increase in traffic over the existing permitted density. Additionally, the Logan Street and Floyd Avenue intersection is signalized, which increases control of traffic movements in the vicinity of the PUD.

**Signage:** The proposed PUD will follow the standard signage regulations of the UDC for the R-1-C Zone District.

**Landscaping:** The UDC requires that a minimum of 40% of a property be landscaped in the R-1-C Zone District. The proposed PUD also requires that 40% of the PUD property be landscaped, as well as meeting
all other landscape requirements for the R-1-C Zone District. Sheet 07 of the PUD provides more detail on the landscape plan.

**Screening and Fencing:** The proposed PUD will follow the standard screening and fencing regulations of the UDC for the R-1-C Zone District.

**Grading and Drainage:** The proposed Grading and Drainage Plan was acceptable to the City’s Public Works Department.

**Park Dedication:** The subdivision regulations of the UDC require the dedication of park land or payment of a fee in lieu of dedication for all residential developments. The proposed Logan Street development will be required to pay a fee in lieu of dedication for the 4 to 7 new residences. This translates to a fee in lieu of dedication amount of between $1,690 and $3,070.

**PLANNED UNIT DEVELOPMENT CONSIDERATIONS**

The UDC requires that Council shall only approve a proposed PUD if it finds that the proposed development complies with all applicable use, development, and design standards that are not otherwise modified or waived according to the rezoning approval; and the proposed rezoning meets one of the following criteria:

a. *That the proposed development will exceed the development quality standards, levels of public amenities, or levels of design innovation otherwise applicable under this Title, and would not be possible or practicable under a standard zone district with conditional uses or with a reasonable number of Zoning Variances or Administrative Adjustments; or*

The proposed PUD will exceed the development quality standards required by the UDC for residential development as follows:

- The proposed PUD will exceed the current UDC quality standards by specifying a variety of materials on all facades of the building; by calling for a minimum masonry percentage or defined porch on the front facade; and by requiring rear loaded garages.
- The PUD contains architectural character standards that require a mix of pattern and color changes, and a requirement that building entries be clearly defined with architectural elements. Provisions for roof pitches and flat roofs are also included in the PUD.

b. *That the property cannot be developed, or that no reasonable economic use of the property can be achieved, under the existing zoning, even through the use of conditional uses or a reasonable number of Zoning Variances or Administrative Adjustments.*

As stated previously, the variance granted to the Englewood Shrine Club in 1967 was for a club use only. The 1967 variance contained conditions that narrowly defined the permitted use. With the narrowly defined variance, and the lack of enough land area to allow other permitted uses (24,000 s.f. minimum), the property has had difficulty attracting prospective buyers or viable tenants to reoccupy the building. Redevelopment of the site was only made possible with the addition of the property at 3265 S. Logan St., which created a site large enough to propose a PUD. The site is still not large enough to accommodate any other non-residential use.
In addition to the two Planned Unit Development considerations above, the UDC requires that a property rezoned to PUD must not have a significant negative impact on those properties surrounding the rezoned area and that the general public health, safety and welfare of the community are protected. Staff has reviewed the PUD request and found the following:

- The PUD application is in conformance with the Comprehensive Plan and the Unified Development Code.
- The application is consistent with adopted and generally accepted standards of development in the City.
- The Public Works Department reviewed the proposed PUD request and concluded that there were not significant traffic impacts with this minor increase in permitted density.
- The rezoned property will not have a significant negative impact on those properties surrounding the rezoned area and the general public health, safety and welfare of the community are protected.

**FINANCIAL IMPACT**

The proposed 3299 South Logan Street Residences PUD will generate a one-time building use tax of about $26,000 based on a construction cost of approximately $1.5 million. The project would also generate a one-time park dedication fee-in-lieu of between $1,690 and $3,070 depending on whether the detached accessory units are constructed.

**LIST OF ATTACHMENTS**

Planning Commission Staff Report including Exhibits B - C (April 22, 2014)
Planning Commission Minutes (April 22, 2014)
Planning Commission Findings of Fact
Bill for Ordinance
TO: Planning and Zoning Commission
THRU: Chris Neubecker, Senior Planner
       Alan White, Community Development Director
FROM: Brook Bell, Planner II
DATE: April 22, 2014

SUBJECT: Case ZON2014-001 - Public Hearing
3299 South Logan Street Residences Planned Unit Development

APPLICANT:
Shadow Creek Homes, LLC
Toby Terhune
P.O. Box 350909
Westminster, Colorado 80031

PROPERTY OWNER:
Shadow Creek Homes, LLC
Toby Terhune
P.O. Box 350909
Westminster, Colorado 80031

PROPERTY ADDRESSES:
3265-3299 South Logan Street

REQUEST:
The applicant has submitted an application to rezone the properties above from R-1-C Single Unit Residential District (Small Lot Size) to the 3299 South Logan Street Residences Planned Unit Development (PUD). The proposed PUD would allow for a maximum of three (3) one-unit dwellings, one (1) two-unit dwelling, and three (3) detached accessory structures above garages that may be used as dwelling units.

RECOMMENDATION:
Case ZON2014-001: The Department of Community Development recommends that the Planning and Zoning Commission review the 3299 South Logan Street Residences PUD request and forward a favorable recommendation for approval to City Council.
LEGAL DESCRIPTIONS:
3265 South Logan Street: Lots 30-31 Block 8 Rose Addition
3299 South Logan Street: Lots 25-29 Block 8 Rose Addition

EXISTING ZONE DISTRICT:
R-1-C Single Unit Residential District (Small Lot Size)

PROPERTY LOCATION AND SURROUNDING LAND USE:
The subject property of this PUD is located at the northwest corner of South Logan Street and East Floyd Avenue. Land to the north, south, and east of the subject property is zoned R-1-C Single Unit Residential District. Land directly to the west of the subject property is zoned MU-R-3-B NPO Mixed Use Medium to High Density Residential and Limited Office District with a Neighborhood Preservation Overlay. Properties to the west and southwest of subject property contain several multi-unit apartment buildings.

PUD PROCEDURE:
Rezoning to a PUD requires the applicant to have a pre-application meeting with staff, and a neighborhood meeting with owners and neighbors located within 1,000 feet of the proposed PUD. After the neighborhood meeting a formal application is submitted to the City and reviewed by City departments and other affected outside agencies. A public hearing is held before the Planning and Zoning Commission and City Council. If the PUD is approved there is a 30 day referendum time period before becoming effective.

BACKGROUND:
The Planned Unit Development is a rezoning process that establishes specific zoning and site planning criteria to meet the needs of a specific development proposal that may not be accommodated within existing zoning development regulations. A PUD rezoning provides the opportunity for unified development control for multiple properties or multiple uses.

The property at 3299 South Logan contains an existing building that was originally a church until 1967 when the Englewood Shrine Club purchased the building and obtained a variance to use it for their functions. The Shrine Club’s organization thrived for many years; however, more recently the declining membership in the Englewood Shrine Club led to the members’ decision to sell the building.

The variance granted to the Englewood Shrine Club in 1967 was for a club use only with additional conditions that narrowly defined the proposed use. With the narrowly defined variance, and the lack of enough land area to allow other permitted uses (24,000 s.f. minimum), the property had difficulty attracting prospective buyers or tenants to reoccupy the building.

After some time on the market, Shadow Creek Homes, LLC purchased the Shrine Club property in 2013. Mr. Terhune’s company also purchased the house at 3265 South Logan Street directly north of the Shrine Club property. Between the two properties, there is enough land area to meet the minimum threshold (one-half acre) to apply for a PUD rezoning that would allow for an enhanced residential development.
NEIGHBORHOOD MEETING SUMMARY:
Pursuant to the PUD procedure, the applicant conducted a neighborhood meeting on November 7, 2013, prior to submitting the application for a PUD rezoning on February 13, 2014. Notice of the pre-application meeting was mailed to property owners and occupants of property within 1000 feet of the site. Neighborhood meeting notes are attached to this report (See Exhibit B). Significant changes were made to the final PUD to address neighborhood comments.

CITY DEPARTMENT AND DIVISION REVIEW:
The Logan Street Residences PUD and subsequent revisions were reviewed by the City’s Development Review Team (DRT) on February 25th and April 1st of 2014. Identified issues were addressed by the applicant and the final Logan Street Residences PUD was submitted on April 9, 2014.

PUD OVERVIEW:
The proposed 3299 South Logan Street Residences PUD will allow a maximum of three (3) one-unit dwellings, one (1) two-unit dwelling, and three (3) detached accessory structures above garages that may be used as dwelling units. The majority of the parking would be in detached garages with an additional surface parking pad provided for each detached accessory structure. All of the designated parking is accessed from the alley, and meets the City’s parking regulations.

The two proposed new homes are setback approximately 20 feet from South Logan Street to be compatible with the existing structures to the north and south. The Site Plan includes rear yard spaces with patios between the residential uses and garages. The Landscape Plan delineates landscaping in the public right-of-way, as well as front and rear yards. All new utilities are to be placed underground between the garages and the residences. A Minor Subdivision application to reconfigure the lots has been submitted, and will be approved administratively if the PUD application is approved.

Architectural Character: The proposed PUD will be urban in character and respect the pedestrian scale of the neighborhood. The PUD contains architectural character standards that require a mix of pattern and color changes, a minimum masonry requirement or defined front porches, and a requirement that building entries be clearly defined with architectural elements. The exterior materials and colors of the detached accessory structure are required to compliment the overall character of the principal dwelling. Provisions for roof pitches and flat roofs are also included. It should be noted that the conceptual building footprint shown on the Site Plan and the proposed building elevations are subject to change; however, any changes would have to meet the design standards and guidelines of the PUD.

Permitted Uses: The subject property currently lies within the R-1-C Single Unit Residential District. The existing R-1-C Zone District allows primarily residential and public/institutional uses. The proposed PUD District Plan includes a table of allowed uses that lists the primary permitted residential and public/institutional uses. It should be noted that the proposed
table of allowed uses matches the permitted uses of the R-1-C Zone District with the exception of the two-unit dwelling proposed for the Shrine Club building and the (3) detached accessory structures over the garages.

**Dimensional Standards:** The following table provides a comparison of dimensional requirements for principal structures between the property's existing R-1-C zone classification and the proposed PUD.

### COMPARISON OF DIMENSIONAL REQUIREMENTS FOR PRINCIPAL STRUCTURES

<table>
<thead>
<tr>
<th>R-1-C District (Existing Zoning)</th>
<th>Min Lot Area (sq ft)</th>
<th>Max FAR</th>
<th>Max Lot Coverage (%)</th>
<th>Min Lot Width (ft)</th>
<th>Max Height (ft)</th>
<th>Minimum Setbacks (ft)</th>
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<tbody>
<tr>
<td>One-Unit Dwelling</td>
<td>6,000</td>
<td>None</td>
<td>40</td>
<td>50</td>
<td>32</td>
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<td>One-Unit Dwelling on a Small Lot</td>
<td>4,500</td>
<td>None</td>
<td>35</td>
<td>37</td>
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<tr>
<td>All Other Allowed Uses</td>
<td>24,000</td>
<td>None</td>
<td>40</td>
<td>200</td>
<td>32</td>
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<table>
<thead>
<tr>
<th>3299 South Logan Street Residences PUD (New Zoning)</th>
<th>Min Lot Area (sq ft)</th>
<th>Max FAR</th>
<th>Max Lot Coverage (%)</th>
<th>Min Lot Width (ft)</th>
<th>Max Height (ft)</th>
<th>Minimum Setbacks (ft)</th>
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</thead>
<tbody>
<tr>
<td>Existing One-Unit Dwelling (Lot 1)</td>
<td>4,000</td>
<td>None</td>
<td>60</td>
<td>33</td>
<td>32</td>
<td>15 to Porch 20 to House 2.3 South 3 45</td>
</tr>
<tr>
<td>One-Unit Dwelling (Lots 2 and 3)</td>
<td>4,500</td>
<td>None</td>
<td>50</td>
<td>37</td>
<td>32</td>
<td>15 to Porch 20 to House 3 45</td>
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<tr>
<td>Existing Building (Two-Unit Dwelling Lots 4 and 5)</td>
<td>3,500</td>
<td>None</td>
<td>60</td>
<td>Lot 4 37 Lot 5 29</td>
<td>32</td>
<td>15 to Porch 20 to House North 10 South 0 50</td>
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<tr>
<td>All Other Allowed Uses</td>
<td>24,000</td>
<td>None</td>
<td>40</td>
<td>200</td>
<td>32</td>
<td>25</td>
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**Residential Density:** The proposed 3299 South Logan Street Residences PUD would permit a maximum of 8 dwelling units on the 0.5 acre property (including the maximum permitted 3 secondary suites above the garages). This represents a maximum density of 16 dwelling units per acre (d.u./ac.). For comparison purposes, some properties to the west and southwest of subject property (across the alley) contain multi-unit apartment buildings with densities of between 50 d.u./ac. and 60 d.u./ac.

**Setbacks:** A setback is the minimum distance a structure must be located from a property line. The proposed PUD setbacks for principal structures are shown in the table of
Dimensional Requirements above. The proposed setbacks for rear garages and detached accessory structures are as follows.

<table>
<thead>
<tr>
<th></th>
<th>Lot 1 (Existing Garage)</th>
<th>Lots 2, 3, &amp; 4 (3-Car Garage &amp; Detached Accessory Structure above)</th>
<th>Lot 5</th>
</tr>
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<tbody>
<tr>
<td>Side Setback</td>
<td>North 2.3’</td>
<td>North 1’</td>
<td>3’</td>
</tr>
<tr>
<td></td>
<td>South 3’</td>
<td>South 9’</td>
<td></td>
</tr>
<tr>
<td>Rear Setback</td>
<td>5.9’</td>
<td>6’</td>
<td>6’</td>
</tr>
</tbody>
</table>

It should be noted that the detached accessory structures above the garages are limited to 400 square feet of interior space. This is the size of approximately two car bays in the garage below with an option to add an exterior patio over the third bay of the garage.

**Building Height:** The maximum building heights in the PUD are based on the average elevation of the finished grade at the corners of the building to the highest point of the building or structure. The maximum allowed PUD building height for all uses is 32 feet; the maximum allowed height for garages without a detached accessory structure is 16 feet.

**Bulk Plane:** The bulk plane regulates building mass and is a function of required setbacks and maximum building height for each type of use. The proposed PUD states that any new construction within the PUD shall meet the bulk plane shown on Sheet 04 of the PUD drawings.

The bulk plane depicted on Sheet 04 of the PUD shows the starting point of the 45 degree bulk plane starting at 16’ above grade rather than the 12’ above grade requirement in the Unified Development Code (UDC). This represents a 33% increase in bulk plane height compared to the current UDC requirement. For comparison purposes, the City of Denver’s bulk plane for urban houses begins at 17’ above grade. Regardless of bulk plane requirements, the maximum height for structures in the proposed PUD is still limited to the 32’ maximum height of the R-1-C Zone District.

**Parking:** The UDC requires 2 parking spaces for each single-unit dwelling and 1.5 parking spaces for each multi-unit dwelling. The proposed PUD requires 2 parking spaces for each single-unit dwelling and 2 parking spaces for each multi-unit dwelling, plus 1 parking space for each detached accessory structure. The PUD provides an option for a third garage bay/parking space for Lots 2, 3, and 4; if this option is chosen, there will be an additional parking space for either the primary residence or the detached accessory structure. It should be noted that the proposed PUD has over 240 lineal feet of street frontage that permits on-street parking; this translates to approximately 10 potential on-street parking spaces fronting the proposed PUD site.

**Traffic:** The Public Works Department reviewed the proposed PUD request for potential impacts. Public Works concluded that a traffic impact study was not required due to the slight increase in traffic over the existing permitted density. Additionally, the Logan Street...
and Floyd Avenue intersection is signalized, which increases control of traffic movements in the vicinity of the PUD.

**Signage:** The proposed PUD will follow the standard signage regulations of the UDC for the R-1-C Zone District.

**Landscaping:** The UDC requires that a minimum of 40% of a property be landscaped in the R-1-C Zone District. The proposed PUD also requires that 40% of the PUD property be landscaped, as well as meeting all other landscape requirements for the R-1-C Zone District. Sheet 07 of the PUD provides more detail on the landscape plan.

**Screening and Fencing:** The proposed PUD will follow the standard screening and fencing regulations of the UDC for the R-1-C Zone District.

**Grading and Drainage:** The proposed Grading and Drainage Plan was acceptable to the City’s Public Works Department.

**Utilities:** The proposed Utilities Plan was reviewed and approved by the City’s Utilities Department.

**Park Dedication:** The subdivision regulations of the UDC require the dedication of park land or payment of a fee in lieu of dedication for all residential developments. The proposed Logan Street development will be required to pay a fee in lieu of dedication for the 4 to 7 new residences. This translates to a fee in lieu of dedication amount of between $1,690 and $3,070.

**PUD SUMMARY:**
The proposed 3299 South Logan Street Residences PUD has been reviewed by the City’s Development Review Team (DRT) and issues identified by the DRT were addressed by the applicant. The PUD documents are complete and no additional conditions of approval are recommended at this time. Therefore, the Community Development Department recommends that the Planning and Zoning Commission review the 3299 South Logan Street Residences PUD request and forward a favorable recommendation for approval to City Council.

**PLANNED UNIT DEVELOPMENT CONSIDERATIONS:**
The Planning and Zoning Commission is to review 3299 South Logan Street Residences PUD request, and following the public hearing, may recommend that the Council approve, deny, or approve the rezoning with conditions. In its review of the application, the Commission’s recommendations should include findings on each of the following points:

1. *The application is or is not in conformance with the Comprehensive Plan and this Title (UDC).*

   The 3299 South Logan Street Residences PUD conforms to the Comprehensive Plan strategy of redevelopment. The Comprehensive Plan states, “Englewood residents
will benefit from the new opportunities for housing, shopping, and entertainment these new developments will bring to the City". The proposed PUD supports the following Comprehensive Plan Housing Goal #1: "Promote a balance mix of housing opportunities serving the needs of all current and future Englewood citizens."

Additionally the PUD document states: "This PUD conforms to the City of Englewood’s Comprehensive Plan by offering a balanced mix of housing opportunities serving the needs of current and future Englewood residents, by improving the quality of the City’s existing housing stock, and by addressing the current shortage of housing priced at the high-end of the housing market in the City of Englewood."

The development will complement the proposed Broadway/Acoma Lofts project by offering an alternative for-sale product, while encouraging redevelopment along the Broadway corridor. The vacant 6,000 square foot Shrine Club building currently occupying the property has not attracted viable tenants or uses. The proposed PUD addresses the City’s 3-part strategy outlined in the 2003 Englewood Comprehensive Plan for Growth and Development in the City; Revitalization, Redevelopment and Reinvention.

The project will bring new life into the area and provide a unique housing option for residents near the Broadway corridor. The project takes advantage of existing infrastructure and proximity to retail uses, while reinvesting in an established residential neighborhood. The additional residents will take advantage of the existing amenities in the neighborhood and generate tax revenue that will benefit programs and services provided by the City of Englewood. The increased tax revenue will also benefit other taxing entities, most notably the School District.

2. The application is or is not consistent with adopted and generally accepted standards of development in the City.

The 3299 South Logan Street Residences PUD is consistent with adopted and generally accepted development standards established by the City of Englewood. The application was reviewed by the City’s Development Review Team (DRT) and all comments were addressed by the applicant.

3. The application is or is not substantially consistent with the goals, objectives, design guidelines, policies and any other ordinance, law, or requirement of the City.

The 3299 South Logan Street Residences PUD is substantially consistent with the goals, objectives, design guidelines, policies, and other ordinances, laws and requirements of the City.

The UDC requires that the review or decision making body shall only approve a proposed PUD if it finds that the proposed development complies with all applicable use,
development, and design standards set forth in the UDC that are not otherwise modified or waived according to the rezoning approval; and the proposed rezoning meets one of the following criteria:

a. That the proposed development will exceed the development quality standards, levels of public amenities, or levels of design innovation otherwise applicable under this Title, and would not be possible or practicable under a standard zone district with conditional uses or with a reasonable number of Zoning Variances or Administrative Adjustments; or

The proposed PUD will exceed the development quality standards required by the UDC for residential development as follows:

- The proposed PUD will exceed the current UDC quality standards by specifying a variety of materials on all facades of the building; by calling for a minimum masonry percentage or defined porch on the front façade; and by requiring rear loaded garages.
- The PUD contains architectural character standards that require a mix of pattern and color changes, and a requirement that building entries be clearly defined with architectural elements. Provisions for roof pitches and flat roofs are also included in the PUD.

b. That the property cannot be developed, or that no reasonable economic use of the property can be achieved, under the existing zoning, even through the use of conditional uses or a reasonable number of Zoning Variances or Administrative Adjustments.

As stated previously, the variance granted to the Englewood Shrine Club in 1967 was for a club use only. The 1967 variance contained conditions that narrowly defined the permitted use. With the narrowly defined variance, and the lack of enough land area to allow other permitted uses (24,000 s.f. minimum), the property has had difficulty attracting prospective buyers or viable tenants to reoccupy the building. Redevelopment of the site was only made possible with the addition of the property at 3265 S. Logan St., which created a site large enough to propose a PUD. The site is still not large enough to accommodate any other non-residential use.

In addition to the two Planned Unit Development considerations above, the UDC requires that a property rezoned to PUD must not have a significant negative impact on those properties surrounding the rezoned area and that the general public health, safety and welfare of the community are protected. Staff has reviewed the PUD request and found the following:

- The PUD application is in conformance with the Comprehensive Plan and the Unified Development Code.
- The application is consistent with adopted and generally accepted standards of development in the City.
The Public Works Department reviewed the proposed PUD request and concluded that there were not significant traffic impacts with this minor increase in permitted density.

The rezoned property will not have a significant negative impact on those properties surrounding the rezoned area and the general public health, safety and welfare of the community are protected.

ATTACHMENTS:
Exhibit A: 3299 South Logan Street Residences PUD
Exhibit B: Neighborhood Meeting Summary – November 7, 2013
Exhibit C: Email from Lila & Leonard Albertson - November 14, 2013
Englewood Shrine Club PUD
Neighborhood Meeting
3299 South Logan Street
November 7, 2013

Attendees: Approximately 17-25 (some attendees did not sign-in)

Applicant Presentation
1. Toby Terhune of Shadow Creek Homes stated that has been building homes in the Denver metro area since 1982 with over 200 completed to date. In 2007 he formed Shadow Creek Homes and is looking forward to doing an infill project in the City of Englewood. He indicated that the Shrine Club building was originally a church until 1967 when the Englewood Shrine Club purchased the building and obtained a variance to use it for their functions. The building has been on the market for the past five years and Shadow Creek Homes recently purchased and closed on the property. Mr. Terhune’s company also purchased the house directly north of the Shrine Club property.

2. Mr. Terhune described the proposed development which includes:
   • Renovation of the existing Shrine Club building into four higher end apartment lofts.
   • On the remainder of the property, the construction of four new 2,000 to 2,500 square foot cottage homes.
   • Each of the four cottage homes would include a detached garage with the possibility of a flexible living space above the garage. The flexible living space could be a workspace for the resident of the larger home in front, a mother-in-law apartment, or a separate rental unit.

3. Public Comment
   The attendees asked questions and provided comments as follows. The applicant responded to the questions and provided the following answers (in italics):
   • Are you turning the Shrine Club building into offices? No, the proposal is for four higher end apartment lofts.
   • Tell me more about the rental units above the detached garages for the cottages? The detached garages with the flexible living space above would be under the same ownership as the cottage in front and could not be sold separately. It could be a workspace for the resident of the larger home in front, a mother-in-law apartment, or a separately rented living unit.
   • Would there be any commercial or office uses in the development? No, only residential uses would be allowed in the PUD. Home offices would be permitted, but they are already allowed in most residential zone districts.
   • Would the zoning change for the property? Yes, the zoning would change from R-1-C (single unit residential with small lot size) to Planned Unit Development (PUD).
   • How many lots are there currently? There are seven 25 foot lots with a total of 175 feet of frontage on Logan.
   • How much parking would be provided? There will be 2 spaces for each apartment plus one guest space (9 total for the apartments). There will be 2 spaces for each new
cottage home (8 total for the cottages). Currently there are not separately designated parking spaces for the flexible living spaces above the detached garages.

- There is concern that the project will make it so that people park in front of our homes on the street? In addition to the 17 designated parking spaces that we will provide, there is approximately 250 feet of street frontage along our property (Logan and Floyd); this will fit approximately 11 additional vehicles along the street, although we do not anticipate needing that.

- Will there be additional traffic in the unpaved alley? The traffic added to the alley should be minimal with this residential use.

- Are the utilities adequate in the alley for the project? Our initial review does not indicate any issues, but we will be looking into that to that further.

- Will the City make you pave the alley? Public Works and the Traffic Division will be reviewing our plans once we make a formal application. In the past, other apartment developments in the neighborhood were not required to pave the alley.

- We need the alley to be well lit for safety purposes. We will make a note of that.

- We need the alley well lit, but not so there is lots of glare or light pollution. Noted, we will use downcast cut-off lighting.

- What price will be the asking price for the cottage houses? We're not sure yet, but it's likely they will be $400,000 or more.

- Will this PUD go to City Council? Yes, Brook Bell with the Community Development Department will go over the City's process.

- There are lots of seniors in the neighborhood; there is a concern that their property taxes will go up. (neighbor's answer) Perhaps, but that would be because their property values went up which would more than offset an increase in property taxes.

- I think this project will really spruce up the area and bring in younger people that we are lacking in this neighborhood.

- Given the size of the homes, what about the yard space for kids? We are still working on the design and will make a note of that.

- How much space is between the houses? 10 feet.

- Where do the stairs come up to the flexible living space above the garage? They come up from the back yard of the cottage; the stairs will be well lit.

- I would prefer single story garages without the flexible living space above. Noted.

- What is your timeline for construction? We think it could be 6 months to go through the City process and then 6 months to construct the project. Construction times during the day are regulated by City codes.

- Will there be designated parking during construction? We haven’t gotten that far yet; perhaps we can make an agreement with the nearby church.

- There is concern that the alley off of Floyd is slippery in the winter. Noted.

- What is the setback from the north property line? 6 feet. What will the grade be of the northernmost cottage? It will be lower than the grade of the existing house to the north.

- Is each cottage for one family? The cottages in front will be a single dwelling unit for one household.

- I applaud your efforts on the Shriner building. I do have some concerns for density, the alley, and parking. I recommend you do 3 cottages instead of 4. We will look into that.
• Have you thought about attaching the garages? Yes, but then the cottages would not have viable back yards or rear patios.
• Do you think scrape offs are coming to this neighborhood? I’m not sure, but there are a lot of good amenities nearby.
• I like your ideas; I think the project will be good for the neighborhood. Thank you.
• Are you confident you can rehabilitate the Shriner building for residential? From what we have investigated so far, yes.
• Can we have another meeting? We are only required to do one neighborhood meeting. There will be two more public hearings as part of the PUD process with the City; you are welcome to provide input at those meetings.
• People are moving back to the City from the suburbs. This is a good project, Englewood is a great city. Yes, we think so too.
• Have you found a cornerstone for the Shriner building? Not so far.

4. City staff outlined the PUD process and next steps. The PUD frequently asked questions were provided.

5. Toby Terhune of Shadow Creek Homes made some closing remarks and the meeting was adjourned.
Pre-Application Neighborhood Meeting

November 7, 2013

Subject: Planned Unit Development (PUD) Proposal for 3265-3299 South Logan Street

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<thead>
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<th>Name</th>
<th>Address</th>
<th>City</th>
<th>Zip Code</th>
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<tbody>
<tr>
<td>Benny Smith</td>
<td></td>
<td>Englewood</td>
<td>80113</td>
</tr>
<tr>
<td>Karen Stenson</td>
<td></td>
<td>Engle</td>
<td>80113</td>
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<td>Jezebelene Lee</td>
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<td>Douglas Lee</td>
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<td>Jerry &amp; Linda Tindle</td>
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<td>Derek Mulloy</td>
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<tr>
<td>Robert Younglove</td>
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Please print clearly – Thank You!
Pre-Application Neighborhood Meeting

Subject: Planned Unit Development (PUD) Proposal for 3265–3299 South Logan Street

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<th>Name</th>
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<tr>
<td>Ann Guessford</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>J Johnson</td>
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Please print clearly – Thank You!
Pre-Application Neighborhood Meeting

November 7, 2013

Subject: Planned Unit Development (PUD) Proposal for 3265–3299 South Logan Street

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Please print clearly – Thank You!
Pre-Application Neighborhood Meeting

November 7, 2013

Subject: Planned Unit Development (PUD) Proposal for 3265–3299 South Logan Street

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Please print clearly – Thank You!
Brook Bell

Subject: FW: pud

From: Debbie Tapia
Sent: Thursday, November 14, 2013 9:18 PM
To: Brook Bell
Subject: FW: pud

Hi Brook,

I just wanted to forward you this email Toby received.

> From:
> Subject: RE: pud
> Date: Thu, 14 Nov 2013 21:11:08 -0700
> 
> Thanks Lila, we appreciate your support. Look forward to meeting you at
> some point in the future. Have a great day.
> 
> Toby Terhune
> President
> Shadow Creek Homes LLC
> 2535 W. 115th Drive
> Westminster, CO 80234
> (p) 303.635.0830 (f) 303.635.0968
> 
> -----Original Message-----
> From: Lila
> Sent: Thursday, November 14, 2013 8:07 AM
> To:
> Subject: pud
> 
> Nov 14-2013
> Toby Terhune, We were unable to attend the November 7th meeting.However you
> need to know we are very in favor of the 3200 So Logan St project.
> Sincerely Lila & Leonard Albertson
> 
>
CITY OF ENGLEWOOD PLANNING AND ZONING COMMISSION
REGULAR MEETING
City Council Chambers – Englewood Civic Center
April 22, 2014

I. CALL TO ORDER

The regular meeting of the City Planning and Zoning Commission was called to order at 7:00 p.m. in the City Council Chambers of the Englewood Civic Center, Chair Fish presiding.

Present: Bleile, Brick, Fish, Freemire, King, Kinton (arrived 7:05), Knoth, Roth, Townley, Madrid (alternate)

Absent: None

Staff: Alan White, Director, Community Development
      Chris Neubecker, Senior Planner
      Brook Bell, Planner II
      Nancy Reid, Assistant City Attorney

Also Present: Toby Terhune, Shadow Creek Homes

II. APPROVAL OF MINUTES
April 8, 2014

King moved;
Knoth seconded: TO APPROVE THE APRIL 8, 2014 MINUTES

Chair Fish asked if there were any modifications or corrections. There were none

AYES: Bleile, Brick, King, Kinton, Knoth, Roth, Townley, Chair Fish
NAYS: None
ABSTAIN: Freemire
ABSENT: Kinton (arrived 7:05)

Motion carried.

III. PUBLIC HEARING CASE #ZON2014-001 3299 SOUTH LOGAN STREET RESIDENCES PUD

Brick moved;
Knoth seconded: TO OPEN PUBLIC HEARING FOR CASE #ZON2014-001 3299 SOUTH LOGAN STREET RESIDENCES PUD

AYES: Bleile, Brick, Freemire, King, Kinton, Knoth, Roth, Townley, Chair Fish
NAYS: None
ABSTAIN: None
ABSENT: None

Staff Presentation

Brook Bell, Planner II, was sworn in. Mr. Bell reviewed the project as proposed to allow a maximum of three one unit dwellings, one two unit dwelling and three detached accessory structures above garages that may be used as dwelling units.

The applicant is requesting to rezone the property from R-1-C to the “3299 South Logan Street Residences PUD”. The PUD would encompass the property at 3265 and 3299 South Logan Street. A variance was granted in 1967 to allow the Shrine club use with conditions that narrowly defined the proposed use. With the narrowly defined variance, and the lack of enough land area to allow other permitted uses, the marketability of the property was limited. In order to meet the minimum size requirement of ½ acre for a PUD, the applicant purchased the property to the north at 3265 South Logan Street. Three of the garages are proposed with detached accessory structures above them (400 square feet maximum). The property owner has the option to use the accessory structure as they see fit but must occupy either the principal structure or the accessory structure if the accessory structure contains a secondary suite (dwelling unit).

The proposed design includes the defined architectural requirements. The plans provided to the Commission are conceptual and subject to minor changes, however any changes will need to meet the design standards, guidelines and setbacks of the PUD.

The density of the proposed PUD is lower than some of the properties to the west and southwest of subject property (across the alley) that contains multi-unit apartment buildings. The proposal includes two garage parking spaces for each principal unit and either one garage or surface parking space for the accessory units. Because the property is located on a corner, 240 linear feet of on street parking is available, the equivalent of 10 parking spaces.

The Public Works department reviewed the plan and concluded that a traffic impact study is not required due to the minor increase in traffic over the existing volume. The Logan Street and Floyd Avenue intersection is signalized and controls the traffic near the site.

The UDC requires that 40% of the property is landscaped and the PUD matches that requirement as well as meeting the landscaping requirements for R-1-C zone district.
Drainage plans have been approved by the Public Works Department. The dedication of park land requirement will be satisfied by a fee in lieu payment amount between $1,600 and $3,000.

The Commission may consider the findings included in the Staff Report when reviewing the proposed PUD.

Staff has reviewed the PUD application and found that it is in conformance with the Comprehensive Plan.

The Department of Community Development recommends that the Planning and Zoning Commission review the 3299 South Logan Street Residences PUD request and forward a favorable recommendation for approval to City Council.

Comments from the Commissioners:

King – What is the proposed height of garage? The maximum height of the detached accessory structure is 32'; if it does not have the accessory unit above the garage, the maximum height is 16'.

Kinton - How long has the property been on the market? (Mr. Bell: About 2 years, during which time the City received inquiries about the property. The zoning would not allow uses other than residential and those permitted by the variance. Without a change in zoning, the opportunities were limited as far as how the property could be used.)

Bleile - What is the minimum lot width in R-1-C? (Mr. Bell: There are two lot widths in R-1-C: a standard lot is 50', the minimum lot width for an existing small lot is 37'. The lot widths can vary in a PUD. The two new lots are 37 ½ wide which meets small lot standards. There are some existing lots in R-1-C that are only 25' wide.)

Bleile – What is the intent of including the detached accessory unit? (Mr. Bell: The PUD provides 3 possible uses 1) home occupation, 2) secondary suite (living unit), and 3) flexible living space.

The UDC does not currently address new detached accessory units. Many communities locally and nationally are adopting provisions into their code to allow them.)

Bleile – What is the minimum square footage for a single family residence in R-1-C? (Mr. Bell: There is no minimum square footage requirement. These detached accessory units would be limited to a maximum of 400 square feet.)

Roth - Most of the parking is provided in the garage spaces. There is enough space to make the garages larger or add surface parking area. For lots 1,4,5 which do not have detached accessory structures, there is minimum of two garage spaces for each dwelling unit.
Roth - Is the rear setback of 6 feet enough for the garages? (Mr. Bell: The traffic department commented that garages setbacks from the alley more than 6 feet can become a problem with the rear end of cars extending into the alleys.)

Bleile - Will parking be available on Floyd? (Mr. Bell: Yes, on street parking will be available on Floyd Avenue.)

Applicant Presentation

Toby Terhune, Shadow Creek Homes, 2535 West 115th Drive, Westminster, Colorado, was sworn in. Mr. Terhune presented a slide show with images of the proposed development. Mr. Terhune introduced the members of his team who were present at the meeting.

The neighborhood meeting held last November influenced decisions about the design and density of the project. The home at 3265 South Logan will be remodeled and updated, two new homes will be added and the Shriner building will be divided into two units. Four new garages will be added. The accessory dwelling units above three of the garages will be added as an option for their customers.

Bleile - What is the timing of construction? (Mr. Terhune: As soon as possible.)

King - Why limit the ground floor of the garage to 400 square feet? (Mr. Terhune: This can be changed based on buyer preference.)

Townley - Is there any discussion about paving the alley? (Mr. Terhune: No.) Who is responsible for the maintenance of the landscaping? (Mr. Terhune: The property owners.)

Freemire - The existing grade rises 4 feet higher than the level on Floyd, how will that be addressed? (Mr. Terhune: The bottom floor of the building is below grade, the lot will be leveled where it has been built up. The garages will be at the alley level.)

Public Testimony

John Taylor, 3261 S. Logan Street, was sworn in. He feels that the development will create traffic problems. He cited Cherry Creek North parking issues.

Conclusion from Staff

The site has very few allowed uses as it is currently zoned. The proposal is for a very good project that will be beneficial to the community.

Bleile - How is the requirement enforced that the owner resides on the property? (Mr. Bell: The PUD sets the regulation; Community Development does not seek out properties for compliance. The requirement that the owners live in either the main or the accessory
unit provides some assurance that the property will be well maintained with the owner present on the property.

Roth moved;
Freemire seconded: TO CLOSE THE PUBLIC HEARING FOR CASE #ZON2014-001 3299 SOUTH LOGAN STREET RESIDENCES PUD

AYES: Bleile, Brick, Freemire, King, Kinton, Knoth, Roth, Townley, Chair Fish
NAYS: None
ABSTAIN: None
ABSENT: None

Motion passes.

King moved;
Freemire seconded: TO APPROVE CASE #ZON2014-001 3299 SOUTH LOGAN STREET RESIDENCES PUD APPLICATION AS WRITTEN AND FORWARD TO ENGLEWOOD CITY COUNCIL WITH A FAVORABLE RECOMMENDATION.

Brick – A substantial amount of landscaping is included in the plan and the parking is adequate for the development. The inclusion of the requirement that the owners live on the property is a positive.

King – Should the building revert to its original use as a club, parking would be more of an issue. The requirement of the owner to live on the property would be addressed during title commitment in the purchase process.

Chair Fish – This is a good use for the building.

King – The bulk plane as it exists in the UDC is too restrictive and this development would set a new standard for the City.

Roth – Accessory units already exist in Englewood; it appears that this will be a trend in the future.

Vote:

Bleile – Yes, despite his resistance to change, it is a necessary change to encourage development and reuse of existing buildings that could otherwise potentially fall into decay. The transition from the new buildings to the older homes on the street is good.

Brick – Yes, the project meets the requirements of the Comprehensive Plan with a balanced use of housing. The quality of the materials and type of work will exceed the
standards that exist currently. The density does not significantly impact the surrounding neighborhood.

Freemire – Yes, commended the developer for listening to the neighborhood and adapting the plan. It is appropriate and meets the goals of the City.

King – Yes, it is a difficult site to develop and the developer has done a good job with the design. The owner is sensitive to the needs of the neighborhood.

Knoth – Yes

Roth – Yes, the project meets a number of elements of the Comprehensive Plan. The owner occupancy requirement is a positive. The development is different but fits the neighborhood.

Townley – Yes, the development is unique, it has appropriate scale, adequate parking and the proposed development fits the Comprehensive Plan and complements the neighborhood.

Fish – Yes, he agrees with the Commissioners. Englewood’s housing stock is maturing and as is an issue that the City faces going forward, this will enhance the variety of housing available.

Kinton – Yes, the project makes good use of the existing structure and brings a needed diversity of housing. The project meets the goals of the Comprehensive Plan.

Motion passes to approve case #2014-001 3299 South Logan Street PUD with a favorable recommendation to City Council.

Bleile moved; Knoth seconded: TO OPEN PUBLIC HEARING FOR CASE #2013-07 AMENDMENTS TO PUD PROCESS

AYES: Bleile, Brick, Freemire, King, Kinton, Knoth, Roth, Townley, Chair Fish
NAYS: None
ABSTAIN: None
ABSENT: None

Chris Neubecker, Senior Planner, was sworn in. The history of the case was reviewed.

A two-step PUD process will enable developers to obtain entitlements to the property prior to developing a detailed plan which would result in cost and time savings. The amendments will clarify the current code and additionally provide increased detail outlining the PUD process.

Commissioner Comment
Brick – What is the potential benefit to citizens? (Mr. Neubecker: The two step process allows for additional opportunity for public comment. The advantages to the developer would potentially increase development opportunity which would be beneficial to the community.)

Roth – Noted typographical errors.

Public Comment

Lewis Fowler, 3700 South Cherokee Street, Englewood, was sworn in. Mr. Fowler spoke in support of the amendments to the PUD process. He likes the fact that public has more opportunities to comment on applications.

Mr. Neubecker thanked the Commissioners for their cooperation and feedback during the long process of amending the code on this issue.

Bleile moved; Knoth seconded: TO CLOSE THE PUBLIC HEARING FOR CASE #2013-07 AMENDMENTS TO PUD PROCESS

AYES: Bleile, Brick, Freemire, King, Kinton, Knoth, Roth, Townley, Chair Fish
NAYS: None
ABSTAIN: None
ABSENT: None

Motion passes.

Bleile moved; Knoth seconded: TO APPROVE CASE #2012-07 AMENDMENTS TO THE PUD PROCESS WITH A FAVORABLE RECOMMENDATION TO CITY COUNCIL.

Comments

Bleile thanked Staff for their work and believes that future applicants will see the benefit of the improvements.

Fish – The time taken has resulted in a quality product, he thanked Staff.

King – A lot of time and input has been devoted to this topic and Staff did a great job.

Kinton – This is a significant improvement in the PUD process and hopes that it will encourage more development.
Roth – Makes the process clearer and will eliminate the types of issues that arose in the past.

Townley – An efficient and streamlined process, likes the opportunity for more community input.

AYES: Bleile, Brick, Freemire, King, Kinton, Knoth, Roth, Townley, Chair Fish
NAYS: None
ABSTAIN: None
ABSENT: None

Motion passes.

IV. PUBLIC FORUM

No Public was present to address the commission.

V. ATTORNEY’S CHOICE
Ms. Reid requested that the Commission adopt the Planning Commission Handbook.

Knoth moved; Bleile seconded: “To Adopt a policy allowing Staff and the City Attorney to include within any ordinance the necessary amendments to the Unified Development Code that are necessary to ensure that portions of the Englewood Municipal Code that refer to existing or amended code language, or that is needed to reference the new language, shall be included within said ordinance, and that such housekeeping and editing issues shall not require further discussion or hearings by the Planning and Zoning Commission”.

Vote: All Commissioners voted in favor of the policy. Motion passes.

Brick – Believes that this policy change will be beneficial to the process of making changes to the code.

VI. STAFF’S CHOICE
Director White added that the adopted policy change will allow Staff to fix administrative issues without having to take the issue to Public Hearing.

Mr. Neubecker stated that Part 3 of the TSA overlay district will be presented at the May 6 meeting. Other items that were included on the 2014 work priorities are bulk plane. Director White suggested that discussion regarding Accessory Dwelling Units be delayed. The Capital Project budget will be presented to the Commission.

VII. COMMISSIONER’S CHOICE
Mr. Madrid commented on PUD project and is looking forward to seeing the change, feels that the inclusion of the Accessory Dwelling Unit allows for a more diverse population and provides good options for residents.

Mr. Brick asked for an update on the Martin Plastics property; Director White stated that he anticipated a request for a change to their plan.

Mr. Bleile asked about the Winslow property. There have been discussions about multi-family development but with the current restrictions on the property there would be an amendment to the PUD.

Ms. Townley asked if it would be beneficial to have a representative of Economic Development attend the meeting regarding the TSA Overlay to provide input.

The meeting adjourned at 9:00 p.m.

/s/ Julie Bailey, Recording Secretary
IN THE MATTER OF CASE #ZON2014-001,
FINDINGS OF FACT, CONCLUSIONS
AND RECOMMENDATIONS FOR THE
REZONING OF 3265-3299 SOUTH LOGAN
STREET FROM R-1-C (SINGLE UNIT
RESIDENTIAL, SMALL LOT SIZE) TO THE
3299 SOUTH LOGAN STREET RESIDENCES
PLANNED UNIT DEVELOPMENT

INITIATED BY:
Toby Terhune
Shadow Creek Homes, LLC
Westminster, Colorado 80031

Commission Members Present: Bleile, Brick, Fish, Freemire, King, Kinton, Knoth, Roth, Townley
Commission Members Absent: None

This matter was heard before the City Planning and Zoning Commission on April 22, 2014 in the City Council Chambers of the Englewood Civic Center.

Testimony was received from staff. The Commission received notice of Public Hearing, Certification of Posting, the Staff Report, and a copy of the proposed 3299 South Logan Street Residences Planned Unit Development which were incorporated into and made a part of the record of the Public Hearing.

After considering the statements of the witness and reviewing the pertinent documents, the members of the City Planning and Zoning Commission made the following Findings and Conclusions.

FINDINGS OF FACT

1. THAT the Shadow Creek Homes, LLC, has submitted an application to rezone the properties from R-1-C Single Unit Residential District (Small Lot Size) to the 3299 South Logan Street Residences Planned Unit Development (PUD). The proposed PUD would allow for a maximum of three (3) one-unit dwellings, one (1) two-unit dwelling, and three (3) detached accessory structures above garages that may be used as dwelling units.
2. THAT notice of the Public Hearing was published in the Englewood Herald on April 4, 2014 and notice of the Public Hearing was on the City of Englewood website from April 8, 2014 through April 22, 2014.

3. THAT the property was posted as required, said posting setting forth the date, time, and place of the Public Hearing.

4. THAT pursuant to the Planned Unit Development procedure, the applicant conducted a neighborhood meeting on November 7, 2013.

5. THAT notice of the neighborhood meeting was mailed to property owners and the occupants of property within 1000 feet of the site.

6. THAT the final 3299 South Logan Street Residences PUD packet was submitted on February 13th, 2014.

7. THAT the applicant will provide 2 parking spaces for each dwelling unit and 1 parking space for each detached accessory structure above the garage.

8. THAT the Public Works Department reviewed the proposed PUD for impacts and concluded a traffic study was not required due to the slight increase in traffic.

9. THAT one member of the general public testified during the public hearing and expressed concern about traffic.

10. THAT the rezoned property will not have a significant negative impact on those properties surrounding the rezoned area and the general public health, safety and welfare of the community are protected.

CONCLUSIONS

1. THAT the PUD application is in conformance with Roadmap Englewood: 2003 Comprehensive Plan.

2. THAT the application is consistent with adopted and generally accepted standards of development in the City.

3. THAT The application is substantially consistent with the goals, objectives, design guidelines, policies and any other ordinance, law, or requirement of the City.

4. THAT the proposed development will exceed the development quality standards, levels of public amenities, or levels of design innovation otherwise applicable under this Title, and would not be possible or practicable under a standard zone district with conditional uses or with a reasonable number of Zoning Variances or Administrative Adjustments.
5. THAT the property cannot be developed, or that no reasonable economic use of the property can be achieved under the existing zoning, even through the use of conditional uses or a reasonable number of Zoning Variances or Administrative Adjustments.

6. THAT The rezoned property will not have a significant negative impact on those properties surrounding the rezoned area and the general public health, safety and welfare of the community are protected.


DECISION

THEREFORE, it is the decision of the City Planning and Zoning Commission that Case #ZON2014-001 3299 South Logan Street Residences PUD application should be referred to the City Council with a favorable recommendation.

The decision was reached upon a vote on a motion made at the meeting of the City Planning and Zoning Commission on April 22, 2014, by King, seconded by Freemire, which motion states:

CASE #2014-001 3299 SOUTH LOGAN STREET RESIDENCES PUD BE RECOMMENDED FOR APPROVAL TO CITY COUNCIL WITH A FAVORABLE RECOMMENDATION.

AYES: Bleile, Brick, Freemire, King, Kinton, Knoth, Roth, Townley, Fish
NAYS: None
ABSTAIN: None
ABSENT: None

Motion carried.

These Findings and Conclusions are effective as of the meeting on April 22, 2014.

BY ORDER OF THE CITY PLANNING & ZONING COMMISSION

Ron Fish, Chair
BY AUTHORITY

ORDINANCE NO. ___
SERIES OF 2014

COUNCIL BILL NO. 31
INTRODUCED BY COUNCIL
MEMBER ____________________

A BILL FOR

AN ORDINANCE APPROVING THE REZONING OF 3265–3299 SOUTH LOGAN STREET FROM R-1-C TO 3299 SOUTH LOGAN STREET RESIDENCES PLANNED UNIT DEVELOPMENT (PUD).

WHEREAS, Shadow Creek Homes, LLC submitted an application to rezone the properties from R-1-C Single Unit Residential District (Small Lot Size) to the 3299 South Logan Street Residences Planned Unit Development (PUD) which would allow for an enhanced residential development; and

WHEREAS, this project is comprised of 2 parcels (Parcel ID #1971-34-4-029 and Parcel ID #1971-34-017) totaling 21,875 square feet, approximately .5022 acres; and

WHEREAS, the first parcel (south) parcel (known herein as Parcel 01) is located at the Northwest corner of South Logan Street and East Floyd Avenue; and

WHEREAS, the second (north) parcel (known herein as Parcel 02) is located directly north of Parcel 01; and

WHEREAS, Presently Parcel 01 contains the building formerly housing the Englewood Shrine Club, 6,750 square feet that will be converted into a two-unit residence, currently zoned R-1-C; and

WHEREAS, Parcel 02 contains a single family home, 1150 square feet and a 2 car garage, 400 square feet, with an option to remodel, expand, or rebuild the home, currently zoned R-1-C; and

WHEREAS, the home at 3265 South Logan will be remodeled and updated, two new homes will be added and the Shriner building will be divided into 2 units. Four new garages will be added. The accessory dwelling units above three of the garages will be added as an option for their customers; and

WHEREAS, two additional single family homes with rear detached 2 or 3 car garages, with an option for detached accessory structure above, will be built on the new PUD Site, Parcel 01 and 02 will be reconfigured into five (5) lots: 1, 2, 3, 4 and 5; and

WHEREAS, land to the north, south, and east of the subject property is zoned R-1-C Single Unit Residential District, land directly to the west of the subject property is zoned MU-R-3-B NPO Mixed Use Medium to High Density Residential and Limited Office District with a Neighborhood Preservation Overlay; and

1
WHEREAS, properties to the west and southwest of subject property contain several multi-unit apartment buildings; and

WHEREAS, the proposed 3299 South Logan Street Residences PUD is located at the northwest corner of South Logan Street and East Floyd Avenue; and

WHEREAS, the 3265-3299 South Logan Street site consists of two properties consisting of the Shrine Club and a house at 3265 South Logan Street, totaling one-half acre; and

WHEREAS, the proposed 3299 South Logan Street Residences PUD will allow a maximum of three (3) one-unit dwellings, one (1) two-unit dwelling and three (3) detached accessory structures above garages that may be used as dwelling units; and

WHEREAS, the Unified Development Code does not currently address new detached accessory units but many communities locally and nationally are adopting provisions into their code to allow them; and

WHEREAS, the majority of the parking would be in detached garages with an additional surface parking pad provided for each detached accessory structure, all of the designated parking is accessed from the alley and meets the City’s parking regulations; and

WHEREAS, the Traffic Department commented that garages setback from the alley more than 6 feet can become a problem with the rear end of cars extending into the alleys; and

WHEREAS, on street parking will be available on Floyd Avenue; and

WHEREAS, drainage plans have been approved by the Public Works Department; and

WHEREAS, pursuant to the Planned Unit Development procedure, the applicant conducted a neighborhood meeting on November 7, 2013; and

WHEREAS, the Planning and Zoning Commission held a Public Hearing on April 22, 2014; and

WHEREAS, the PUD contains architectural character standards that require a mix of pattern and color changes, a minimum masonry requirement or defined front porches, and a requirement that building entries be clearly defined with architectural elements; and

WHEREAS, the exterior materials and colors of the detached accessory structure are required to compliment the overall character of the principal dwelling; and

WHEREAS, provisions for roof pitches and flat roofs are included; and

WHEREAS, it should be noted that the conceptual building footprint shown on the Site Plan and the proposed building elevations are subject to change; however, any changes would have to meet the design standards and guidelines of the PUD.

NOW, THEREFORE, BE IT ORDAINED BY THE CITY COUNCIL OF THE CITY OF ENGLEWOOD, COLORADO, AS FOLLOWS:
Section 1. The Englewood City Council hereby finds that:

- The Planned Unit Development application is in conformance with Roadmap Englewood: 2003 Comprehensive Plan.

- The property cannot be developed, or that no reasonable economic use of the property can be achieved under the existing zoning, even through the use of conditional uses or a reasonable number of Zoning Variances or Administrative Adjustments.

- The application is substantially consistent with the goals, objectives, design guidelines, policies and any other ordinance, law, or requirement of the City.

- The rezoned property will not have a significant negative impact on those properties surrounding the rezoned area and the general public health, safety and welfare of the community are protected.

Section 2. The dedication of park land requirement will be satisfied by a fee in lieu payment amount between $1,600 and $3,000.

Section 3. The 3299 South Logan Street Residences Planned Unit Development (PUD), for property located at the northwest corner of South Logan Street and East Floyd Avenue, in the City of Englewood, Colorado, attached hereto as Exhibit A, is hereby approved.

Introduced, read in full, and passed on first reading on the 19th day of May, 2014.

Published by Title as a Bill for an Ordinance in the City’s official newspaper on the 23rd day of May, 2014.

Published as a Bill for an Ordinance on the City’s official website beginning on the 21st day of May, 2014 for thirty (30) days.

ATTEST:

Randy P. Penn, Mayor

Loucrishia A. Ellis, City Clerk

I, Loucrishia A. Ellis, City Clerk of the City of Englewood, Colorado, hereby certify that the above and foregoing is a true copy of a Bill for an Ordinance, introduced, read in full, and passed on first reading on the 19th day of May, 2014.

Loucrishia A. Ellis
3299 S. LOGAN STREET RESIDENCES
PLANNED UNIT DEVELOPMENT

LEGAL DESCRIPTION
A PARCEL OF LAND LOCATED IN THE SOUTHEAST 1/4 OF SECTION 24, TOWNSHIP 1 S, RANGE 6, WIDE OF THE SIXTH PRONGED RANGE, CITY OF ENGLEWOOD, COUNTY OF ARAPAHOE, STATE OF COLORADO.

PROJECT BACKGROUND
This project is comprised of 2 PARCELS (REDS 24.4 and 24.4-2) of .7764 acres. The first, a single-family home located at 3299 S. Logan Ave., will be replaced with a detached two-unit residence. The current frontage of the property is 200 feet by a depth of 100 feet, and will be increased to 200 feet by a depth of 100 feet. The curb on the 6th range side will be redefined and the road will be extended north. The original garage, located in the rear of the property, will be replaced with a new two-unit residence. The new parcel will consist of a total of 2 acres or more. The current rear of the property is 100 feet by a depth of 100 feet. The rear of the property will be increased to 200 feet by a depth of 200 feet. The property is currently zoned R1C. It will be expanded to R1D. The new parcel will consist of 2 acres or more.

CONSTRUCTION / PHASING PLAN
The construction of the building will occur in two phases. The first phase will occur approximately nine months after construction begins.

PLANNED UNIT DEVELOPMENT
This plan is a planned unit development (PUD) as defined by the City of Englewood. The new parcel will consist of a total of 2 acres or more. The current frontage of the property is 200 feet by a depth of 200 feet. The curb on the 6th range side will be redefined and the road will be extended north. The original garage, located in the rear of the property, will be replaced with a new two-unit residence. The new parcel will consist of a total of 2 acres or more. The current rear of the property is 100 feet by a depth of 100 feet. The rear of the property will be increased to 200 feet by a depth of 200 feet. The property is currently zoned R1C. It will be expanded to R1D. The new parcel will consist of 2 acres or more.

PUD PLAN NOTES
1. This new property does not lie within the 100-year floodplain.
2. New vessels will be unapproved.
3. No changes will be made in the point of way of any existing street.
4. All changes will be made in accordance with the requirements and conditions of the City of Englewood.
5. The developer shall be responsible for all applicable City.

PROJECT TEAM
OWNER: SHADOW CREEK HOMES, LLC
ARCHITECT: ANGE ALIUSTRA, AIA
DEVELOPER: SHADOW CREEK HOMES, LLC
ENGINEER: MICHAEL BRACE, P.E.
LABORATORY: PAUL GILMORE, RLA

SHEET INDEX
01 COVER SHEET
02 DISTRICT PLAN
03 UTILITY PLAN
04 CONCEPTUAL RENDERING
05 SHEET INDEX
06 PLANNED UNIT DEVELOPMENT
07 APPROVED CERTIFICATES
08 INDEX
09 COVER SHEET

APPROVED CERTIFICATES

APPROVED FOR THE OWNER AND DEVELOPER
SHADOW CREEK HOMES, LLC
STATE OF COLORADO
COUNTY OF ARAPAHOE
PLANNED UNIT DEVELOPMENT WAS APPROVED BEFORE WE THIS:
WITNESSES MY HAND AND SEAL:
DEPUTY
THE COMMISSIONER OF THE
MY COMMISSION EXPIRED:

APPROVED FOR THE CITY OF ENGLEWOOD
PLANNING AND ZONING COMMISSION CHAIRPERSON

DEPUTY
THE FOREGOING INSTRUMENT WAS APPROVED BEFORE WE THIS:
AS
OF COLORADO / 20
BEFORE ME:

CITY CLERK

CLEAN AND RECORD CERTIFICATE
THE FOREGOING PLANNED UNIT DEVELOPMENT IS ACCEPTED FOR RECORD IN THE OFFICE OF THE

STATE OF COLORADO, AT ___ UTOS. - ON THE___ DAY OF ___, A.D., 20__.
RECEIVED NO. ___ BOOK NO. ___ PAGE NO. ___
ALTA/ACSM LAND TITLE SURVEY
A PARCEL OF LAND LOCATED IN THE SOUTHEAST 1/4 OF SECTION 34
TOWNSHIP 4 SOUTH, RANGE 68 WEST OF THE 6TH PRINCIPAL MERIDIAN
CITY OF ENGLEWOOD, COUNTY OF ARAHPE, STATE OF COLORADO

GENERAL NOTES:
1. SURVEY ERROR, STATIONING, AND SURVEY OBSERVATIONS ARE SUBJECT TO THE LIMITATIONS OF THE U.S. DEPARTMENT OF THE INTERIOR OFFICE OF LAND MANAGEMENT REGULATIONS AND STANDARDS FOR SURVEYING.
2. THE CLOSING FIGURE CONTAINS A CALCULATED AREA OF 3330 SQUARE FEET.
3. THE SITE IS SUBJECT TO THE ZONING AND DEVELOPMENT REGULATIONS OF THE CITY OF ENGLEWOOD.
4. THE SITE IS SUBJECT TO ANY OTHER LIMITATIONS THAT MAY APPLY TO THE SITE.

SURVEYOR'S STATEMENT:
This survey was conducted in accordance with the regulations and standards of the U.S. Department of the Interior Office of Land Management. The surveyor certifies that the survey was conducted with due care and diligence and that the results are true and correct to the best of the surveyor's knowledge and belief.

SURVEYOR:
[Signature]
[Name]
[License Number]
[Date]

NOTE:
This survey was conducted in accordance with the regulations and standards of the U.S. Department of the Interior Office of Land Management. The surveyor certifies that the survey was conducted with due care and diligence and that the results are true and correct to the best of the surveyor's knowledge and belief.

[Signature]
[Name]
[License Number]
[Date]
ALTA/ACSM LAND TITLE SURVEY
A PARCEL OF LAND LOCATED IN THE SOUTHEAST 1/4 OF SECTION 34
TOWNSHIP 4 SOUTH, RANGE 68 WEST OF THE 6TH PRINCIPAL MERIDIAN
CITY OF ENGLEWOOD, COUNTY OF ARAPAHOE, STATE OF COLORADO
ALTA/ACSM LAND TITLE SURVEY
A PARCEL OF LAND LOCATED IN THE SOUTHEAST 1/4 OF SECTION 34
TOWNSHIP 4 SOUTH, RANGE 68 WEST OF THE 6TH PRINCIPAL MERIDIAN
CITY OF ENGLEWOOD, COUNTY OF ARAPAHOE, STATE OF COLORADO

LEGAL DESCRIPTION:
LOTS 36 AND 37, BLOCK 60, ADDITION TO ENGLEWOOD, COLORADO, COUNTY OF ARAPAHOE,
STATE OF COLORADO.

TITLE COMMITMENT NOTES:
THE LAND SURVEY DOES NOT CONSTITUTE A TITLE SEARCH. JR ENGINEERING, LLC IS NOT
RESPONSIBLE FOR THE CONTENT OF THE ACCOMPANYING LEGAL DESCRIPTION OF THE
PROPERTY. JR ENGINEERING, LLC IS NOT RESPONSIBLE FOR THE CONTENT OF THE
ACCOMPANYING LEGAL DESCRIPTION. JR ENGINEERING, LLC IS NOT RESPONSIBLE
FOR THE CONTENT OF THE ACCOMPANYING LEGAL DESCRIPTION. JR ENGINEERING, LLC
IS NOT RESPONSIBLE FOR THE CONTENT OF THE ACCOMPANYING LEGAL DESCRIPTION.

THE FOLLOWING COMMENTS ARE IN REGARD TO THE ABOVE-REFERENCED TITLE COMMITMENT.
THE NUMBERS IN THE FOLLOWING COMMENTS CORRESPOND TO THE NUMBERS USED IN THE TITLE
COMMITMENT.

SCHEDULE A
ITEM COMMENT:
1. IRS AND OTHER TAXES DUE ON RECORD OR CLAIMS OF TAXES DUE ON RECORD ARE
SHOWN HEREIN TO THE BEST OF OUR KNOWLEDGE AND BELIEF.
2. IRS AND OTHER TAXES DUE ON RECORD OR CLAIMS OF TAXES DUE ON RECORD ARE
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5. IRS AND OTHER TAXES DUE ON RECORD OR CLAIMS OF TAXES DUE ON RECORD ARE
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SCHEDULE B - SECTION 1 REQUIREMENTS:
JR ENGINEERING, LLC DO NOT EXAMINE OR ADDRESS THESE ITEMS.

SCHEDULE B - SECTION 2 EXCEPTIONS:
ITEM COMMENT:
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GENERAL NOTES:
1. DEFINITION OF CERTIFICATION - A PROFESSIONAL OPINION BASED ON HIS OR HER
KNOWLEDGE OF COMPUTER, SURVEYING, INFORMATION AND RELIABILITY. IT IS EXPRESSLY
UNDERSTOOD THAT THE PROFESSIONAL CERTIFICATION OF A PERSON'S KNOWLEDGE
RELATES TO THE KNOWN FACTS AND TO THE KNOWN FACTS AND TO THE KNOWN FACTS
KNOWLEDGE AND BELIEF.

2. IRS AND OTHER TAXES DUE ON RECORD OR CLAIMS OF TAXES DUE ON RECORD ARE
SHOWN HEREIN TO THE BEST OF OUR KNOWLEDGE AND BELIEF.

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14. IRS AND OTHER TAXES DUE ON RECORD OR CLAIMS OF TAXES DUE ON RECORD ARE
SHOWN HEREIN TO THE BEST OF OUR KNOWLEDGE AND BELIEF.

NOTICE:
PER C.R.S. 13-80-105, YOU MUST COMMENCE ANY LEGAL ACTION BASED UPON ANY DEFECT IN
THIS SURVEY WITHIN THREE WEEKS OF THE DATE YOU FIRST DISCOVER SUCH DEFECT. IF IN ANY EVENT ANY
LEGAL ACTION BASED UPON ANY DEFECT IN THIS SURVEY IS COMMENCED MORE THAN 90 DAYS FROM THE
DATE OF THE CERTIFICATION SHOWN HEREIN, JR ENGINEERING, LLC AND THE SURVEYOR OF RECORD
WILL NOT BE LIABLE FOR DAMAGES INCURRED FOR LOSS OF ANY PERSON WHO KNOWINGLY REMOVES,
ALTERS OR DESIGNS ANY PROPERTY, LINES, MONUMENTS OR MARKS OF LAND MEASUREMENT OR ACCESSORY,
COMMENTS TWO YEARS AFTER THE CERTIFICATION SHOWN HEREIN.

THE SURVEY BY JR ENGINEERING, LLC WAS PREPARED FOR THE EXCLUSIVE USE OF THE PERSON,
WHO HIRE THIS SURVEY, AND MAY NOT BE USED FOR ANY PURPOSE UNLESS EXPRESSLY 
AGREED TO IN WRITING WITH JR ENGINEERING, LLC.

SURVEYOR'S STATEMENT:
THIS ALTA/ACSM LAND TITLE SURVEY WAS PREPARED FOR THE EXCLUSIVE USE OF THE PERSON,
WHO HIRE THIS SURVEY, AND MAY NOT BE USED FOR ANY PURPOSE UNLESS EXPRESSLY 
AGREED TO IN WRITING WITH JR ENGINEERING, LLC.

ALTA/ACSM LAND TITLE SURVEY
iskealh St.
ENGLEWOOD, CO 80113

JR ENGINEERING, LLC
P.O. BOX 4289
ENGLEWOOD, CO 80114-4289

www.jrengineerinc.com

CIVIL AND SURVEYING ENGINEERING SERVICES
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