

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

MASTER AGREEMENT

**For Federal Transit Administration Agreements authorized by
49 U.S.C. chapter 53, as amended, Title 23, United States Code (Highways),
the Moving Ahead for Progress in the 21st Century Act (MAP-21),
the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users
(SAFETEA-LU), as amended by the SAFETEA-LU Technical Corrections Act of 2008,
or other Federal laws that FTA administers.**

**FTA MA(21)
October 1, 2014**

<http://www.fta.dot.gov>

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APPENDIX A

TRIBAL TRANSIT PROGRAM – APPLICABLE PROVISIONS.

APPENDIX B

PRIOR FTA OR FEDERAL APPROVALS.

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

MASTER AGREEMENT

PREFACE

Statutory Authorities

This is the official Federal Transit Administration (FTA) Master Agreement that applies to Projects financed with Federal funds authorized by:

- Federal transit laws, 49 U.S.C. chapter 53, as amended,
- Title 23, United States Code (Highways),
- The Highway and Transportation Funding Act of 2014, Pub. L. 113-159, August 8, 2014,
- [Continuing Appropriations Resolution, 2015, Pub. L. 113-164, September 19, 2014, and other Appropriations Acts or Continuing Resolutions funding the Department of Transportation during Fiscal Year 2015,](#)
- The Moving Ahead for Progress in the 21st Century Act (MAP-21), Pub. L. 112-141, July 6, 2012, as amended,
- The Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU), Pub. L. 109-59, August 10, 2005, as amended by the SAFETEA-LU Technical Corrections Act of 2008, Pub. L. 110-244, June 6, 2008,
- The Transportation Equity Act for the 21st Century (TEA-21), Pub. L. 105-178, June 9, 1998, as amended by the TEA 21 Restoration Act, Pub. L. 105-206, July 22, 1998, or
- Other Federal legislation FTA administers, as FTA so determines.

Purpose of the Master Agreement

This FTA Master Agreement contains the standard terms and conditions governing the administration of the Project that FTA has financed with Federal assistance (funds or funding) awarded through an Underlying Agreement with the Recipient, which can take the form of any:

1. FTA Grant Agreement, including an FTA Grant Agreement for a Tribal Transit Program Project,
2. FTA Cooperative Agreement, or
3. FTA Transportation Infrastructure Finance Innovation Act (TIFIA) Loan, Loan Guarantee, or Line of Credit.

FTA's Authorizing Legislation

MAP-21 made significant changes to FTA's public transportation programs. FTA has determined that:

1. MAP-21 requirements apply to:
 - a. New grants and cooperative agreements for which FTA awarded FY 2013 or a later fiscal year funds appropriated or made available to carry out MAP-21 programs,

- b. Amendments to existing grants and cooperative agreements for which FTA awarded funds made available or appropriated to carry out MAP-21 programs, and
 - c. All “recoveries” funds FTA awards, irrespective of the fiscal year for which those funds were appropriated,
- 2. Fiscal Year 2012 and previous fiscal year funding requirements apply as follows:
 - a. In some instances, previous program requirements apply or will apply to grants and cooperative agreements for which FTA awarded Fiscal Year 2012 or a previous fiscal year funding, but
 - b. In other instances, MAP-21 program requirements (including MAP-21 “cross-cutting requirements” listed in section 49 of this Master Agreement) apply or will apply to grants and cooperative agreements for which FTA awarded Fiscal Year 2012 or a previous fiscal year funding, and
- 3. For more information:
 - a. See FTA guidance that may be published in the future, or
 - b. Contact the FTA Project Manager for the Project.

Compliance

FTA and the Recipient understand and agree that:

- 1. Both FTA and the Recipient:
 - a. Must comply with all applicable Federal laws and regulations, and
 - b. Should follow applicable Federal guidance, except as FTA determines otherwise in writing,
- 2. To assure compliance with Federal laws and regulations, the Recipient must take measures to assure that other participants in its FTA-funded Project (Third Party Participants):
 - a. Comply with applicable Federal laws and regulations, and
 - b. Follow applicable Federal guidance, except as FTA determines otherwise in writing,
- 3. Third Party Participants may include any:
 - a. Subrecipient,
 - b. Third Party Contractor,
 - c. Third Party Subcontractor at any tier,
 - d. Lessee, or
 - e. Other type of Participant,
- 4. FTA may take enforcement action if the Recipient or a Third Party Participant violates applicable Federal law(s) or regulation(s), or does not follow applicable Federal guidance,
- 5. FTA and the Recipient understand and agree that not every provision of this Master Agreement will apply to every Recipient or Project for which FTA provides Federal funds:
 - a. FTA has divided the Master Agreement into “Generally Applicable Provisions,” and “Special Provisions for Specific Programs,”

- b. This Master Agreement has an Appendix A illustrating the specific provisions of the Master Agreement that apply to the Tribal Transit Programs,
 - c. This Master Agreement has an Appendix B, which covers prior FTA or Federal approvals, and
 - d. Criteria determining which Federal laws, regulations, and guidance apply include:
 - (1) The type of Project,
 - (2) The Federal law authorizing the funding for the Project,
 - (3) The Federal law or regulations governing how the Project must be implemented,
 - (4) The Federal guidance pertaining to the Project, and
 - (5) The Recipient's legal status as:
 - (a) A "State," or "State instrumentality," a "local government," or a federally recognized Indian Tribe (Indian Tribe), or
 - (b) A "private non-profit entity," a "private for-profit entity," or an individual, and
6. As provided by Federal laws, regulations, and guidance:
- a. FTA will enforce only those Federal laws, regulations, and guidance that apply to the specific FTA Recipient, its Third Party Participants, or its Project activities, and
 - b. FTA will not enforce Federal laws, regulations, and guidance that do not apply to the specific FTA Recipient, its Third Party Participants, or its activities related to the Project.

Terms of the Master Agreement

FTA and the Recipient understand and agree that:

1. Each provision of this Master Agreement must be interpreted in context with all other provisions and requirements of this Master Agreement and the Recipient's Underlying Agreement. If a single provision is read apart from the rest of this Master Agreement or the Underlying Agreement, that provision might not convey the extent of the Recipient's responsibility to comply with the requirements of this Master Agreement and the Underlying Agreement,
2. In this Master Agreement, both FTA and the Recipient understand and agree that:
 - a. References to "Federal law(s)," "Federal regulation(s)," and "Federal guidance" mean references to the parts of those Federal laws, regulations, and guidance that apply to the specific FTA Recipient, its Third Party Participants, or its Project,
 - b. Any requirement in this Master Agreement for:
 - (1) Compliance with "Federal law(s) and regulations," means compliance with "applicable Federal law(s) and regulations," and
 - (2) Follow "Federal guidance" means adherence to "applicable Federal guidance," as the context may require, except as the Federal Government determines otherwise in writing, and
 - c. Federal law(s), regulation(s), and guidance that do not apply will not be enforced, and
3. Terms used in this Master Agreement, such as "Underlying Agreement," "Third Party Participant," or "Third Party Agreement," and other terms, have the precise meaning specifically provided in the "Definitions" section (Section 1) of this Master Agreement.

Expiration Date

1. This Master Agreement does not have an Expiration Date, and
2. This Master Agreement continues to apply to the Recipient and its Project identified in the Underlying Agreement until modified or superseded by a more recently enacted or issued:
 - a. Applicable Federal law, regulation, or guidance, or
 - b. Amendment to this Master Agreement or the Underlying Agreement.

Thus, in consideration of the mutual covenants, promises, and representations herein, FTA and the Recipient agree as follows:

GENERALLY APPLICABLE PROVISIONS

Section 1. Definitions. In addition to the definitions provided in 49 U.S.C. § 5302, as amended by MAP-21, or in previous legislation if circumstances may require, the Recipient understands and agrees that the following definitions apply throughout this Master Agreement, and control the meaning of the terms and conditions in this Master Agreement:

- a. *Application* means the Federal funding request that:
 - (1) Is signed and dated by the Applicant, Recipient, or an official authorized to act on the Applicant or Recipient's behalf,
 - (2) Includes all:
 - (a) Amendments to the application, and
 - (b) Explanatory, supporting, and supplementary documents filed with FTA by or on behalf of the Applicant or Recipient, and
 - (3) Has FTA's authorized and official acceptance or approval,
- b. *Approval*, unless FTA determines otherwise in writing:
 - (1) Means a written statement of an authorized Federal official:
 - (a) Expressly permitting the Recipient to take or omit an action in connection with its Project, and
 - (b) Made by a Federal Government official authorized to permit the Recipient to take or omit an action that may not be taken or omitted without the Federal Government's permission,
 - (2) May be transmitted in typewritten hard copy or electronically,
 - (3) Does not mean permission to take or omit a similar action other than the specific action for which approval was given,
 - (4) Does not include an oral permission or interpretation, which has no legal force, authority, or effect, and
 - (5) For purposes of this Master Agreement, the definition of "approval" also applies to "concurrence" and "waiver,"
- c. *Approved Project Budget*:
 - (1) Means the most recent statement of the:
 - (a) Project costs,
 - (b) Maximum amount of Federal funds for which the Recipient is eligible,
 - (c) Specific tasks (including specific contingencies) covered, and
 - (d) Estimated cost of each task that FTA has approved,
 - (2) As used in the "Approved Project Budget":
 - (a) "Scopes" means categories of Project activities, and
 - (b) "Scope Level Codes" means category codes of Project activities,
 - (3) Data in the "Approved Project Budget" does not establish the precise boundaries or limits of the:

- (a) “Scope of the Project,” or
 - (b) Eligible Project activities, and
- (4) For legal and other purposes, FTA reserves the right to consider information other than that displayed electronically or on paper in the “Approved Project Budget” to determine:
 - (a) The “Scope of the Project,”
 - (b) Eligible Project Activities, and
 - (c) Other terms used in connection with the Project,
- d. *Associated transit improvement* means a project eligible for funding, as provided in 49 U.S.C. § 5302(1), as amended by MAP-21, that:
 - (1) Is designed to enhance public transportation service or use,
 - (2) Is physically or functionally related to public transportation facilities with respect to any project or area to be served by a Project, and
 - (3) Will differ in some instances from the transit enhancements eligible for funding under SAFETEA-LU, former 49 U.S.C. § 5302(a)(1),
- e. *Concurrence* has the same meaning as the definition of *Approval* in section 1.b of this Master Agreement,
- f. *Cooperative Agreement*, means an instrument FTA uses to award Federal funds to a specific Recipient to support a particular Project or Projects in which, consistent with 31 U.S.C. § 6305:
 - (1) FTA takes an active role,
 - (2) FTA retains substantial control,
 - (3) Usually includes:
 - (a) The FTA Award establishing the Project’s boundaries or limits,
 - (b) The Federal Role and the Recipient Role,
 - (c) The Recipient’s signed Execution statement, and
 - (d) FTA’s most recent Master Agreement, which is incorporated by reference and made part of the Cooperative Agreement, and
 - (4) Sometimes includes Special Conditions, Requirements, Provisions, or Conditions of Award,
- g. *Designated Recipient*, unless more specifically defined under Federal law, regulation, or guidance means:
 - (1) An entity designated to receive and apportion amounts of FTA funding under 49 U.S.C. § 5336 to urbanized areas of 200,000 or more in population:
 - (a) By the Governor of a State, responsible local officials, and publicly owned operators of public transportation, and
 - (b) Consistent with the planning process required by 49 U.S.C. §§ 5303 and 5304, or
 - (2) A State authority or regional authority responsible under the laws of its State:
 - (a) For an FTA capital project, and
 - (b) For financing and directly providing public transportation,
- h. *Disability* has the same meaning as in section 3(1) of the Americans with Disabilities Act of 1990, 42 U.S.C. § 12102,

- i. *Federal Government* means the United States of America and any of its executive departments or agencies,
- j. *Federal Guidance* includes any Federal document or publication signed by an authorized Federal official providing official instructions or advice about a Federal program that:
 - (1) Is not defined as a “Federal Requirement” in the following section 1.k of this Master Agreement,
 - (2) Applies to entities other than the Federal Government,
 - (3) May apply to the Federal Government, and
 - (4) May take the form of a:
 - (a) Federal directive,
 - (b) Federal circular,
 - (c) Federal order,
 - (d) Federal published policy,
 - (e) Federal administrative practice,
 - (f) Federal guideline,
 - (g) Federal guidance document,
 - (h) Letter signed by an authorized Federal official, or
 - (i) Similar document,
- k. *Federal Requirement*, for purposes of this Master Agreement, means:
 - (1) An applicable Federal law, regulation, or Executive Order,
 - (2) An applicable provision of the Underlying Agreement, including any Special Condition, Requirement, Provision, or Condition of Award,
 - (3) This Master Agreement,
 - (4) A later Master Agreement after the award is made,
 - (5) Another applicable Federal mandate,
- l. *Federal Transit Administration*:
 - (1) Is an operating administration of Department of Transportation (U.S. DOT), and
 - (2) Any reference to the “Urban Mass Transportation Administration” (also referred to as “UMTA”) refers to the “Federal Transit Administration” when appearing in any records of the United States, including a:
 - (a) Law, regulation, or guidance,
 - (b) Map, or
 - (c) Document, paper, or similar writing,
- m. *Federal Transit Administrator*:
 - (1) Is the head of the Federal Transit Administration, and
 - (2) Any reference to the “Urban Mass Transportation Administrator” refers to the “Federal Transit Administrator” when appearing in any records of the United States, including a:
 - (a) Law, regulation, or guidance,
 - (b) Map, or
 - (c) Document, paper, or similar writing,

- n. *Federally Recognized Indian Tribe* means an Indian tribe that is federally recognized by the Bureau of Indian Affairs of the U.S. Department of the Interior in accordance with the provisions of the Federally Recognized Indian Tribe List Act of 1994, as amended, 25 U.S.C. § 479a and 25 U.S.C. § 479a note,
- o. *Fiscal Year (or FY)*, as used in this Master Agreement, means “Federal Fiscal Year,” which begins on October 1 of each calendar year and ends on September 30 of each calendar year,
- p. *FTA* is the acronym for the Federal Transit Administration, an operating administration of the U.S. DOT. “FTA” replaces the acronym “UMTA,”
- q. *Governor* means the:
 - (1) Governor of a State,
 - (2) Mayor of the District of Columbia,
 - (3) Chief executive officer of a United States territory, or
 - (4) Designee of the Governor, Mayor of the District of Columbia, or Chief executive officer of a United States territory,
- r. *Grant Agreement* means an instrument FTA uses to award Federal funds to a specific Recipient to support a particular Project or Projects in which FTA, consistent with 31 U.S.C. § 6304:
 - (1) Does not takes an active role,
 - (2) Does not retain substantial control,
 - (3) Usually includes:
 - (a) The FTA Award establishing the Project’s boundaries or limits,
 - (b) The Recipient’s signed Execution statement, and
 - (c) FTA’s most recent Master Agreement, which is incorporated by reference and made part of the Grant Agreement, and
 - (4) Sometimes includes Special Conditions, Requirements, Provisions, or Conditions of Award,
- s. *Indian Tribe* means an FTA Recipient or Subrecipient that receives “Tribal Transit Program” funds authorized by 49 U.S.C. § 5311(c)(1) to support an FTA-funded Project,
- t. *Local Government Authority* includes, but is not limited to:
 - (1) A political subdivision of a State,
 - (2) An authority of at least one State or political subdivision of a State,
 - (3) An Indian tribe,
 - (4) A public corporation, public board, or public commission, or
 - (5) An agency or instrumentality of local government,
- u. *Low-Income Individual*, for purposes of 49 U.S.C. § 5311(j)(1)(A)(iii), means an individual whose family income is at or below 100 percent of the poverty line, as that term is defined in section 673(2) of the Community Services Block Grant Act, 42 U.S.C. § 9902(2), including any revision required under that section, for a family of the size involved,

- v. *Non-Tribal Service Provider*, for purposes of 49 U.S.C. § 5311(j)(2), means a non-tribal provider of public transportation that:
 - (1) Connects residents of tribal lands with surrounding communities,
 - (2) Improves access to employment or healthcare, or
 - (3) Otherwise addresses the mobility needs of tribal members,

- w. *Project*, for purposes of this Master Agreement, means:
 - (1) The project activity or activities (task or tasks) listed in the Project Description of the Underlying Agreement,
 - (2) The Approved Project Budget,
 - (3) Any provisions that apply to the Project, including Special Conditions, Requirements, Provisions, or Conditions of Award, or modifications to the Conditions of Award, and
 - (4) “Each Project in the Program,” or “Program,” when funding is conditioned on a statutory requirement for a “Program of Projects,”

- x. *Public Transportation*, for purposes of the Federal transit program, has the same meaning as “transit” or “mass transportation,” and:
 - (1) Includes regular and continuing shared-ride surface transportation services that are:
 - (a) Open to the general public, or
 - (b) Open to a segment of the general public defined by age, disability, or low income, but
 - (2) Does not include:
 - (a) Intercity passenger rail transportation provided by Amtrak or a successor thereof described in 49 U.S.C. chapter 243,
 - (b) Intercity bus service,
 - (c) Charter service,
 - (d) School bus service,
 - (e) Sightseeing service,
 - (f) Courtesy shuttle service for patrons of one or more specific establishments, or
 - (g) Intra-terminal or intra-facility shuttle services,

- y. *Recipient* means:
 - (1) The entity or individual that receives Federal funds directly from FTA to support its Project, including a:
 - (a) Grant Recipient or Grantee that receives Federal funds directly from FTA through a Grant Agreement,
 - (b) Recipient that receives Federal funds directly from FTA through a Cooperative Agreement, or
 - (c) Borrower that receives a Federal Loan, Loan Guarantee, or Line of Credit, and
 - (2) Except as FTA determines otherwise in writing:
 - (a) The entire legal entity that encompasses the “Recipient,” even if the Recipient identified in the Underlying Agreement is only a single organization within that entire legal entity, and
 - (b) Each party to, member of, or participant in the multi-party entity identified as the “Recipient” in the Underlying Agreement, including a team, consortium, partnership, joint venture, or similar multi-party organization; however, to the

extent FTA approves, the multi-party entity may include one or more members that will serve as a third party contractor or subcontractor, rather than as a recipient or subrecipient, but:

- 1 Each multi-party entity must have at least one member that serves as the “Recipient,” and
- 2 Each member serving as a third party contractor or subcontractor must be identified as a third party contractor or subcontractor,

z. *State Supply Schedule* means a schedule or compilation of property and services and their respective prices that a State has obtained for use by:

- (1) Its State entities, officials, and employees for the State’s purposes, and
- (2) Any others that the State permits to use one or more of its State Supply Schedules,

aa. *Subagreement or Subgrant* means:

- (1) An agreement through which a Recipient awards Federal funds to a Subrecipient to support or stimulate the Recipient’s or Subrecipient’s Project, but
- (2) Does not include a:
 - (a) Third party contract,
 - (b) Third party subcontract, or
 - (c) Lease,

bb. *Subrecipient or Subgrantee* means:

- (1) Any entity or person that receives Federal funds awarded by an FTA Recipient instead of FTA directly, but
- (2) Does not include a:
 - (a) Third Party Contractor,
 - (b) Third Party Subcontractor, or
 - (c) Lessee,

cc. *Third Party Agreement*, for purposes of this Master Agreement, includes agreements or arrangements financed in whole or part with Federal funds awarded to a Recipient by FTA, except as FTA determines otherwise in writing, including a:

- (1) Subagreement with a Subrecipient,
- (2) Third party contract,
- (3) Third party subcontract,
- (4) Lease, or
- (5) Similar arrangement or agreement as FTA may recognize,

dd. *Third Party Contract* means a contract or purchase order:

- (1) To which the Recipient or Subrecipient and a Third Party Contractor are parties,
- (2) Is financed in whole or in part with Federal funds awarded by FTA, but
- (3) Does not include a:
 - (a) Subgrant,
 - (b) Subagreement, or
 - (c) Lease,

- ee. *Third Party Participant*, except as FTA determines otherwise in writing:
- (1) Means each participant in the Recipient's Project, except for FTA and the Recipient, whose work under the Project:
 - (a) Is supported with FTA funding,
 - (b) Is supported with eligible local share dedicated to the Project, or
 - (c) Is dedicated as an in-kind contribution eligible for local share, and
 - (2) Includes a:
 - (a) Subrecipient,
 - (b) Third Party Contractor,
 - (c) Third Party Subcontractor,
 - (d) Lessee, or
 - (e) Similar Participant in the Recipient's Project (for example, a partner in a joint development venture),
- ff. *Third Party Subcontract* means a subcontract:
- (1) Entered into by the Third Party Contractor or Third Party Subcontractor at any tier, and
 - (2) Is financed in whole or in part with:
 - (a) Federal funds originally derived from FTA, or
 - (b) Local share dedicated to the Recipient's Project,
- gg. *Underlying Agreement*, except as FTA determines otherwise in writing:
- (1) Means the instrument awarding an amount of Federal funding for its Project, and
 - (2) Includes a specific:
 - (a) Grant Agreement for the Project,
 - (b) Cooperative Agreement for the Project, or
 - (c) Transportation Infrastructure Loan, Loan Guarantee, or Line of Credit supported with funds made available or appropriated for the Transportation Infrastructure Finance and Innovation Act of 1998, as amended, 23 U.S.C. §§ 601 – 609, and
- hh. *Waiver* has the same meaning as the definition of *Approval* in section 1.b of this Master Agreement.

Section 2. Project Implementation. The Recipient agrees to the following Project implementation terms:

- a. Effective Date. The Effective Date of the Recipient's Underlying Agreement, or more recent Amendment to the Underlying Agreement (Amendment):
 - (1) Is the date of FTA's award of Federal funds for the Project, and
 - (2) Appears on the Recipient's Underlying Agreement or Amendment,
- b. Project Description. The "Project Description" in the "FTA Award" section of the Recipient's Underlying Agreement often provides only a brief description of the Project or Projects that are funded. Therefore, the Recipient agrees to perform the work described in all of the following:

- (1) The “Project Description” in the “FTA Award” section of the Recipient’s Underlying Agreement, and
 - (2) The “Application” and accompanying documents that are incorporated by reference in the Recipient’s Underlying Agreement for the Project,
- c. Prompt Implementation. After receiving notice that FTA has awarded Federal funds for its Project, the Recipient agrees to undertake promptly the Project work described in:
- (1) The “Project Description” in the “FTA Award” section of the Recipient’s Underlying Agreement, and
 - (2) The Application and accompanying documents that are incorporated by reference in the Recipient’s Underlying Agreement for the Project or Projects,
- d. Project Completion Dates. The Recipient agrees to complete the Project on time as stated below:
- (1) Good Faith Estimates. Unless FTA determines otherwise in writing that the milestone dates and other Project completion dates applicable to the Underlying Agreement(s) are firm requirements that may be enforced, FTA and the Recipient agree that such dates:
 - (a) Are good faith estimates, and
 - (b) Are not intended to be a firm contractual requirement, but
 - (2) Firm Contractual Requirements. FTA and the Recipient agree that milestone dates and other Project completion dates, such as Revenue Operations Dates, are firm requirements that may be enforced for:
 - (a) Full Funding Grant Agreements,
 - (b) Small Starts Grant Agreements, or
 - (c) Specific Agreements in which FTA expressly states that the milestone dates or other Project completion dates in the Recipient’s Underlying Agreement are firm dates that may be enforced, but
- e. The Recipient’s Capacity. To carry out its Project, the Recipient agrees to maintain:
- (1) Sufficient legal, financial, technical, and managerial capacity, and
 - (2) Adequate functional capacity to:
 - (a) Plan, manage, and complete the Project,
 - (b) Provide for the use of Project property,
 - (c) Carry out the safety and security aspects of the Project,
 - (d) Comply with:
 - 1 Its Underlying Agreement and this Master Agreement,
 - 2 The Approved Project Budget,
 - 3 The Project schedules,
 - 4 Its annual Certifications and Assurances to FTA, and
 - 5 Applicable Federal laws and regulations, and
 - (e) Follow applicable Federal guidance, except as the Federal Government determines otherwise in writing,
- f. U.S. DOT Administrative Requirements. The Recipient agrees to comply with the following U.S. DOT requirements to the extent applicable:
- (1) For a State, local government, or Indian tribal government: U.S. DOT regulations,

- “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 C.F.R. part 18,
- (2) For an institution of higher education or a nonprofit organization: U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations,” 49 C.F.R. part 19,
 - (3) Except as FTA determines otherwise in writing, for a private for-profit organization: U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-profit Organizations,” 49 C.F.R. part 19, or
 - (4) U.S. Office of Management and Budget (U.S. OMB), “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 C.F.R. part 200 and U.S. DOT’s implementing regulations, 2 C.F.R. part 1201, when effective,
- g. Application of Federal, State, and Local Laws, Regulations, and Guidance. For purposes of this Master Agreement:
- (1) Federal Requirement. A Federal requirement includes, but is not limited to, any of the requirements defined in section 1.k of this Master Agreement,
 - (2) Federal Guidance. Federal guidance includes, but is not limited to, those types of documents and information described in section 1.j of this Master Agreement,
 - (3) Changes to Federal Requirements and Guidance:
 - (a) New Requirements and Guidance. New Federal requirements and guidance may become effective after the FTA Authorized Official signs the Recipient’s Underlying Agreement awarding funds for the Project, and apply to the Recipient or its Project,
 - (b) Modifications. Federal requirements and guidance that apply to the Recipient or its Project when the FTA Authorized Official awards Federal funds for the Recipient’s Underlying Agreement may be modified from time to time, and apply to the Recipient or its Project, and
 - (c) Most Recent Provisions Take Precedence. The most recent and applicable Federal requirements will apply to the Recipient or its Project, except as FTA determines otherwise in writing, and
 - (4) Minimum Requirements. Except as FTA determines otherwise in writing, all standards or limits are minimum requirements when those standards or limits are included in the Recipient’s Underlying Agreement, or this Master Agreement,
- h. The Recipient’s Responsibility to Comply with Federal Requirements. Irrespective of involvement by any other entity in the Project:
- (1) General. The Recipient understands and agrees that:
 - (a) It must comply with all Federal requirements that apply to itself and its Project, except as FTA determines otherwise in writing, and
 - (b) FTA strongly encourages the Recipient and each of its Third Party Participants to follow Federal guidance to ensure satisfactory compliance with Federal requirements because it may violate Federal requirements if it:
 - 1 Adopts an alternative course of action not expressly authorized by the Federal Government in writing, and

- 2 Has not first secured FTA's approval of that alternative in writing,
- (2) **Primary Responsibility for Compliance.** Except as FTA determines otherwise in writing:
- (a) **Recipient.** As the direct Recipient of Federal funding, the Recipient understands and agrees that it is ultimately responsible for full compliance with Federal requirements related to its Project and itself, even though:
- 1 A Third Party Participant provides property or services for the Project, or
- 2 Another entity or person is involved with the Project, but
- (b) **Exceptions.** FTA and the Recipient agree that the Recipient is not responsible for compliance with Federal requirements related to the Project when:
- 1 The Recipient:
- a Is a Designated Recipient of funding for the Urbanized Area Formula Grant Program authorized by 49 U.S.C. § 5307, and
- b Has entered into a Supplemental Agreement with FTA and a Grant Recipient or Grantee covering a specific Project, or
- 2 The Federal Government, through appropriate official action, relieves the Recipient of part or all responsibility for compliance with one or more Federal requirements,
- i. **The Recipient's Responsibility to Extend Federal Requirements to Third Party Participants.** In certain circumstances, the Recipient's compliance with specific Federal requirements depends on its Third Party Participants' compliance with those Federal requirements, and thus:
- (1) **General.** The Recipient agrees to ensure that its Third Party Participants will:
- (a) Comply with applicable Federal requirements, and
- (b) Be expected to follow applicable Federal guidance, except as FTA determines otherwise in writing,
- (2) **Performance of the Recipient's Responsibilities.** If a Third Party Participant is expected to fulfill any responsibilities typically performed by a Recipient, the Recipient agrees to:
- (a) Ensure that the Third Party Participant will carry out the Recipient's responsibilities in compliance with Federal requirements, and
- (b) Provide enough information to each Third Party Participant so that it understands that it will be expected to follow Federal guidance, except as FTA determines otherwise in writing,
- (3) **Third Party Agreements.** To comply with Federal requirements, the Recipient agrees to enter into a written third party agreement with each Third Party Participant in its Project addressing the following:
- (a) **Required Provisions.** The third party agreement must include all appropriate provisions stating the Third Party Participant's responsibilities to assure the Recipient's compliance with applicable Federal requirements, and guidance,
- (b) **Flowdown.** As determined by Federal requirements, the third party agreement must include any necessary provisions requiring the Third Party Participant to include Federal provisions in its third party agreements to the lowest tier necessary,
- (c) **Performance of the Recipient's Responsibilities.** Except as FTA determines otherwise in writing, when a third party agreement requires the Third Party Participant to undertake Project activities or responsibilities that a Recipient typically performs, the third party agreement must:

- 1 Specify the responsibilities that the Third Party Participant will fulfill on the Recipient's behalf, and
 - 2 Include provisions making the Third Party Participant responsible for complying with those requirements of this Master Agreement and the Recipient's Underlying Agreement that would otherwise apply to the Recipient or its Project, and
- (4) Notice to Third Party Participants. Except as FTA determines otherwise in writing, it will include notice in each third party agreement that:
- (a) Federal requirements that apply to the Recipient or its Project may change due to:
 - 1 Changes in Federal law, regulation, or guidance, or
 - 2 Changes in the Recipient's Underlying Agreement or a more recent and applicable edition of the Master Agreement, and
 - (b) Applicable changes to those Federal requirements will apply to each third party agreement and parties thereto at any tier,
- j. Situations Requiring Prior FTA or Federal Approval in Writing. The Recipient agrees to obtain prior FTA or Federal approval in writing before taking an action listed in Appendix B of this Master Agreement,
- k. Changes in Project Performance. The Recipient understands and agrees that changes in project performance may occur, and that:
- (1) Types of Changes. Certain conditions can cause significant changes in Project performance, or adversely affect its ability to carry out the Project under the terms of its Underlying Agreement for the Project or this Master Agreement, such as a:
 - (a) Change in Federal requirements or guidance,
 - (b) Change in State, territorial, local, or tribal requirements,
 - (c) Change in its circumstances, including:
 - 1 Its legal, financial, technical, or managerial capacity,
 - 2 Its satisfactory continuing control, or
 - 3 Another similar situation, and
 - (d) Any current or prospective legal matter with potentially serious consequences, such as:
 - 1 A major dispute, default, breach, or litigation,
 - 2 Naming the Federal Government as a party to litigation or an adjudicative action in any forum, for any reason,
 - 3 Credible evidence that a Principal, Official, Employee, Agent, or Third Party Participant of the Recipient, or other person:
 - a Has submitted a false claim under the False Claims Act, 31 U.S.C. § 3729 *et seq.*, or
 - b Has committed a criminal or civil violation of law pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving Federal funding,
 - 4 Suspension, debarment, or other similar administrative or enforcement action against a Third Party Participant (*see also* section 3.b(2) of this Master Agreement), or
 - 5 Any matter or situation, including any other change or legal action that may

- adversely affect the Federal Government's interest in the Project, and
- (2) Notice. In the circumstances described in section 2.k(1) of this Master Agreement, the Recipient agrees to provide immediate written notice to the:
 - (a) FTA Regional Counsel for the Region in which the Recipient operates public transportation or implements the Project,
 - (b) FTA Project Manager for a Project administered by an FTA Headquarters office, or
 - (c) FTA Chief Counsel,
- l. Conflicts Between Federal Requirements and State, Territorial, Local, or Tribal Requirements. The Recipient and FTA understand and agree that a Federal requirement may conflict with a State, territorial, local, or tribal requirement, and that:
- (1) Pre-emption. The Recipient must comply with an applicable Federal requirement that pre-empts the conflicting State, territorial, local, or tribal requirement,
 - (2) Compliance with State, Territorial, Local or Tribal Requirements. Unless otherwise pre-empted by a Federal requirement, FTA and the Recipient understand and agree that:
 - (a) FTA expects the Recipient to comply with applicable State, territorial, local, and tribal requirements, and
 - (b) FTA does not require the Recipient to take any action involving its Project that would violate a State, territorial, local, or tribal requirement that conflicts with a Federal requirement,
 - (3) When a Conflict Arises. When a Federal requirement conflicts with a State, territorial, local, or tribal requirement:
 - (a) Notice. The Recipient must notify FTA immediately in writing if compliance with the Federal requirement would:
 - 1 Violate a State, territorial, local, or tribal requirement, or
 - 2 Require the Recipient to violate a State, territorial, local, or tribal requirement, and
 - (b) Impact on the Project. The Recipient must make appropriate arrangements with FTA to:
 - 1 Proceed with the Project, or
 - 2 Terminate the Project expeditiously, if necessary, and
- m. No Federal Government Commitment or Liability to Third Parties. Except as the Federal Government expressly consents in writing, the Recipient agrees that:
- (1) The Federal Government does not and shall not have any commitment or liability related to:
 - (a) The Project,
 - (b) Any Third Party Participant at any tier, or
 - (c) Any other person or entity that is not a party (Recipient or FTA) to the Underlying Agreement for the Project, and
 - (2) Notwithstanding that the Federal Government may have concurred in or approved any solicitation or third party agreement at any tier that may affect the Project, the Federal Government does not and shall not have any commitment or liability to any:
 - (a) Third Party Participant, or
 - (b) Other entity or person that is not a party (Recipient or FTA) to the Underlying Agreement.

Section 3. Ethics.

- a. Code or Standards of Conduct. At a minimum, the Recipient agrees to, and assures that its Subrecipients will, establish and maintain a written Code or Standards of Conduct that:
- (1) Applicability. Applies to the following individuals who have a present or potential financial interest, or other significant interest, such as a present or potential employment interest:
 - (a) The Recipient or its Subrecipients' officers, employees, board members, or agents engaged in the selection, award, or administration of any third party agreement,
 - (b) The immediate family members or partners of those listed above in section 3.a(1)(a) of this Master Agreement, and
 - (c) An entity or organization that employs or is about to employ any person that has a relationship with the Recipient or its Subrecipient listed above in sections 3.a(1)(a) and (b) of this Master Agreement,
 - (2) Prohibitions. Prohibits those individuals listed above in section 3.a(1) of this Master Agreement from the following:
 - (a) Third Party Agreements: Engaging in any activities involving the Recipient or any of its Subrecipients' present or potential Third Party Participants at any tier, including selection, award, or administration of a third party agreement in which the individual has a present or potential financial or other significant interest, and
 - (b) Gift Acceptance: Accepting a gratuity, favor, or anything of monetary value from a present or potential Third Party Participant in the Recipient's Underlying Project, unless the gift is unsolicited, and has an insubstantial financial or nominal intrinsic value, and
 - (3) Violations. As permitted by State or local law or regulations, the Recipient or its Subrecipients' Code or Standards of Conduct will establish penalties, sanction, or other disciplinary actions for violations that apply to:
 - (a) Those individuals listed in section 3.a(1) of this Master Agreement, and
 - (b) The Recipient or Subrecipient's Third Party Participants,
- b. Debarment and Suspension. The Recipient agrees to the following:
- (1) It will comply with the following requirements of 2 C.F.R. part 180, subpart C, as adopted and supplemented by U.S. DOT regulations at 2 C.F.R. part 1200:
 - (a) It will not enter into any arrangement to participate in the development or implementation of the Project with any Third Party Participant that is debarred or suspended except as authorized by:
 - 1 U.S. DOT regulations, "Nonprocurement Suspension and Debarment," 2 C.F.R. part 1200,
 - 2 U.S. OMB, "Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement)," 2 C.F.R. part 180, including any amendments thereto,
 - 3 Executive Orders Nos. 12549 and 12689, "Debarment and Suspension," 31 U.S.C. § 6101 note, and

- 4 Other applicable Federal laws, regulations, or guidance regarding participation with debarred or suspended Recipients or Third Party Participants,
 - (b) It will review the U.S. GSA “System for Award Management,” <https://www.sam.gov>, if required by U.S. DOT regulations, 2 C.F.R. part 1200, and
 - (c) It will include, and require each Third Party Participant to include, a similar provision in each lower tier covered transaction, ensuring that each lower tier Third Party Participant:
 - 1 Will comply with Federal debarment and suspension requirements, and
 - 2 Reviews the “System for Award Management (SAM)” at <https://www.sam.gov>, if necessary to comply with U.S. DOT regulations, 2 C.F.R. part 1200, and
 - (2) If the Recipient suspends, debars, or takes any similar action against a Third Party Participant or individual, the Recipient will provide immediate written notice to the:
 - (a) FTA Regional Counsel for the Region in which the Recipient is located or implements the Project,
 - (b) FTA Project Manager for a Project administered by an FTA Headquarters Office, or
 - (c) FTA Chief Counsel,
- c. Bonus or Commission. The Recipient affirms that it has not paid, and agrees that it will not pay, any bonus or commission to obtain Federal funding for its Project,
- d. Lobbying Restrictions. The Recipient understands and agrees that neither it nor any Third Party Participant will use Federal funds to influence any officer or employee of a Federal agency, member of Congress or an employee of a member of Congress, or officer or employee of Congress on matters that involve the Project or the Underlying Agreement for the Project, including any award, extension or modification, according to the following:
- (1) Laws, Regulations, and Guidance.
 - (a) 31 U.S.C. § 1352, as amended,
 - (b) U.S. DOT regulations, “New Restrictions on Lobbying,” 49 C.F.R. part 20, to the extent consistent with 31 U.S.C. § 1352, as amended, and
 - (c) Other applicable Federal laws, regulations, and guidance prohibiting the use of Federal funds for any activity concerning legislation or appropriations designed to influence the U.S. Congress or a State legislature, except
 - (2) Exception. If permitted by applicable Federal law, regulations, or guidance, such as lobbying activities described above that may be undertaken through the Recipient’s or Subrecipient’s proper official channels,
- e. Political Activity. The Recipient understands and agrees to comply with:
- (1) The Hatch Act, 5 U.S.C. chapter 15, which limits the political activities of State and local government agencies financed in whole or in part with Federal funding, including the political activities of State and local government officers and employees whose principal governmental employment activities are financed in whole or in part with Federal funding,
 - (2) U.S. Office of Personnel Management regulations, “Political Activity of State or Local Officers or Employees,” 5 C.F.R. part 151, and
 - (3) 49 U.S.C. § 5323(1)(2) and 23 U.S.C. § 142(g), which limits the applicability of the Hatch Act, as follows:

- (a) The Hatch Act does not apply to nonsupervisory employees of a public transportation system, or any other agency or entity performing related functions, based upon award of Federal financial assistance under 49 U.S.C. chapter 53 or 23 U.S.C. § 142(a)(2), but
 - (b) Notwithstanding section 3.e(3)(a) of this Master Agreement above, the Hatch Act does apply to a nonsupervisory employee if imposed for a reason other than assistance under 49 U.S.C. chapter 53 or 23 U.S.C. § 142(a)(2),
- f. False or Fraudulent Statements or Claims.
- (1) Civil Fraud. The Recipient acknowledges and agrees that:
 - (a) Federal laws and regulations apply to itself and its Project, including:
 - 1 The Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. § 3801 *et seq.*, and
 - 2 U.S. DOT regulations, “Program Fraud Civil Remedies,” 49 C.F.R. part 31,
 - (b) By executing its Underlying Agreement, the Recipient certifies and affirms to the Federal Government the truthfulness and accuracy of any claim, statement, submission, certification, assurance, affirmation, or representation that the Recipient provides to the Federal Government, and
 - (c) The Federal Government may impose the penalties of the Program Fraud Civil Remedies Act of 1986, as amended, and other applicable penalties if the Recipient presents, submits, or makes available any false, fictitious, or fraudulent information, and
 - (2) Criminal Fraud. The Recipient acknowledges that 49 U.S.C. § 5323(l)(1) authorizes the Federal Government to impose the penalties under 18 U.S.C. § 1001 if the Recipient provides a false, fictitious, or fraudulent claim, statement, submission, certification, assurance, or representation in connection with a Federal public transportation program under 49 U.S.C. chapter 53 or any other applicable Federal law, and
- g. Trafficking in Persons.
- (1) Legal Authorities. The Recipient agrees to comply, and assures the compliance of each Subrecipient, with Federal requirements and guidance, including:
 - (a) Section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended, 22 U.S.C. § 7104(g), and
 - (b) The award terms provided in this section 3.g of this Master Agreement, from U.S. OMB guidance, “Award Term for Trafficking in Persons,” 2 C.F.R. part 175, per U.S. OMB’s direction,
 - (2) Definitions. The Recipient agrees that for purposes of this section 3.g of this Master Agreement:
 - (a) Employee means either:
 - 1 An individual who is employed by the Recipient or a Subrecipient, and is participating in the Recipient’s Project, or
 - 2 Another person who is participating in the Recipient’s Project and is not compensated by the Recipient, including, but not limited to:
 - a A volunteer, or
 - b An individual whose services are contributed by the Recipient or Third Party Participant as an in-kind contribution toward the cost sharing or

matching requirements of the Recipient's Underlying Agreement and this Master Agreement,

- (b) Forced labor means labor obtained by recruitment, harboring, transportation, provision, or other means of obtaining of a person for labor or services through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery,
 - (c) Private entity:
 - 1 Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 C.F.R. § 175.25, and
 - 2 Includes a for-profit organization, or a nonprofit organization, including any nonprofit organization of higher education, hospital, or tribal organization other than one included in the definition of Indian Tribe at 2 C.F.R. § 175.25(b),
 - (d) Severe forms of trafficking in persons has the meaning given at section 103 of the TVPA, as amended, 22 U.S.C. § 7102,
 - (e) Commercial sex act has the meaning given at section 103 of the TVPA, as amended, 22 U.S.C. § 7102, and
 - (f) Coercion has the meaning given at section 103 of the TVPA, as amended, 22 U.S.C. § 7102,
- (3) Provisions Applicable to All Recipients. The Recipient agrees to, and assures that its Subrecipients will:
- (a) Provide Information. Inform FTA immediately of any information it receives from any source alleging a violation of the prohibitions listed below in section 3.g(4) of this Master Agreement, and
 - (b) Subagreement Provision. Include the following provision in any subagreement it enters into with a private entity as defined above in section 3.g(2)(c) of this Master Agreement:

_____ agrees that it and its employees that participate in the Recipient's Underlying Agreement, may not:

- 1. Engage in severe forms of trafficking in persons during the period of time that the Recipient's Underlying Agreement is in effect,
- 2. Procure a commercial sex act during the period of time that the Recipient's Underlying Agreement is in effect, or
- 3. Use forced labor in the performance of the Recipient's Underlying Agreement or subagreements,

- (4) Provisions Applicable to a Private Entity Recipient. If the Recipient is a private entity, it agrees that:
- (a) Prohibitions. It, its employees, its Subrecipients, and its Subrecipients' employees that participate in the Underlying Agreement will not:
 - 1 Engage in severe forms of trafficking in persons during the period of time that the Recipient's Underlying Agreement is in effect,
 - 2 Procure a commercial sex act during the period of time that the Recipient's Underlying Agreement is in effect, or

- 3 Use forced labor in the performance of the Recipient’s Underlying Agreement or subagreements,
- (b) Termination of Funding. Section 106(g) of the TVPA, as amended, 22 U.S.C. § 7104(g), and U.S. OMB guidance, “Award Term for Trafficking in Persons,” 2 C.F.R. part 175, provide FTA the right to unilaterally terminate the Underlying Agreement for a violation of that Act without penalty to the Federal Government, if FTA determines that the private entity Recipient or its Subrecipient:
 - 1 Has violated a prohibition described in section 3.g(4)(a) of this Master Agreement, or
 - 2 Has an employee whose conduct is determined to have violated a prohibition described in section 3.g(4)(a) of this Master Agreement because that employee’s conduct is either:
 - a Associated with performance in the Recipient’s Underlying Agreement, or
 - b Imputed to the Recipient or Subrecipient using the standards for due process for imputing the conduct of an individual to an organization provided in:
 - (i) U.S. OMB “Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” 2 C.F.R. part 180, and
 - (ii) U.S. DOT regulations, “Nonprocurement Suspension and Debarment,” 2 C.F.R. part 1200, and
- (5) Provisions Applicable to a Recipient That is Not a Private Entity. A Recipient that is not a private entity agrees that section 106(g) of the TVPA, as amended, 22 U.S.C. § 7104(g), and U.S. OMB guidance, “Award Term for Trafficking in Persons,” 2 C.F.R. part 175, provides FTA the right to unilaterally terminate the Underlying Agreement, without penalty to the Federal Government, for a violation of that Act if FTA determines that:
 - (a) A private entity that is the Recipient’s Subrecipient is determined to have:
 - 1 Engaged in severe forms of trafficking in persons during the period of time that the Recipient’s Underlying Agreement is in effect,
 - 2 Procured a commercial sex act during the period of time that the Recipient’s Underlying Agreement is in effect, or
 - 3 Used forced labor in the performance of the Recipient’s Underlying Agreement or subagreements, or
 - (b) An employee of a private entity that is the Subrecipient:
 - 1 Has:
 - a Engaged in severe forms of trafficking in persons during the period of time that the Recipient’s Underlying Agreement is in effect,
 - b Procured a commercial sex act during the period of time that the Recipient’s Underlying Agreement is in effect, or
 - c Used forced labor in the performance of the Recipient’s Underlying Agreement or subagreements, and
 - 2 Whose conduct described in section 3.g(5)(b)1 of this Master Agreement is:
 - a Associated with performance in the Recipient’s Underlying Agreement, or
 - b Imputed to the Subrecipient using the standards for due process to impute the conduct of an individual to an organization provided in:
 - (i) U.S. OMB “Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” 2 C.F.R. part 180, and

- (ii) U.S. DOT regulations, “Nonprocurement Suspension and Debarment,” 2 C.F.R. part 1200, and
- (6) Remedies Other Than Termination of Funding. The Recipient agrees that FTA’s right to terminate funding as provided by the TVPA and in sections 3.g(4)(b) and 3.g(5) of this Master Agreement are in addition to all other remedies for noncompliance available to the Federal Government under this Master Agreement.

Section 4. Federal Funding.

- a. Maximum Federal Funding. The Recipient agrees that FTA’s responsibility to provide Federal funding for its Project is:
 - (1) The amount shown in its Underlying Agreement, as modified by the most recent Amendment thereto, which is equal to the smallest of:
 - (a) The maximum amount permitted by Federal law or regulation,
 - (b) The “Maximum FTA Amount Awarded,” as stated in the Underlying Agreement, or
 - (c) The amount calculated on the basis of the requisite “Maximum Percentage(s) of FTA Participation,” if any, but
 - (2) Limited to the amounts listed in the most recent Approved Project Budget for the Project identified in the Underlying Agreement and the most recent amendment thereto, if any,
- b. Basis of FTA Funding. The Recipient agrees that the “Estimated Total Eligible Cost” stated in the Underlying Agreement and modified by the latest Amendment thereto forms the basis on which FTA determines the “Maximum FTA Amount Awarded”:
 - (1) “Net Project Cost.” If Federal law or regulation requires an FTA-funded Project to be financed on the basis of its “Net Project Cost,” as defined in 49 U.S.C. § 5302(12), as amended by MAP-21, or former 49 U.S.C. § 5302, under applicable previous authorizing legislation:
 - (a) FTA will provide Federal funds for a percentage of the portion of the “Estimated Total Eligible Project Cost” that the Recipient cannot reasonably finance from its revenues, which is the “Net Project Cost,”
 - (b) FTA will use the amount of the “Estimated Total Eligible Cost” stated on the Underlying Agreement to calculate the “Maximum FTA Amount Awarded,” and
 - (c) In FTA’s Electronic Award and Management System, the amount stated as the “Estimated Total Eligible Cost” on the Underlying Agreement is actually the “Estimated Net Project Cost,” and
 - (2) Other Basis for FTA Participation. If Federal law or FTA permits a Project to be financed on another basis than its “Net Project Cost,” as defined in 49 U.S.C. § 5302, as amended by MAP-21, or under applicable previous authorizing legislation:
 - (a) FTA will provide Federal funds for all or part of the estimated Project cost that is eligible for Federal funding,
 - (b) In some instances, FTA has discretion to determine the amount of Federal funding to provide for a specific Project, and
 - (c) FTA will use the amount stated in the Underlying Agreement awarding funding for the Project as the “Estimated Total Eligible Cost” to calculate the “Maximum FTA Amount Awarded.”

Section 5. Local Share. The Recipient agrees that:

- a. Amount of the Local Share. Local share requirements established by Federal statutory requirements vary depending on the following provisions accompanying the source of funding:
 - (1) Statutory and regulatory requirements of the Federal program for which funding for the Project will be derived,
 - (2) Applicable Federal guidance providing interpretations of Federal laws and regulations, including any restrictions that apply due to the specific fiscal year of the Federal funding, and
 - (3) Specifically for the Tribal Transit Program:
 - (a) The Tribal Transit Formula Program under MAP-21 does not require a local share,
 - (b) Except as FTA determines otherwise in writing, the Tribal Transit Discretionary Program under MAP-21 requires a minimum ten (10) percent local share, and
 - (c) The Tribal Transit Program, Discretionary Only, in effect in FY 2012 or a previous fiscal year does not require a local share,
- b. Permissible Sources of Local Share. Recipient agrees that the following are permissible sources of local share for the Underlying Agreement:
 - (1) Undistributed cash surpluses,
 - (2) A replacement or depreciation cash fund or reserve, and
 - (3) New capital,
- c. Restricted Sources of Local Share. Because sources of local share differ among FTA's public transportation assistance programs, FTA will identify in an FTA circular or otherwise whether the following sources may be used as the local share for a specific grant or cooperative agreement program:
 - (1) Program income generated by an activity supported by a prior grant or cooperative agreement, which is a form of undistributed cash surplus,
 - (2) Advertising revenues and concession revenues,
 - (3) Revenues from a service agreement from a State or local social service agency or a private social service organization,
 - (4) Third party in-kind contributions,
 - (5) Proceeds from the issuance of revenue bonds pursuant 49 U.S.C. § 5323(e),
 - (6) Transportation development credits (formerly toll revenue credits) pursuant to 49 U.S.C. § 120(i), and
 - (7) Funds made available under the Federal Lands Highway Program authorized under 23 U.S.C. § 204,
- d. Prohibited Sources of Local Share. Except as permitted by Federal law, regulation, or guidance, or approved in writing by FTA, the Recipient will not provide any local share funds for the Underlying Agreement derived from:
 - (1) Farebox revenues from providing public transportation services using facilities and equipment acquired with funding provided for the Underlying Agreement,

- (2) Program income derived from the use facilities or equipment acquired with funding for the Project awarded under the Underlying Agreement, except if expressly permitted by Federal law or regulations, or FTA guidance, and
 - (3) Other Federal funds not authorized for use as local share by Federal law, regulation, or guidance,
- e. Duty to Obtain the Local Share. The Recipient agrees to:
- (1) Complete all proceedings necessary to provide the local share, except as FTA permits otherwise in writing, and
 - (2) Notify FTA of any changed circumstances adversely affecting its ability to pay its local share, including a:
 - (a) Description of the actions it has taken or will take to ensure adequate resources to provide the local share, and
 - (b) Re-affirmation of its commitment to provide the local share,
- f. Prompt Provision of the Local Share. Only to the extent that FTA has provided its written consent permitting the Recipient to defer payment of the local share of its Project costs, the Recipient agrees to provide its proportionate amount of its local share no later than the time it draws down the proportionate Federal share to pay the costs of its project activities, and
- g. Reductions or Refunds of the Local Share. Except as FTA permits otherwise in writing:
- (1) Reductions. The Recipient agrees that if it reduces its local share of the Project costs, then it must reduce the proportionate amount of Federal funding for the Project at the same time, and
 - (2) Refunds. The Recipient agrees that if it accepts a refund of its local share of the Project costs, then it must provide the Federal Government an amount of that refund proportionate to the Federal contribution at the same time.

Section 6. Approved Project Budget. Except as FTA determines otherwise in writing, the Recipient agrees that:

- a. Development and Approval. It will prepare a Project budget that, after FTA has provided its approval, will be:
 - (1) Designated the “Approved Project Budget,” and
 - (2) Incorporated by reference and made part of its Underlying Agreement,
- b. Restrictions. Only if consistent with the Approved Project Budget will it:
 - (1) Incur Project costs, or
 - (2) Withdraw Project funds,
- c. Amendments. To the extent specified in applicable FTA program or project management guidance, it must obtain prior FTA approval in writing before:
 - (1) Amending its Approved Project Budget, and
 - (2) Seeking an accompanying amendment to its Underlying Agreement,

- d. Transfer of Funds. It will obtain prior FTA approval in writing before transferring Project funds if those transfers of funds are not expressly authorized by Federal law, regulation, or guidance,
- e. Budget Revisions. It will obtain prior FTA approval in writing before making any budget revision that would require additional Federal funding,
- f. Additional Federal Funding. An award of additional Federal funds will require a new Approved Project Budget, and
- g. Unspent Federal Funds. It will inform FTA promptly if it believes it will have unspent Federal funds after the Project's performance period ends.

Section 7. Payments to the Recipient. Except as the Federal Government determines otherwise in writing, the Recipient agrees to comply with all of the following:

- a. Conditions for Accessing FTA Funds. In order to seek or obtain FTA funds for eligible Project costs, the Recipient agrees that:
 - (1) It must execute the Underlying Agreement or Amendment to the Underlying Agreement for the Project,
 - (2) It must receive and file:
 - (a) A properly signed document seeking payment for the expense, such as a voucher or other appropriate record, and
 - (b) A properly detailed description supporting the relationship of the expense to the Project,
 - (3) It must identify all sources of Federal funds from which the payment is to be derived,
 - (4) It must provide FTA with all financial and progress reports required to date, and
 - (5) If the Recipient must provide a local share, unless FTA has stated otherwise in writing that the Recipient may defer the local share:
 - (a) The Recipient will not request or obtain more Federal funds than justified by eligible local share resources it has provided,
 - (b) The Recipient will not cause the proportion of Federal funds available to the Project at any time to exceed the percentage authorized by the Underlying Agreement, and
 - (c) When combined with Federal payments, the Recipient will be able to demonstrate that, its local share will be adequate to cover all the costs incurred for the Project,
- b. Eligible Project Costs. Except as the Federal Government determines otherwise in writing, the Recipient agrees to seek and obtain FTA funds awarded in the Underlying Agreement only for eligible Project costs that are:
 - (1) Consistent with the Project Description, Approved Project Budget, Underlying Agreement and any Amendment thereto, and this Master Agreement,
 - (2) Necessary to carry out the Project,
 - (3) Reasonable for the property or services acquired,
 - (4) The actual net costs minus any reduction of the costs incurred, which consists of the price paid minus reductions of the Project costs incurred, such as any refunds, rebates, or

- other items of value, but excludes program income,
- (5) Incurred for work performed after the Effective Date of the:
 - (a) Underlying Agreement or Amendment to that Underlying Agreement,
 - (b) Pre-award authority that FTA has provided, or
 - (c) Letter of No Prejudice,
 - (6) Satisfactorily documented,
 - (7) Consistent with federally approved accounting principles and procedures,
 - (8) Consistent with applicable provisions of 49 C.F.R. parts 18 or 19, or the applicable provisions of 2 C.F.R. part 1201, when effective, and
 - (9) Consistent with other applicable Federal law, regulations, and guidance,
- c. Ineligible Costs. The Recipient understands and agrees that, except as the Federal Government determines otherwise in writing, FTA will exclude ineligible costs, such as a:
- (1) Project cost the Recipient has incurred before the Effective Date of the Underlying Agreement or an Amendment to the Underlying Agreement that is not accompanied by FTA's written approval, including, but not limited to, pre-award authority or a Letter of No Prejudice, and permitted by applicable Federal law, regulation, guidance, or the Underlying Agreement or an Amendment thereto, or this Master Agreement,
 - (2) Cost not included in the most recent Approved Project Budget,
 - (3) Cost for Project property or services received in connection with any third party agreement lacking any FTA approval or concurrence in writing that is required,
 - (4) Ordinary governmental or nonproject operating cost, as prohibited by 49 U.S.C. § 5323(h),
 - (5) Profit or fee for the Recipient's services provided in connection with the Underlying Agreement, or
 - (6) Cost that is ineligible for FTA participation as provided by applicable Federal law, regulation, or guidance,
- d. Bond Interest and Other Financing Costs – Limited Eligibility. The Recipient agrees that:
- (1) Allowability. Bond interest and other financing costs are allowable costs to the extent permitted by applicable Federal law, regulation, and guidance, and
 - (2) Federal Share. FTA's share of Project interest and financing costs will be limited to an amount that does not exceed the most favorable financing terms reasonably available for the Project at the time of borrowing, except as the Federal Government determines otherwise in writing,
- e. Payment Procedures Based on the Type of Award Made to a Recipient. Except as FTA determines otherwise in writing, the Recipient understands and agrees that:
- (1) All payments under the Project will be made through electronic methods,
 - (2) Payment procedures for a Recipient differ based upon the type of funding that is awarded, and
 - (3) FTA determines which electronic system it will use to make payments to the Recipient as follows:
 - (a) Except as provided below in sections 7.e(3)(b) and (c) of this Master Agreement, for Grants and other types of funding awards: the FTA Electronic Clearinghouse

Operation Web System (ECHO-Web), Automated Clearing House (ACH) payment method,

- (b) For Cooperative Agreements: the DELPHI eInvoicing System or DELPHI Mark View System if the Recipient is granted a waiver (*see* the following section 7.g of this Master Agreement for more information about payments for Cooperative Agreements and section 7.h(2) of this Master Agreement for information about accessing and using the DELPHI eInvoicing System), and
 - (c) For Grants requiring more detailed review of supporting documentation before receiving Federal funds and as determined by the Project Manager: the DELPHI eInvoicing System (*see* the following section 7.h(2) of this Master Agreement for more information about accessing and using the DELPHI eInvoicing System),
- f. Payment Procedures Generally. The Recipient understands and agrees that if payment is made through ECHO-Web using an ECHO Control Number:
- (1) Federal Guidance. It will comply with the “ECHO Web User Manual For FTA and FAA,” July 2012,
 - (2) Limited to Project Expenses. It will withdraw Federal funds only to pay eligible Project expenses,
 - (3) Major Withdrawals. When a single withdrawal will exceed \$50,000,000, it will notify the appropriate FTA Regional or Program Office at least three (3) days before the withdrawal is anticipated,
 - (4) Immediate Use. The Recipient:
 - (a) Will not withdraw Federal funds until actually needed for immediate payment of Project expenses, and
 - (b) Will use those funds to pay for Project expenses no later than three (3) days after receipt, except as the Federal Government permits otherwise in writing,
 - (5) Limits. It will not withdraw more than the sum of Federal funds the Federal Government has awarded in the Underlying Agreement for its Project or the current available balance for its Project, whichever is less,
 - (6) Control. It will provide for the control and accountability of all Federal funds awarded for the Project consistent with Federal requirements and procedures for using ECHO-Web,
 - (7) Reporting. Unless FTA determines otherwise in writing, it will report its cash payments and balances promptly, and
 - (8) Penalties. If it failed to comply with this section 7 of this Master Agreement, it may incur or be subjected to penalties, including, but not limited to the following:
 - (a) Access to ECHO-Web. The Federal Government may revoke or suspend the Recipient’s ECHO Control Number and access to the ECHO-Web if the Federal Government determines that:
 - 1 Fraud, waste, mismanagement, or abuse exists in the Recipient’s use and application of Federal funds,
 - 2 The Recipient failed to use those funds to pay Project costs within three (3) days of withdrawing funding,
 - 3 The Recipient failed to return withdrawn but unspent funds to the Federal Government within a reasonable time,
 - 4 The Recipient failed to establish procedures to minimize the time between advances of Federal funds and payments of Project costs,

b DOT/FAA (FTA Account)
6500 South MacArthur Blvd.
AMZ-150, HQ Room 272
PO Box 269041 Oklahoma City, OK 73125-69041,
and

- (b) Federal Responsibilities. FTA and U.S. DOT have the following responsibilities:
- 1 The Director, OST, Office of Financial Management, will confirm or deny the request within approximately 30 days, and
 - 2 If the request is confirmed, then payments will be made after receipt of the required FTA reporting forms, provided the Recipient has complied with:
 - a 49 C.F.R. § 18.21 or 49 C.F.R. § 19.22, or the applicable provisions of 2 C.F.R. part 1201, when effective, and
 - b The requirements of this section 7 of this Master Agreement,

h. Payments to the Recipient.

- (1) ECHO System. If the Recipient is authorized to receive payments through ECHO-Web, FTA does not generally review the drawdown when made; however, FTA may review the drawdown at a later time, and subject that drawdown to an audit under financial oversight review, a triennial review, or another audit,
- (2) DELPHI eInvoicing System or DELPHI Mark View System. If the Recipient is not receiving payments through ECHO-Web, for the Recipient to obtain Federal payments of its Project costs:
 - (a) It must submit a request for payment with adequate supporting information for FTA to determine that it has:
 - 1 Complied and is complying with the Underlying Agreement and this Master Agreement,
 - 2 Made and is making adequate progress toward Project completion, and
 - 3 Satisfied FTA that the Federal funds requested are needed for Project purposes in that requisition period, and
 - (b) After it has demonstrated satisfactory compliance with this section 7 of this Master Agreement, FTA may reimburse the Federal share of the Recipient's apparent allowable costs incurred or to be incurred in the requisition period if:
 - 1 Those apparent allowable costs are consistent with the Approved Project Budget for the Project, and
 - 2 Those apparent allowable costs do not exceed the maximum amount of Federal funds that may be paid through the Federal fiscal year of that requisition,

i. Safeguarding Project Funds. The Recipient:

- (1) Agrees to deposit all Federal funds it receives in a financial institution and in an insured account whenever possible, and
- (2) Understands that FTA encourages it to use financial institutions owned at least fifty (50) percent by minority group members,

j. The Recipient's Duty to Pay Project Costs. When accompanied by appropriate documentation, the Recipient agrees that it will pay eligible Project costs when due, using Federal funding available through the Underlying Agreement and local share,

- k. Effect of Federal Payments. The Recipient understands and agrees that any Federal payment made for a Project cost does not constitute:
 - (1) The Federal Government's final decision about the eligibility of the cost for payment under the Project, or
 - (2) A waiver of any violation of:
 - (a) Any Federal law, regulation or guidance, or
 - (b) The Underlying Agreement or this Master Agreement,
- l. Revocation of Federal Funds. The Federal Government may revoke the unexpended portion of Federal funds awarded for the Project,
- m. Final Cost Determination. The Recipient acknowledges that the Federal Government will not make a final determination about the eligibility of any cost until the Project audit has been completed,
- n. Closeout. The Recipient agrees that Project closeout will not alter:
 - (1) The Recipient's obligation to return any amounts it owes the Federal Government for later refunds, corrections, or other similar actions, and
 - (2) The Federal Government's right to disallow costs and recover funds based on a later audit or other review,
- o. Notification. If the Federal Government determines that the Recipient is not entitled to any portion of Federal funds paid, the Federal Government will notify the Recipient in writing,
- p. Recovery of Improper Payments. Unless prohibited by Federal law or regulation, the Federal Government may recover any funds necessary to satisfy any outstanding monetary claims it may have against the Recipient,
- q. Program Income. The Recipient understands and agrees that it may use its program income derived from the Project, which is a form of undistributed cash surplus, as FTA permits:
 - (1) During the Award Period. A Recipient may use program income earned during the award period (which extends from the date FTA awards Federal funding for the Project until the ending date of the Recipient's final Federal financial report) as follows:
 - (a) To retain the income for other capital or operating public transportation expenses; if the Recipient chooses not to use program income for current or future FTA grants or cooperative agreements or for other public transportation purposes, then the amount of program income used for non-public transportation related purposes will be deducted from the total allowable costs to determine the net allowable costs,
 - (b) For research projects to reduce the net project cost of the grant or cooperative agreement,
 - (c) Under the conditions set forth in section 5.c of this Master Agreement, for the local share for a future FTA-assisted public transportation project,Except as FTA determines otherwise in writing, in determining the total amount of program income a Recipient has earned under its Project, costs incident to earning

- program income that have not been charged to the Underlying Agreement may be deducted from the Recipient's gross income,
- (2) After the Award Period. The Recipient has no obligation to the Federal Government regarding the disposition of program income earned after the end of the period of performance for the grant or cooperative agreement (i.e., after the ending date of the final Federal Financial Report),
- r. Profits. Except as FTA determines otherwise in writing and except as specified in section 7.c(5) of this Master Agreement, the Recipient and Subrecipient may earn or keep profits it may derive as a result of the Project supported by the Underlying Agreement, but any such profits must be used in a manner consistent with the provisions of this Master Agreement or applicable Federal guidance,
- s. Excess Payments, Disallowed Costs, Refunds, Claims, Debts, Interest, Penalties, Administrative Charges, and Other Amounts Owed to the Federal Government.
- (1) The Recipient's Responsibility to Pay. The Recipient agrees that after receiving notice of specific amounts due, it will pay the amount it owes the Federal Government for:
- (a) Excess Federal payments for disallowed costs,
 - (b) Refunds due and amounts recovered from third parties or other sources,
 - (c) Federal claims or debts,
 - (d) Interest assessed,
 - (e) Penalties,
 - (f) Administrative charges, or
 - (g) Other amounts it owes the Federal Government, and
- (2) Amount of Interest Due. The amount of interest to be assessed depends on the procedures used to pursue payment:
- (a) The Debt Collection Act. When the Federal Government uses the procedures of the Debt Collection Act of 1982, as amended, 31 U.S.C. § 3701 *et seq.*, to collect claims or debts owed by the Recipient for any reason authorized under that Act (including excess payments and disallowed costs), the Recipient agrees that the amount of interest it will owe will be determined by:
 - 1 Joint U.S. Treasury and U.S. DOJ regulations, "Standards for the Administrative Collection of Claims," 31 C.F.R. part 900, specifically 31 C.F.R. § 901.9(a) – (g), or
 - 2 Common law interest authorized by 31 C.F.R. § 901.9(i), as the Federal Government determines, and
 - (b) Other Collection Processes. When the Federal Government uses methods or procedures other than those described in 31 U.S.C. § 3701 *et seq.* to recover moneys the Recipient owes the Federal Government, the Recipient agrees that:
 - 1 General Requirement. Common law interest will be due as authorized by U.S. DOJ regulations, "Standards for the Administrative Collection of Claims," 31 C.F.R. § 901.9(i), but
 - 2 Exception. Interest for premature withdrawals of Federal funds by States or State instrumentalities will be calculated as required under:
 - a Section 5(b) of the Cash Management Improvement Act of 1990, as amended, 31 U.S.C. § 6503(b), and

b U.S. Department of the Treasury regulations, “Rules and Procedures for Efficient Federal-State Funds Transfers,” 31 C.F.R. part 205, and

t. De-obligation of Federal Funds. The Recipient understands and agrees that the Federal Government may de-obligate Federal funds the Recipient has not spent before Project closeout.

Section 8. Project Records and Reports. Except as the Federal Government determines otherwise in writing:

a. Project Records. The Recipient agrees to maintain satisfactory records of Project activity to the extent FTA requires, including:

(1) Financial Records. Accurate financial records in its Project account, including records of:

(a) Project Assets Received. The amount of all assets it receives for Project use, including, but not limited to:

1 All funds or the value of any property the Federal Government provides for the Project, and

2 All other funds and the value of any property or services it has received from sources other than the Federal Government provided for, accruing to, or otherwise received on account of the Project,

(b) Project Costs. Information about Project costs, including:

1 All Project costs incurred for Project property or services,

2 Detailed descriptions of the type of property or services acquired, including, but not limited to properly executed payrolls, time records, invoices, contracts, vouchers, and other appropriate records, and

3 Detailed justifications for those Project costs, and

(c) Program Income. All program income derived from Project implementation, except income FTA determines to be exempt from Federal program income record requirements,

(2) Other Records Needed for Reports. Sufficient Project records as needed to prepare adequate Project reports it must submit to the Federal Government,

(3) Formats. Using formats satisfactory to FTA; project records subject to these requirements include, but are not limited to, records on paper, electronic records, including any emails pertaining to the Project, and records created in other formats, and

(4) Availability of Project Records. Maintaining Project records that are readily accessible for review, and as feasible, keeping them separate from other records not related to the Project,

b. Project Reports. The Recipient agrees to provide to FTA and others if FTA so directs:

(1) All reports required under:

(a) Applicable Federal law or regulation,

(b) The Underlying Agreement or this Master Agreement, or

(c) FTA’s express direction,

(2) Any other reports, whether identified in applicable FTA or Federal guidance, and

- (3) In the number and format as FTA specifies, whether in:
- (a) Electronic formats that comply with:
 - 1 Section 508 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794d, and
 - 2 U.S. Architectural and Transportation Barriers Compliance Board (ATBCB) regulations, “Electronic and Information Technology Accessibility Standards,” 36 C.F.R. part 1194,
 - (b) Typewritten hard copy formats, and
 - (c) Other formats as FTA determines,
- c. National Transit Database (NTD). For each fiscal year the Recipient receives or provides to any public transportation operator funding appropriated or made available under 49 U.S.C. § 5307 or any provision of 49 U.S.C. § 5311 (including the Tribal Transit Program):
- (1) Reporting Requirements. The Recipient agrees to and assures it will require the public transportation operators participating in its Project to:
 - (a) Facilitate compliance with 49 U.S.C. § 5335(a), which authorizes the NTD,
 - (b) Conform to the NTD reporting system and the Uniform System of Accounts and Records,
 - (c) Comply with FTA regulations, “Uniform System of Accounts and Records and Reporting System,” 49 C.F.R. part 630,
 - (d) After FTA promulgates final regulations under the Transit Asset Management Program authorized by 49 U.S.C. § 5326, the Recipient must report information relating to, and the condition of, its public transportation assets, as provided by those regulations,
 - (e) Comply with any other applicable reporting regulations, and
 - (f) Follow FTA guidance, and
 - (2) Voluntary Compliance. FTA encourages any Recipient that is not required to provide information for the NTD, to provide that information voluntarily,
- d. U.S. OMB Special Reporting Provisions.
- (1) Authority. U.S. OMB has issued regulatory guidance in 2 C.F.R. § 25.220 instructing Federal agencies to include special “award terms” as authorized under Federal laws, including:
 - (a) The Federal Funding Accountability and Transparency Act of 2006 (FFATA), Pub. L. 109-282,
 - (b) Section 6202 of the Department of Defense Appropriations Act for Fiscal Year 2008, Pub. L. 110-252, June 30, 2008, which amended the FFATA, and
 - (c) Section 872 of the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009, Pub. L. 110-417, Oct. 14, 2008, which further amended the FFATA,
 - (2) Universal Identifier and Central Contractor Registration. The Recipient agrees to comply with award terms in U.S. OMB guidance, “Universal Identifier and Central Contractor Registration,” 2 C.F.R. part 25, appendix A, which FTA has included in this Master Agreement at the direction of U.S. OMB:
 - (a) Requirement for Central Contractor Registration (CCR). Unless exempted from the CCR as provided by 2 C.F.R. § 25.110, the Recipient agrees:
 - 1 To maintain the currency of its information in the CCR until the later of the:

- a Date it submits its final financial report required under this Master Agreement, or
 - b Date it receives its final Federal payment for the Project, and
 - 2 That it must review and update its information in the CCR:
 - a At least annually after the initial registration, and
 - b More frequently if required by changes in:
 - (i) Its information,
 - (ii) Another provision of an applicable Federal or federally-funded agreement, and
 - (iii) An applicable Federal law or regulation, or U.S. OMB guidance, and
- (b) Requirement for Data Universal Numbering System (DUNS) Numbers. If the Underlying Agreement is intended to be used for subawards, the Recipient agrees to notify each potential Subrecipient and entity that:
 - 1 The potential Subrecipient or entity must provide its DUNS number to the Recipient,
 - 2 The Recipient may not make any subaward to any potential Subrecipient or entity unless that Subrecipient or entity has provided its DUNS number to the Recipient, and
 - 3 No Subrecipient or entity, as defined in section 8.d(4) of this Master Agreement, may receive a subaward through the Underlying Agreement, unless that entity has provided its DUNS number to the Recipient,
- (3) Reporting Subawards and Executive Compensation. The Recipient agrees to comply with the award terms in U.S. OMB guidance, “Reporting Subaward and Executive Compensation Information,” 2 C.F.R. part 170, appendix A, which FTA has included in this Master Agreement at the direction of U.S. OMB:
 - (a) Reporting of First-Tier Subawards.
 - 1 Applicability. The Recipient agrees that when it takes an action that obligates \$25,000 or more in Federal funds for a subaward to an entity:
 - a General Requirement. It must report each such action as provided in section 8.d(3)(b) and (c) of this Master Agreement, but
 - b Exception. It need not report an obligation of \$25,000 or more in Federal funds, if:
 - (i) The Recipient is exempt from U.S. OMB’s Special Reporting Requirements as provided in section 8.d(3)(c)3 of this Master Agreement, or
 - (ii) Funds authorized under the American Recovery and Reinvestment Act of 2009 (Recovery Act), Pub. L. 111-5, § 1512(a)(2), are obligated for the subaward (*see definitions in § 8.d(4) of this Master Agreement*),
 - 2 Where and when to report.
 - a The Recipient agrees to report each obligating action described in section 8.d(3)(a)3 of this Master Agreement to <http://www.fsrcs.gov>, and
 - b The Recipient agrees to report subaward information no later than the end of the month after the month in which the obligation was made, (*for example, if the obligation was made on November 7, 2014, the obligation must be reported by no later than December 31, 2014*), and

- 3 What to report. The Recipient agrees to report the information about each obligating action required by the submission instructions posted at <http://www.usaspending.gov>,
- (b) Reporting Total Compensation of the Recipient's Executives.
- 1 Applicability and what to report. The Recipient agrees to report the total compensation for each of its five highest compensated executives for the preceding completed fiscal year if:
- a The total Federal funding authorized to date for the Underlying Agreement is \$25,000 or more,
- b In its preceding fiscal year, the Recipient:
- (i) Received 80 percent or more of the Recipient's annual gross revenues from Federal procurement contracts (and subcontracts) and Federal funds subject to the Transparency Act, as defined in 2 C.F.R. § 170.320 (and subawards), and
- (ii) Received \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal funds subject to the Transparency Act, Pub. L. 109-282, as defined in 2 C.F.R. § 170.320 (and subawards), and
- c The public does not have access to information about the compensation of the Recipient's executives through periodic reports filed under:
- (i) Section 13(a) of the Securities Exchange Act of 1934, 15 U.S.C. § 78m(a),
- (ii) Section 15(d) of the Securities Exchange Act of 1934, 15 U.S.C. § 78o(d), or
- (iii) Section 6104 of the Internal Revenue Code of 1986, 26 U.S.C. § 6104 (*to determine if the public has access to the compensation information, see the U.S. Securities and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>*), and
- 2 Where and when to report. The Recipient agrees to report executive total compensation described in section 8.d(3)(b)1 of this Master Agreement:
- a As part of the Recipient's registration profile at <http://www.sam.gov>, and
- b By the end of the month after the month in which the Underlying Agreement is executed and annually thereafter, and
- (c) Reporting of Total Compensation of the Subrecipient's Executives.
- 1 What to report. Unless exempt as provided in section 8.d(3)(c)3 of this Master Agreement, the Recipient agrees to report the names and total compensation of each of its first-tier Subrecipient's five highest compensated executives for the Subrecipient's preceding completed fiscal year if:
- a In its preceding fiscal year, the Subrecipient:
- (i) Received 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal funds subject to the Transparency Act, as defined in 2 C.F.R. § 170.320 (and subawards), and
- (ii) Received \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal funds subject to

the Transparency Act (and subawards), as defined in 2 C.F.R. § 170.320, and

- b The public does not have access to information about the compensation of the Subrecipient's executives through periodic reports filed under:
 - (i) Section 13(a) of the Securities Exchange Act of 1934, 15 U.S.C. § 78m(a),
 - (ii) Section 15(d) of the Securities Exchange Act of 1934, 15 U.S.C. § 78o(d), or
 - (iii) Section 6104 of the Internal Revenue Code of 1986, 26 U.S.C. § 6104 (to determine if the public has access to the compensation information, see the U.S. Securities and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>), and

2 Where and when to report. The Recipient agrees to report the Subrecipient's executives' total compensation described in section 8.d(3)(c)1 of this Master Agreement:

- a To FTA and elsewhere as may be determined by the Federal Government, and
- b By the end of the month following the month during which the Recipient makes the subaward (for example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), the Recipient must report any required compensation information about the Subrecipient by November 30 of that year), and

3 Exemptions. Any Recipient that had gross income under \$300,000 from all sources in the previous tax year is exempt from these Federal requirements to report subawards, and the total compensation of the five highest compensated executives of any Subrecipient, and

(4) Definitions. For purposes of section 8.d of this Master Agreement, the Recipient agrees that the following definitions apply:

- (a) Central Contractor Registration (CCR), which is now a part of the System for Awards Management (SAM), means the Federal repository into which an entity must provide information required for the conduct of business as a recipient (additional information about registration procedures may be found at the CCR Internet site: <http://www.sam.gov>),
- (b) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities (you may obtain a DUNS number from D&B by telephone (866-705-5711) or the Internet site <http://fedgov.dnb.com/webform>),
- (c) Entity, as used in this section 8.d of this Master Agreement, and as defined in 2 C.F.R. part 25, subpart C, includes:
 - 1 A governmental organization that is a State, local government, or Indian tribe,
 - 2 A foreign public entity,
 - 3 A domestic or foreign nonprofit organization,
 - 4 A domestic or foreign for-profit organization, or
 - 5 A Federal agency, but only as a Subrecipient under an award or subaward to a non-Federal entity,

- (d) Executive means officers, managing partners, or any other employees in management positions,
- (e) Subaward, as it is used in section 8.d of this Master Agreement:
 - 1 Means a legal instrument that provides support for the performance of any portion of the Project or Program of Projects for which the Recipient awards Federal funds that it received through the Underlying Agreement to an eligible Subrecipient,
 - 2 Does not include the Recipient’s procurement of property and services necessary to carry out its Project or Program, and
 - 3 May be provided through any legal agreement, including an agreement that the Recipient considers to be a contract, when using FTA funds (*See subpart B, § __.210 of U.S OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”*),
- (f) Subrecipient means an entity that receives a subaward from the Recipient through the Underlying Agreement and is accountable to the Recipient for the use of Federal funds provided under the subaward, and
- (g) Total compensation means the cash and noncash dollar value earned by the executive during the Recipient’s or Subrecipient’s preceding fiscal year and includes:
 - 1 Salary,
 - 2 Bonus(es),
 - 3 The value of awards of stock, stock options, and stock appreciation rights, based on the dollar amount recognized for its financial statement reporting purposes that apply to its fiscal year as required for the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments,
 - 4 Earnings for services under non-equity incentive plans (*this does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees*),
 - 5 Change in pension value (*this is the change in present value of defined benefit and actuarial pension plans*),
 - 6 Above-market earnings on deferred compensation that is not tax-qualified, and
 - 7 Any other compensation for the executive, if the aggregate value of all such other compensation (*e.g. severance, termination payments, the value of life insurance paid on behalf of that employee, perquisites, or property*) for the executive exceeds \$10,000, and
- (5) Other Prospective U.S. OMB Reporting Guidance. Proposed guidance, “Recipient Integrity and Performance Matters,” to be published in 2 C.F.R. part 35, contains a mandatory “award term” that would affect the Recipient’s reporting requirements (*for more information, see 17 C.F.R. § 229.402(c)(2)*), and
- e. Project Closeout. The Recipient agrees that closeout of its Project does not alter the record-keeping and reporting requirements of this section 8 of this Master Agreement.

Section 9. Record Retention. The Recipient agrees to all the following:

- a. Types of Records. The Recipient will retain, and will require its Third Party Participants to retain, complete and readily accessible records related in whole or in part to the Project, including:
 - (1) Data,
 - (2) Documents,
 - (3) Reports,
 - (4) Statistics,
 - (5) Subagreements,
 - (6) Leases,
 - (7) Third party contracts,
 - (8) Arrangements,
 - (9) Other third party agreements of any type, and
 - (10) Supporting materials related to those records,

- b. Retention Period. Until U.S. DOT promulgates new regulations that will supersede and apply in lieu of 49 C.F.R. parts 18 and 19, all records listed in section 9.a of this Master Agreement, as provided by 49 C.F.R. § 18.36(i)(11) or 49 C.F.R. § 19.53(b), must be retained from the beginning of the Project, through the course of the Project, until:
 - (1) Three years after the Recipient has submitted its last or final expenditure report, and
 - (2) Other pending matters are closed, and

- c. Project Closeout. All records described in sections 9.a of this Master Agreement must be retained in accordance with section 9.b, even if the Project has been closed out.

Section 10. Access to Records and Sites of Project Performance.

- a. Access to Recipient and Third Party Participant Records. The Recipient agrees to, and assures its Subrecipients will agree to:
 - (1) Provide, and require its Third Party Participants at each tier to provide, sufficient access to inspect and audit records and information pertaining to the Project to the:
 - (a) U.S. Secretary of Transportation or the Secretary's duly authorized representatives,
 - (b) Comptroller General of the United States, and the Comptroller General's duly authorized representatives, and
 - (c) Recipient and its Subrecipients, if any,
 - (2) Permit those individuals listed in section 10.a(1) of this Master Agreement to:
 - (a) Inspect all Project work and materials, and
 - (b) Audit any information related to the Project under the control of the Recipient or Third Party Participant within books, records, accounts, or other locations, and
 - (3) Otherwise comply with:
 - (a) 49 U.S.C. § 5325(g), and
 - (b) 49 C.F.R. § 18.36(i)(10) and 49 C.F.R. § 19.53(e), until U.S. DOT promulgates new regulations that will supersede and apply in lieu of 49 C.F.R. parts 18 and 19,

- b. Access to Sites of Project Performance. The Recipient agrees to permit, and to require its Third Party Participants to permit, Federal awarding agencies, specifically FTA, to make site visits as needed in compliance with 49 C.F.R. § 18.40(e) or 49 C.F.R. § 19.51(g) until U.S. DOT promulgates new regulations that will supersede and apply in lieu of 49 C.F.R. parts 18 and 19,
- c. Project Closeout. Project closeout does not alter the access requirements of this section 10 of this Master Agreement.

Section 11. Project Completion, Audit, Settlement, and Closeout.

- a. Project Completion. Within ninety (90) calendar days after Project completion or termination, the Recipient agrees to submit:
 - (1) Its final Federal Financial Report, either electronically or on Federal Financial Report Standard Form 425 (SF-425),
 - (2) A certification of Project expenses, and
 - (3) The necessary Project audit reports,
- b. Audit of Recipients. Except as the Federal Government determines otherwise in writing, the Recipient acknowledges and agrees that:
 - (1) Audits Required. It will obtain the following audits:
 - (a) Annual “Single Audit.” A financial and compliance audit that:
 - 1 Complies with the Single Audit Act Amendments of 1996, 31 U.S.C. § 7501 *et seq.*,
 - 2 Complies with applicable U.S. DOT “Single Audit” requirements:
 - a 49 C.F.R. § 18.26, if the Recipient is a State, Local, or Indian Tribal Government,
 - b 49 C.F.R. § 19.26, if the Recipient is an institution of higher learning or a private nonprofit entity, or
 - c 2 C.F.R. part 1201, when effective,
 - 3 Follows the guidance of:
 - a U.S. OMB Circular A-133, Revised, “Audits of States, Local Governments, and Non-Profit Organizations,” and
 - b The most recent U.S. OMB A-133 Compliance Supplement for U.S. DOT, and any revision to that Compliance Supplement, and
 - (b) Other Audits. Other audits the Federal Government may require,
 - (2) Auditing Standards. The Recipient understands and agrees as follows:
 - (a) The “Audit Requirements” of 2 C.F.R. part 200, subpart F, apply to FTA and will apply to audits of Recipients as of December 26, 2014, until U.S. DOT promulgates new regulations implementing these U.S. OMB requirements, and
 - (b) It will conform to U.S. Government Accountability Office (U.S. GAO) “Government Auditing Standards” in conducting Project audits, and
 - (3) Costs of Audits. Until U.S. DOT promulgates new regulations that will supersede and apply in lieu of U.S. OMB’s cost principles provided in 49 C.F.R. parts 18 and 19, audit

costs for Project administration and management are allowable as authorized by Federal Cost Principles in 2 C.F.R. part 200,

- c. Amounts Owed to the Federal Government. The Recipient agrees to return to the Federal Government:
 - (1) Any excess Federal payments it receives for disallowed costs,
 - (2) The Federal Government's proportionate part of any amounts it recovers from third parties or other sources, and
 - (3) Any interest assessed, penalties, and administrative charges required under section 7.s(1)(d) – (f) of this Master Agreement, and

- d. Project Closeout. The Recipient agrees that Project closeout:
 - (1) Occurs when FTA notifies the Recipient that the Project is closed, and:
 - (a) Approves the final Federal payment, or
 - (b) Acknowledges receipt of the proper refund,
 - (2) Does not alter its audit responsibilities, and
 - (3) Does not invalidate any continuing requirements of:
 - (a) Applicable Federal law or regulations,
 - (b) The Underlying Agreement or this Master Agreement, or
 - (c) FTA's final notice or acknowledgment of Project closeout.

Section 12. Right of the Federal Government to Terminate. The Recipient agrees that:

- a. Justification. After providing written notice to the Recipient, the Federal Government may suspend, suspend then terminate, or terminate all or any part of the Federal funding awarded for the Project if:
 - (1) The Recipient has violated the Underlying Agreement or this Master Agreement, especially if that violation would endanger substantial performance of the Project,
 - (2) The Recipient has failed to make reasonable progress implementing the Project, or
 - (3) The Federal Government determines that continuing to provide Federal funding for the Project does not adequately serve the purposes of the law authorizing the Project,

- b. Financial Implications.
 - (1) In general, termination of Federal funding for the Project will not invalidate obligations properly incurred before the termination date to the extent the obligations cannot be canceled, but
 - (2) Notwithstanding section 12.b(1) of this Master Agreement above, the Federal Government may:
 - (a) Recover Federal funds it has provided for the Project if it determines that the Recipient has willfully misused Federal funds by:
 - 1 Failing to make adequate progress,
 - 2 Failing to make appropriate use of the Project property, or
 - 3 Failing to comply with the Underlying Agreement or this Master Agreement, and
 - (b) Require the Recipient to refund the entire amount or a lesser amount of Federal funds provided for the Project, as the Federal Government may determine, and

- c. Expiration of Project Time Period. Except for a Full Funding Grant Agreement, expiration of any Project time period established for the Project does not, by itself, constitute an expiration or termination of the Underlying Agreement.

Section 13. Civil Rights.

The Recipient understands and agrees that it must comply with applicable Federal civil rights laws and regulations, and follow applicable Federal guidance, except as the Federal Government determines otherwise in writing. Therefore, unless a Recipient or Program, including an Indian Tribe or the Tribal Transit Program Recipient, is specifically exempted from a civil rights statute, FTA requires compliance with that civil rights statute, including compliance with equity in service,

- a. Nondiscrimination in Federal Public Transportation Programs. The Recipient agrees to comply with and assures that it and each Third Party Participant will:
 - (1) Prohibit discrimination based on:
 - (a) Race,
 - (b) Color,
 - (c) Religion,
 - (d) National origin,
 - (e) Sex,
 - (f) Disability, or
 - (g) Age,
 - (2) Prohibit the:
 - (a) Exclusion from participation in employment or business opportunity for reasons identified in 49 U.S.C. § 5332,
 - (b) Denial of program benefits in employment or business opportunity identified in 49 U.S.C. § 5332, or
 - (c) Discrimination, including discrimination in employment or business opportunity identified in 49 U.S.C. § 5332, and
 - (3) Follow:
 - (a) The most recent edition of FTA Circular 4702.1, “Title VI Requirements and Guidelines for Federal Transit Administration Recipients,” to the extent consistent with applicable Federal laws, regulations, and guidance, and
 - (b) Other applicable Federal guidance that may be issued, but
 - (c) FTA does not require an Indian Tribe to comply with FTA program-specific guidelines for Title VI when administering its projects funded under the Tribal Transit Program,
- b. Nondiscrimination – Title VI of the Civil Rights Act. The Recipient agrees to, and assures that each Third Party Participant will:
 - (1) Prohibit discrimination based on:
 - (a) Race,
 - (b) Color, or
 - (c) National origin,

- (2) Comply with:
 - (a) Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000d *et seq.*,
 - (b) 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 C.F.R. part 21, and
 - (c) Federal transit law, specifically 49 U.S.C. § 5332, as provided in section 13.a of this Master Agreement, and
- (3) Follow:
 - (a) The most recent edition of FTA Circular 4702.1, “Title VI Requirements and Guidelines for Federal Transit Administration Recipients,” to the extent consistent with applicable Federal laws, regulations, and guidance,
 - (b) U.S. DOJ, “Guidelines for the enforcement of Title VI, Civil Rights Act of 1964,” 28 C.F.R. § 50.3, and
 - (c) All other applicable Federal guidance that may be issued,

c. Equal Employment Opportunity.

- (1) Federal Requirements and Guidance. The Recipient agrees to prohibit, and assures that each Third Party Participant will prohibit, discrimination on the basis of race, color, religion, sex, or national origin, and:
 - (a) Comply with Title VII of the Civil Rights Act of 1964, as amended, 42 U.S.C. § 2000e *et seq.*,
 - (b) Facilitate compliance with Executive Order 11246, “Equal Employment Opportunity,” as amended by Executive Order 11375, “Amending Executive Order 11246, Relating to Equal Employment Opportunity,” 42 U.S.C. § 2000e note, and as further amended by Executive Order 13672, “Further Amendments to Executive Order 11478, Equal Employment Opportunity in the Federal Government, and Executive Order 11246, Equal Employment Opportunity,” July 21, 2014,
 - (c) Comply with Federal transit law, specifically 49 U.S.C. § 5332, as provided in section 13.a of this Master Agreement, and
 - (d) Follow Federal guidance pertaining to Equal Employment Opportunity laws and regulations, and prohibitions against discrimination on the basis of disability,
- (2) Specifics. The Recipient agrees:
 - (a) Prohibited Discrimination. As provided by Executive Order 11246, as amended, and as specified by U.S. Department of Labor regulations, to ensure that applicants for employment are employed and employees are treated during employment without discrimination on the basis of their:
 - 1 Race,
 - 2 Color,
 - 3 Religion,
 - 4 National origin,
 - 5 Disability,
 - 6 Age,
 - 7 Sexual origin,
 - 8 Gender identity, or
 - 9 Status as a parent, and

- (b) Affirmative Action. Take affirmative action that includes, but is not limited to:
 - 1 Recruitment advertising, recruitment, and employment,
 - 2 Rates of pay and other forms of compensation,
 - 3 Selection for training, including apprenticeship, and upgrading, and
 - 4 Transfers, demotions, layoffs, and terminations, but
- (c) Indian Tribe. Title VII of the Civil Rights Act of 1964, as amended, exempts Indian Tribes under the definition of “Employer,” and
- (3) Equal Employment Opportunity Requirements for Construction Activities. In addition to the foregoing, when undertaking “construction” as recognized by the U.S. Department of Labor (U.S. DOL), the Recipient agrees to comply, and assures that each Third Party Participant will comply, with:
 - (a) U.S. DOL regulations, “Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor,” 41 C.F.R. chapter 60, and
 - (b) Executive Order 11246, “Equal Employment Opportunity,” as amended by Executive Order 11375, “Amending Executive Order 11246, Relating to Equal Employment Opportunity,” 42 U.S.C. § 2000e note,
- d. Disadvantaged Business Enterprise. To the extent authorized by applicable Federal law and regulation, the Recipient agrees to facilitate, and assures that each Third Party Participant will facilitate, participation by small business concerns owned and controlled by socially and economically disadvantaged individuals, also referred to as “Disadvantaged Business Enterprises” (DBEs), in the Project as follows:
 - (1) Statutory and Regulatory Requirements. The Recipient agrees to comply with:
 - (a) Section 1101(b) of MAP-21, 23 U.S.C. § 101 note,
 - (b) U.S. DOT regulations, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs,” 49 C.F.R. part 26, and
 - (c) Federal transit law, specifically 49 U.S.C. § 5332, as provided in section 13.a of this Master Agreement,
 - (2) DBE Program Requirements. A Recipient that receives planning, capital and/or operating assistance and that will award prime third party contracts exceeding \$250,000 in a Federal fiscal year must:
 - (a) Have a DBE program meeting the requirements of 49 C.F.R. part 26,
 - (b) Implement a DBE program approved by FTA, and
 - (c) Establish an annual DBE participation goal,
 - (3) Special Requirements for a Transit Vehicle Manufacturer. The Recipient understands and agrees that each transit vehicle manufacturer, as a condition of being authorized to bid or propose on FTA-funded transit vehicle procurements, must certify that it has complied with the requirements of 49 C.F.R. part 26,
 - (4) Assurance. As required by 49 C.F.R. § 26.13(a), the Recipient agrees and assures that:
 - (a) It must not discriminate on the basis of race, color, national origin, or sex in:
 - 1 The award and performance of any FTA or U.S. DOT-funded contract, or
 - 2 The administration of its DBE program or the requirements of 49 C.F.R. part 26,
 - (b) It must take all necessary and reasonable steps under 49 C.F.R. part 26 to ensure nondiscrimination in the award and administration of U.S. DOT-

- funded contracts,
 - (c) Its DBE program, as required under 49 C.F.R. part 26 and as approved by U.S. DOT, is incorporated by reference and made part of its Underlying Agreement, and
 - (d) Implementation of its DBE program approved by U.S. DOT is a legal obligation and failure to carry out its terms shall be treated as a violation of this Master Agreement, and
 - (5) Upon notification to the Recipient of its failure to carry out its approved program, FTA or U.S. DOT may:
 - (a) Impose sanctions as provided for under 49 C.F.R. part 26, and
 - (b) In appropriate cases, refer the matter for enforcement under either or both:
 - 1 18 U.S.C. § 1001, and
 - 2 The Program Fraud Civil Remedies Act of 1986, 31 U.S.C. § 3801 *et seq.*, but
 - (6) Exception for the Tribal Transit Program. FTA exempts Indian tribes from the U.S. DOT regulations, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs,” 49 C.F.R. part 26,
- e. Nondiscrimination on the Basis of Sex. The Recipient agrees to comply with Federal prohibitions against discrimination on the basis of sex, including:
- (1) Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. § 1681 *et seq.*,
 - (2) U.S. DOT regulations, “Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance,” 49 C.F.R. part 25, and
 - (3) Federal transit law, specifically 49 U.S.C. § 5332, as provided in section 13.a of this Master Agreement,
- f. Nondiscrimination on the Basis of Age. The Recipient agrees to comply with Federal prohibitions against discrimination on the basis of age, including:
- (1) The Age Discrimination in Employment Act, 29 U.S.C. §§ 621 – 634, which prohibits discrimination on the basis of age,
 - (2) U.S. Equal Employment Opportunity Commission (U.S. EEOC) regulations, “Age Discrimination in Employment Act,” 29 C.F.R. part 1625, which implements the Age Discrimination in Employment Act,
 - (3) The Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6101 *et seq.*, which prohibits discrimination against individuals on the basis of age in the administration of programs or activities receiving Federal funds,
 - (4) U.S. Health and Human Services regulations, “Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance,” 45 C.F.R. part 90, which implements the Age Discrimination Act of 1975, and
 - (5) Federal transit law, specifically 49 U.S.C. § 5332, as provided in section 13.a of this Master Agreement,
- g. Nondiscrimination on the Basis of Disability. The Recipient agrees to comply with the following Federal prohibitions against discrimination on the basis of disability:
- (1) Federal laws, including:
 - (a) Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794, which prohibits discrimination on the basis of disability in the administration of federally

- funded programs or activities,
- (b) 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:
 - 1 For FTA Recipients generally, Titles I, II, and III of the ADA apply, but
 - 2 For Indian Tribes, Titles II and III of the ADA apply, but Title I of the ADA does not apply because it exempts Indian Tribes from the definition of “employer,”
- (c) 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,
- (d) Federal transit law, specifically 49 U.S.C. § 5332, which now includes disability as a prohibited basis for discrimination, and
- (e) Other applicable laws and amendments pertaining to access for seniors or individuals with disabilities,
- (2) Federal regulations, including:
 - (a) U.S. DOT regulations, “Transportation Services for Individuals with Disabilities (ADA),” 49 C.F.R. part 37,
 - (b) U.S. DOT regulations, “Nondiscrimination on the Basis of Disability in Programs and Activities Receiving or Benefiting from Federal Financial Assistance,” 49 C.F.R. part 27,
 - (c) U.S. DOT regulations, “Transportation for Individuals with Disabilities: Passenger Vessels,” 49 C.F.R. part 39,
 - (d) Joint U.S. Architectural and Transportation Barriers Compliance Board (U.S. ATBCB) and U.S. DOT regulations, “Americans With Disabilities (ADA) Accessibility Specifications for Transportation Vehicles,” 36 C.F.R. part 1192 and 49 C.F.R. part 38,
 - (e) U.S. DOJ regulations, “Nondiscrimination on the Basis of Disability in State and Local Government Services,” 28 C.F.R. part 35,
 - (f) U.S. DOJ regulations, “Nondiscrimination on the Basis of Disability by Public Accommodations and in Commercial Facilities,” 28 C.F.R. part 36,
 - (g) U.S. EEOC, “Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act,” 29 C.F.R. part 1630,
 - (h) U.S. Federal Communications Commission regulations, “Telecommunications Relay Services and Related Customer Premises Equipment for Persons with Disabilities,” 47 C.F.R. part 64, Subpart F,
 - (i) U.S. ATBCB regulations, “Electronic and Information Technology Accessibility Standards,” 36 C.F.R. part 1194, and
 - (j) FTA regulations, “Transportation for Elderly and Handicapped Persons,” 49 C.F.R. part 609, and
- (3) Other applicable Federal civil rights and nondiscrimination guidance,
- h. Drug or Alcohol Abuse - Confidentiality and Other Civil Rights Protections. The Recipient agrees to comply with the confidentiality and civil rights protections of:
 - (1) The Drug Abuse Office and Treatment Act of 1972, as amended, 21 U.S.C. § 1101 *et seq.*,
 - (2) The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and

Rehabilitation Act of 1970, as amended, 42 U.S.C. § 4541 *et seq.*, and
(3) The Public Health Service Act, as amended, 42 U.S.C. §§ 290dd – 290dd-2,

- i. Access to Services for People with Limited English Proficiency. The Recipient agrees to promote accessibility of public transportation services to people with limited understanding of English by following:
 - (1) Executive Order 13166, “Improving Access to Services for Persons with Limited English Proficiency,” August 11, 2000, 42 U.S.C. § 2000d-1 note, and
 - (2) U.S. DOT Notice, “DOT Policy Guidance Concerning Recipients’ Responsibilities to Limited English Proficiency (LEP) Persons,” 70 *Fed. Reg.* 74087, December 14, 2005,
- j. Other Nondiscrimination Laws and Regulations. The Recipient agrees to:
 - (1) Comply with other applicable Federal nondiscrimination laws and regulations, and
 - (2) Follow Federal guidance prohibiting discrimination, and
- k. Remedies. Remedies for failure to comply with applicable Federal Civil Rights laws and regulations may be enforced as provided in those Federal laws or regulations.

Section 14. Planning. Except as FTA determines otherwise in writing:

- a. Standard Planning Provisions. The Recipient understands and agrees to the following:
 - (1) Planning Requirements and Guidance. To assure that its Project is consistent with the Planning requirements that apply, the Recipient agrees to:
 - (a) Comply with the Metropolitan planning requirements of:
 - 1 49 U.S.C. § 5303, as amended by MAP-21, and
 - 2 Joint FHWA and FTA regulations, “Planning and Assistance Standards” (for Metropolitan Transportation Planning and Programming), 23 C.F.R. part 450 and 49 C.F.R. part 613, to the extent those regulations are consistent with the metropolitan planning requirements of 49 U.S.C. § 5303, as amended by MAP-21,
 - (b) Comply with the Statewide and nonmetropolitan planning requirements of:
 - 1 49 U.S.C. § 5304, as amended by MAP-21, and
 - 2 Joint FHWA and FTA regulations, “Planning and Assistance Standards” (for Statewide Transportation Planning and Programming), 23 C.F.R. part 450 and 49 C.F.R. part 613, to the extent those regulations are consistent with the State planning requirements of 49 U.S.C. § 5304, as amended by MAP-21, and
 - (c) Follow, except as FTA determines otherwise in writing:
 - 1 FTA “Policy Guidance on Metropolitan Planning Organization (MPO) Representation,” 79 *Fed. Reg.* 31214, June 2, 2014,
 - 2 Any applicable guidance FTA adopts to implement the MAP-21 amendments to 49 U.S.C. §§ 5303 or 5304 that may add performance-based planning and other planning changes, when issued,
 - 3 Applicable guidance FTA adopts to implement the MAP-21 amendments to the joint FHWA/FTA regulations, “Planning and Assistance Standards,” 23 C.F.R. part 450 and 49 C.F.R. part 613, and

- 4 Other applicable Federal guidance, and
- (2) Participation of State or Local Governmental and Private Nonprofit Providers of Nonemergency Transportation. The Recipient agrees to comply with 49 U.S.C. § 5323(k) by assuring that it will, as feasible:
 - (a) Provide the opportunity to:
 - 1 Participate and coordinate with the Recipient in the design and the delivery of FTA-funded transportation services, and
 - 2 Be included in planning for the Recipient’s FTA-funded transportation services, and
 - (b) Make that opportunity available to federally-funded State or local governmental agencies and nonprofit organizations that:
 - 1 Receive funds for nonemergency transportation, but
 - 2 Do not receive funds for nonemergency transportation from U.S. DOT, and
- b. Tribal Transit Program Planning Provisions. The Indian Tribe agrees that:
 - (1) Planning Requirements. Its Projects that use of Tribal Transit Program funding:
 - (a) Will be consistent with its documents, including any formal plan provided to FTA in support of the development and basis of its Tribal Transit Project, and
 - (b) Are or will be coordinated with transportation service funded by other Federal sources to the maximum extent feasible, and
 - (2) Participation of State or Local Governmental and Nonprofit Providers of Nonemergency Transportation. The Indian Tribe agrees to comply with 49 U.S.C. § 5323(k) by:
 - (a) Assuring, as feasible, the opportunity to:
 - 1 Participate and coordinate with the Indian Tribe in the design and delivery of FTA-funded transportation services, and
 - 2 Be included in planning for the Indian Tribe’s FTA-funded transportation services, and
 - (b) Make that opportunity available to federally-funded State or local governmental agencies and nonprofit organizations that:
 - 1 Receive funds for nonemergency transportation, but
 - 2 Do not receive funds for nonemergency transportation from U.S. DOT.

Section 15. Private Enterprise. The Recipient agrees to protect the interests of private enterprise affected by Federal public transportation programs by:

- a. Participation. Encouraging private enterprise to participate in the planning of public transportation and the programs that provide public transportation, to the extent permitted under 49 U.S.C. § 5306,
- b. Just Compensation. Providing just compensation for the Project property acquired, including the franchises of private providers of public transportation, as required under 49 U.S.C. § 5323(a)(1)(C), and
- c. Infrastructure Investment. Except as FTA determines otherwise in writing, following the infrastructure investment recommendations of:

- (1) Executive Order 12803, “Infrastructure Privatization,” 31 U.S.C. § 501 note, and
- (2) Executive Order 12893, “Principles for Federal Infrastructure Investments,” 31 U.S.C. § 501 note.

Section 16. Preference for United States Products and Services.

Except as the Federal Government determines otherwise in writing, the Recipient agrees to comply with FTA’s U.S. domestic preference requirements and follow Federal guidance, including:

- a. Buy America. Domestic preference procurement requirements of:
 - (1) 49 U.S.C. § 5323(j), as amended by MAP-21, and
 - (2) FTA regulations, “Buy America Requirements,” 49 C.F.R. part 661, to the extent consistent with MAP-21,
- b. Cargo Preference – Use of United States-Flag Vessels. Shipping requirements of:
 - (1) 46 U.S.C. § 55305, and
 - (2) U.S. Maritime Administration regulations, “Cargo Preference - U.S.-Flag Vessels,” 46 C.F.R. part 381, and
- c. Fly America. Air transportation requirements of:
 - (1) Section 5 of the International Air Transportation Fair Competitive Practices Act of 1974, as amended, 49 U.S.C. § 40118, and
 - (2) U.S. General Services Administration (U.S. GSA) regulations, “Use of United States Flag Air Carriers,” 41 C.F.R. §§ 301-10.131 – 301-10.143.

Section 17. Procurement. The Recipient agrees that it will not use FTA funds for third party procurements unless there is satisfactory compliance with Federal requirements. Therefore, except as FTA determines otherwise in writing:

- a. Federal Laws, Regulations, and Guidance. The Recipient agrees:
 - (1) To comply with the requirements of 49 U.S.C. chapter 53 and other applicable Federal laws and regulations in effect now or later that affect its third party procurements,
 - (2) The following U.S. DOT requirements will apply to the Recipient and its Project:
 - (a) 49 C.F.R. § 18.36, if the Recipient is a State, Local, or Indian Tribal Government,
 - (b) 49 C.F.R. §§ 19.40 – 19.48, if the Recipient is an institution of higher learning or a private nonprofit entity, or
 - (c) Applicable provisions of 2 C.F.R part 1201, when effective,
 - (3) To follow the most recent edition and any revisions of FTA Circular 4220.1, “Third Party Contracting Guidance,” to the extent consistent with applicable Federal laws, regulations, and guidance, and
 - (4) That although the FTA “Best Practices Procurement Manual” may provide some additional third party contracting guidance, that Manual may lack the necessary information for compliance with certain Federal requirements that apply to specific third party contracts at this time,

- b. Full and Open Competition. The Recipient agrees to conduct all its third party procurements using full and open competition as provided in 49 U.S.C. § 5325(a), and as determined by FTA,
- c. Exclusionary or Discriminatory Specifications. The Recipient agrees that it will not use any FTA Project funds for any procurement based on exclusionary or discriminatory specifications, as provided by 49 U.S.C. § 5325(h), unless authorized by other applicable Federal laws or regulations,
- d. Geographic Restrictions. The Recipient agrees that it will not use any State or local geographic preference, except:
 - (1) A preference expressly mandated by applicable Federal law, or
 - (2) A preference permitted by FTA; *for example*, a contractor's geographic location may be a selection criterion for a Recipient that is procuring architectural engineering or related services, provided that a sufficient number of qualified firms are eligible to compete for that contract,
- e. In-State Bus Dealer Restrictions. The Recipient agrees that any State law requiring buses to be purchased through in-State dealers will not apply to purchases of vehicles supported with funding made available or appropriated for 49 U.S.C. chapter 53, as provided under 49 U.S.C. § 5325(i),
- f. Organizational Conflicts of Interest. The Recipient agrees that it will not enter into a procurement that involves a real or apparent organizational conflict of interest described as follows:
 - (1) When It Occurs. An organizational conflict of interest occurs when the Project work, without appropriate restrictions on certain future activities, results in an unfair competitive advantage:
 - (a) To that Third Party Participant or another Third Party Participant performing the Project work, and
 - (b) That impairs that Third Party Participant's objectivity in performing the Project work, or
 - (2) Other. An organizational conflict of interest may involve other situations resulting in fundamentally unfair competitive conditions,
- g. Project Labor Agreements. As a condition of contract award, the Recipient may require a Third Party Contractor or Subcontractor to have an affiliation with a labor organization, such as a project labor agreement, consistent with Executive Order 13502, "Use of Project Labor Agreements for Federal Construction Projects," February 6, 2009, 41 U.S.C. chapter 39, Refs. & Annos.,
- h. U.S. GSA Federal Supply Schedules. The Recipient agrees that:
 - (1) Federal restrictions apply to the use of U.S. GSA Federal Supply Schedules by a State, local government, or nonprofit entity, and
 - (2) If it is a State, local government, or nonprofit entity, it may not use U.S. GSA Federal

Supply Schedules to acquire federally funded property or services, except as permitted by:

- (a) Applicable Federal law, regulations, or guidance, or
- (b) Applicable determinations issued by U.S. GSA, U.S. DOT, FTA, or another authorized Federal department or agency,

i. State Supply Schedules. The Recipient agrees that:

(1) Permissions. It may use a State Supply Schedule, as defined in section 1.z of this Master Agreement only if:

- (a) That Supply Schedule has been established by the State in which the Recipient is located,
- (b) The State permits the Recipient to use its State Supply Schedule, and
- (c) That State Supply Schedule includes all required Federal clauses and certifications in the contract documents when FTA funding will be used to support the third party procurement, and

(2) Prohibitions. It may not use:

- (a) A State Supply Schedule established by a State in which the Recipient is not located, or
- (b) A Supply Schedule that:
 - 1 Has been established by entities that are not a State, whether they are located entirely within or partially within the State, and
 - 2 Has not been formally adopted by the State as a Supply Schedule,

j. Force Account. The Recipient agrees:

- (1) To develop a Force Account Plan under which it will perform work with its own labor forces when the total cost of that work exceeds \$100,000 for implementing a capital project,
- (2) To seek FTA approval of the Force Account Plan for workforce costs exceeding \$10,000,000 on a project prior to incurring costs, and
- (3) To comply with applicable Federal laws, regulations, and guidance,

k. FTA Technical Review. The Recipient agrees that FTA may review and approve the Recipient's technical specifications and requirements as FTA believes necessary to ensure proper Project administration,

l. Relationship of Project Approval to Third Party Contract Approval. The Recipient agrees that FTA's award of Federal funds for the Project does not, by itself, constitute approval of any non-competitive third party contract associated with the Project, unless FTA indicates otherwise in writing.

m. Preference for Recycled Products. The Recipient agrees to provide a competitive preference for those products and services that conserve natural resources, protect the environment, and are energy efficient by complying with and facilitating compliance with:

- (1) Section 6002 of the Resource Conservation and Recovery Act, as amended, 42 U.S.C. § 6962, and
- (2) U.S. Environmental Protection Agency (U.S. EPA), "Comprehensive Procurement Guideline for Products Containing Recovered Materials," 40 C.F.R. part 247,

- n. Clean Air and Clean Water. The Recipient agrees to include adequate provisions in each third party agreement exceeding \$100,000 to ensure that each Third Party Participant will agree to the following:
- (1) It will not use any violating facilities,
 - (2) It will report the use of facilities placed on or likely to be placed on the U.S. EPA “List of Violating Facilities,”
 - (3) It will report violations of use of prohibited facilities to FTA and the Regional U.S. EPA Office, and
 - (4) It will comply with the inspection and other requirements of:
 - (a) Section 306 of the Clean Air Act, as amended, 42 U.S.C. § 7606, and other requirements of the Clean Air Act, as amended, 42 U.S.C. §§ 7401 – 7671q, and
 - (b) Section 508 of the Clean Water Act, as amended, 33 U.S.C. § 1368, and other requirements of the Clean Water Act, as amended, 33 U.S.C. §§ 1251 – 1377,
- o. National Intelligent Transportation Systems Architecture and Standards. The Recipient agrees to:
- (1) Conform to the National Intelligent Transportation Systems (ITS) Architecture requirements of 23 U.S.C. § 517(d), as amended by MAP-21, unless it obtains an exemption from those requirements, and
 - (2) Follow:
 - (a) FTA Notice, “FTA National ITS Architecture Policy on Transit Projects,” 66 *Fed. Reg.* 1455, January 8, 2001, and
 - (b) All other applicable Federal guidance,
- p. Rolling Stock. The Recipient agrees that:
- (1) Basis for Award. In compliance with 49 U.S.C. § 5325(f), each third party contract award for rolling stock will be based on any of the following factors:
 - (a) Initial capital costs,
 - (b) Performance, standardization, life cycle costs, and other relevant factors, or
 - (c) Another competitive procurement process,
 - (2) Multi-year Options. Funds authorized by 49 U.S.C. chapter 53 may be used to finance options to purchase additional rolling stock or replacement parts, only if:
 - (a) Bus Procurements. An option to purchase additional buses does not exceed five (5) years, as limited by 49 U.S.C. § 5325(e), and
 - (b) Rail Procurements. An option to purchase additional railcars or replacement parts, as limited under 49 U.S.C. § 5325(e)(1)(B), as amended by MAP-21:
 - 1 Does not exceed seven (7) years, and
 - 2 Does not allow for significant changes or alterations to the rolling stock,
 - (3) Pre-award and Post Delivery Requirements. Except for Projects using funds appropriated or made available for any Tribal Transit Program, it will conduct the pre-award and post-delivery reviews as required under:
 - (a) Federal transit law, specifically 49 U.S.C. § 5323(m), and
 - (b) FTA regulations, “Pre-Award and Post-Delivery Audits of Rolling Stock Purchases,” 49 C.F.R. part 663, and
 - (4) Bus Testing. It will complete the bus testing required under:

- (a) Federal transit law, specifically 49 U.S.C. § 5318(e), as amended by MAP-21, and
 - (b) FTA regulations, “Bus Testing,” 49 C.F.R. part 665, to the extent they are consistent with 49 U.S.C. § 5318(e), as amended by MAP-21,
- q. Bonding. The Recipient agrees to comply with the following bonding requirements and restrictions as provided in Federal regulations and guidance:
- (1) Construction. As provided by Federal regulations and modified by FTA guidance, for Project activities involving construction, it will provide:
 - (a) Bid guarantee bonds,
 - (b) Contract performance bonds, and
 - (c) Payment bonds, and
 - (2) Activities Not Involving Construction. For Project activities not involving construction:
 - (a) It will not impose excessive bonding, and
 - (b) It will follow FTA guidance,
- r. Architectural Engineering or Related Services. When procuring architectural engineering or related services supported with funds made available or appropriated for 49 U.S.C. chapter 53 or provided under any other law requiring the Project to be administered under 49 U.S.C. chapter 53, the Recipient agrees that it will comply, and assures its Subrecipients will comply, with 49 U.S.C. § 5325(b) as follows:
- (1) The Recipient and its Subcontractors at any tier:
 - (a) Will negotiate for those services in the same manner as a contract for those services negotiated under chapter 11 of Title 40, United States Code, or
 - (b) Will comply with an equivalent State qualifications-based requirement for contracting for those services, if the State has adopted that type of law before August 10, 2005,
 - (2) Upon awarding a contract for architectural engineering or related services, the Recipient and its Subcontractors at any tier:
 - (a) Will use the FAR cost principles of 48 C.F.R. part 31 when carrying out and auditing its third party contracts or subcontracts,
 - (b) Will accept the indirect cost rates established by a cognizant Federal or State government agency consistent with FAR requirements that apply for one-year accounting periods, if those rates are not currently under dispute,
 - (c) Will use indirect cost rates accepted by a cognizant Federal or State government agency for contract or subcontract:
 - 1 Estimation,
 - 2 Negotiation,
 - 3 Administration,
 - 4 Reporting, and
 - 5 Payment without limitation by administrative or de facto ceilings, and
 - (d) As required under 49 U.S.C. § 5325(b)(2)(D), together with the members of any group of entities sharing indirect cost or rate data described in section 17.r(2)(c) of this Master Agreement, the Recipient agrees that it:
 - 1 Will notify any affected firm before requesting or using accepted indirect cost or rate data,
 - 2 Will maintain the confidentiality of that indirect cost or rate data, and assure that

the indirect cost or rate data is not accessible or provided to others, and
3 Will not disclose that cost or rate data under any circumstances if prohibited by 49 U.S.C. § 5325(b) or other applicable law,

- s. Design-Build Projects. As provided by 49 U.S.C. § 5325(d)(2), the Recipient may use a design-build procurement to carry out its Project, provided that it:
 - (1) Complies with applicable Federal laws and regulations, and
 - (2) Follows Federal guidance,
- t. Award to Other than the Lowest Bidder. As permitted under 49 U.S.C. § 5325(c), the Recipient may award a third party contract to other than the lowest bidder, if that award furthers an objective (for example, improved long-term operating efficiency and lower long-term Project costs) consistent with the purposes of 49 U.S.C. chapter 53 and any implementing Federal regulations or guidance that FTA may issue,
- u. Award to Responsible Contractors. The Recipient agrees that:
 - (1) Capability. It will award third party contracts only to contractors able to carry out the procurement successfully, as provided by 49 U.S.C. § 5325(j), and
 - (2) Criteria. Before awarding a third party contract, it will consider the proposed contractor's:
 - (a) Integrity,
 - (b) Compliance with public policy,
 - (c) Past performance, and
 - (d) Financial and technical resources,
- v. Access to Third Party Contract Records. The Recipient agrees to require, and assures that its Subrecipients will require its Third Party Contractors at each tier to provide:
 - (1) The U.S. Secretary of Transportation and the Comptroller General of the United States, the State, or their duly authorized representatives, access to all third party contract records (at any tier) as required under 49 U.S.C. § 5325(g), and
 - (2) Sufficient access to all third party contract records (at any tier) as needed for compliance with applicable Federal laws and regulations or to assure proper Project management as determined by FTA,
- w. Electronic and Information Technology. The Recipient agrees that reports or information it provides to or on behalf of the Federal Government will use electronic or information technology that complies with the accessibility requirements of:
 - (1) Section 508 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794d, and
 - (2) U.S. ATBCB regulations, "Electronic and Information Technology Accessibility Standards," 36 C.F.R. part 1194, and
- x. Veterans Employment. As provided by 49 U.S.C. § 5325(k), to the extent practicable, the Recipient agrees and assures that its Subrecipients:
 - (1) Will give a hiring preference to veterans, as defined in 5 U.S.C. § 2108, who have the skills and abilities required to perform construction work required under a third party contract in connection with a capital project supported with funds made available or

- appropriated for 49 U.S.C. chapter 53, and
- (2) Will not require an employer to give a preference to any veteran over any equally qualified applicant who is a member of any racial or ethnic minority, female, an individual with a disability, or a former employee.

Section 18. Leases. The Recipient agrees as follows:

- a. Capital Leases. It will comply with FTA regulations, “Capital Leases,” 49 C.F.R. part 639, and
- b. Leases Involving Certificates of Participation. It will obtain FTA approval in writing before entering into any FTA-funded leasing arrangement involving certificates of participation or any other type of innovative financing arrangements.

Section 19. Patent Rights.

- a. General. The Recipient agrees that:
 - (1) Depending on the nature of the Project, the Federal Government may acquire patent rights when the Recipient 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 or reduced to practice under the Project, or
 - (3) When a patent is issued or patented information becomes available as described in the preceding section 19.a(2) of this Master Agreement, the Recipient will:
 - (a) Notify FTA immediately, and
 - (b) Provide a detailed report satisfactory to FTA,
- b. Federal Rights. The Recipient agrees that:
 - (1) Its rights and responsibilities, and each Third Party Participant’s rights and responsibilities, in that federally funded invention, improvement, or discovery will be determined as provided by applicable Federal laws, regulations, and guidance, including any waiver thereof, and
 - (2) Unless the Federal Government determines otherwise in writing, irrespective of the its status or the status 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 will transmit the Federal Government’s patent rights to FTA, as specified in:
 - (a) 35 U.S.C. § 200 *et seq.*, and
 - (b) 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, and
- c. License Fees and Royalties. Except as FTA determines otherwise in writing, and
 - (1) Consistent with 49 C.F.R. parts 18 and 19:

- (a) FTA considers income earned from license fees and royalties for patents, patent applications, and inventions produced under the Project to be program income, and
- (b) Except to the extent FTA determines otherwise in writing, the Recipient has no obligation to the Federal Government with respect to that program income, apart from compliance with 35 U.S.C. §§ 200 *et seq.*, which applies to patent rights developed under a research project, and
- (2) When the applicable provisions of 2 C.F.R. part 1201 become effective, the provisions of section 19.c(1) of this Master Agreement above will no longer be in effect.

Section 20. Rights in Data and Copyrights.

a. Definition of “Subject Data.” As used in this section 20 of this Master Agreement, “subject data” means recorded information:

- (1) Whether or not copyrighted, and
- (2) That is delivered or specified to be delivered under the Underlying Agreement or this Master Agreement,

b. Examples of “Subject Data.” Examples of “subject data”:

- (1) Include, but are not limited to:
 - (a) Computer software,
 - (b) Standards,
 - (c) Specifications,
 - (d) Engineering drawings and associated lists,
 - (e) Process sheets,
 - (f) Manuals,
 - (g) Technical reports,
 - (h) Catalog item identifications, and
 - (i) Related information, but
- (2) Do not include:
 - (a) Financial reports,
 - (b) Cost analyses, or
 - (c) Other similar information used for Project performance or administration,

c. General Federal Restrictions. The following restrictions apply to all subject data first produced in the performance of the Recipient’s Project supported by the Underlying Agreement:

- (1) Prohibitions. The Recipient may not:
 - (a) Publish or reproduce any subject data, in whole, in part, or in any manner or form, or
 - (b) Permit others to do so, but
- (2) Exceptions. The prohibitions of the preceding section 20.c(1) of this Master Agreement do not apply to:
 - (a) Publications or reproductions for the Recipient’s own internal use,
 - (b) An institution of higher learning,
 - (c) The portion of subject data that the Federal Government has previously released or approved for release to the public, or

- (d) The portion of data that has the Federal Government's prior written consent for release,
- d. Federal Rights in Data and Copyrights. The Recipient agrees that:
- (1) License Rights. It must provide a license to its "subject data" to the Federal Government that is:
 - (a) Royalty-free,
 - (b) Non-exclusive, and
 - (c) Irrevocable, and
 - (2) Uses. The Federal Government's license must permit the Federal Government to take the following actions provided those actions are taken for Federal Government purposes:
 - (a) Reproduce, publish, or otherwise use the subject data, and
 - (b) Permit other entities or individuals to use the subject data,
- e. Special Federal Rights in Data for Research, Development, Demonstration, Deployment, and Special Studies Projects. In general, FTA's purpose in providing Federal funds for a research, development, demonstration, deployment, 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 a Project of these types 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:
 - (a) FTA's copyright license to the subject data, and
 - (b) A copy of the subject data, except as the Federal Government 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, but
 - (6) Exception. This section 20.e of this Master Agreement does not apply to an adaptation of automatic data processing equipment or program that is both:
 - (a) For the Recipient's use, and
 - (b) Acquired with FTA capital program funding,
- f. License Fees and Royalties. Except as FTA determines otherwise in writing, and
- (1) Consistent with 49 C.F.R. parts 18 and 19:
 - (a) FTA considers income earned from license fees and royalties for patents, patent applications, and inventions produced under the Project to be program income, and
 - (b) Except to the extent FTA determines otherwise in writing, the Recipient has no obligation to the Federal Government with respect to that program income, apart from compliance with 35 U.S.C. §§ 200 *et seq.*, which applies to patent rights developed under a research project, and

- (2) When the applicable provisions of 2 C.F.R. part 1201 become effective, the provisions of section 20.f(1) of this Master Agreement above will no longer be in effect.
- g. Hold Harmless. Upon request by the Federal Government, the Recipient agrees that:
- (1) Violation by the Recipient.
- (a) If it willfully or intentionally violates any:
- 1 Proprietary rights,
 - 2 Copyrights, or
 - 3 Right of privacy, and
- (b) If its violation under section 20.g(1)(a) of this Master Agreement occurs from any of the following uses of Project data:
- 1 Publication,
 - 2 Translation,
 - 3 Reproduction,
 - 4 Delivery,
 - 5 Use, or
 - 6 Disposition, then
- (c) It will indemnify, save, and hold harmless against any liability, including costs and expenses of the Federal Government's officers, employees, and agents acting within the scope of their official duties, but
- (2) Exceptions. It will not be required to indemnify the Federal Government for any liability described in section 20.g(1) of this Master Agreement if:
- (a) Violation by Federal Officers, Employees or Agents. The violation is caused by the wrongful acts of Federal employees or agents, or
- (b) State law. If indemnification is prohibited or limited by applicable State law,
- h. Restrictions on Access to Patent Rights. Nothing in this section 20 of this Master Agreement 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,
- i. Data Developed Without Federal Funding or Support. The Recipient understands and agrees that in certain circumstances it may need to provide data developed without any Federal funding or support to FTA. Nevertheless:
- (1) Protections. Sections 20.a, b, c, and d of this Master Agreement generally do not apply to data developed without Federal funding, even though that data may have been used in connection with the Project, and
 - (2) Identification of Information. The Recipient agrees that the Federal Government will not be able to protect data developed without Federal funding from unauthorized disclosure unless that data is clearly marked "Proprietary," or "Confidential," and
- j. 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 under:
- (1) The Freedom of Information Act, 5 U.S.C. § 552,

- (2) U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations,” 49 C.F.R. part 19, specifically 49 C.F.R. § 19.36(d), until U.S. DOT regulations, 2 C.F.R. part 1201, supersede and apply in lieu of 49 C.F.R. part 19, or
- (3) Other Federal laws, regulations, and guidance concerning access to Project records.

Section 21. Use of Real Property, Equipment, and Supplies.

The Recipient understands and agrees that the Federal Government retains a Federal interest in all federally funded real property, equipment, and supplies (Project property) until, and to the extent, that the Federal Government removes that Federal interest:

- a. Use of Project Property. The Recipient agrees that:
 - (1) Satisfactory Continuing Control. It will maintain continuing control of the use of Project property satisfactory to FTA,
 - (2) Use for Project Purposes. It will use Project property for appropriate Project purposes (including joint development purposes as well as uses that provide program income to support public transportation):
 - (a) For the duration of the useful life of that Project property, which may extend beyond the duration of the Underlying Agreement, and
 - (b) Consistent with other requirements FTA may impose,
 - (3) Delay or Failure to Use Project Property. The Federal Government may require it to return the entire amount of Federal funds spent on that Project property if, during the useful life of that Project property, the Recipient has:
 - (a) Unreasonably delayed using its Project property, or
 - (b) Failed to use its Project property, and
 - (4) Notification. It will notify FTA immediately when:
 - (a) It uses any Project property in a manner substantially different from:
 - 1 The representations in its Application or other documents submitted in support of the Underlying Agreement, or
 - 2 The requirements of the Underlying Agreement and this Master Agreement, or
 - (b) It withdraws any Project property from Project use,
- b. General Federal Requirements. The Recipient agrees to comply with the following U.S. DOT property management provisions:
 - (1) U.S. DOT Regulations. Until superseded by 2 C.F.R. part 1201, the following property management requirements will apply to the Recipient and its Project:
 - (a) State. A Recipient that is a State understands and agrees that it:
 - 1 May follow its State laws and procedures for the use, management, and disposition of Project equipment, 49 C.F.R. § 18.32(b),
 - 2 Must comply with the following provisions of this Master Agreement:
 - a Premature withdrawal, section 21.h(4),
 - b Valuation, section 21.h and section 21.i,
 - c Insurance, section 21.j,
 - d Misused or Damaged Project Property, section 21.k, and

- e. Sale, section 21.l(1)(c),
 - 3 Must comply with other applicable Federal laws and regulations, and
 - 4 Should follow applicable Federal guidance, except as the Federal Government determines otherwise in writing,
 - (b) Local Government, or Indian Tribal Government. A Recipient that is a local government or Indian tribal government agrees that it:
 - 1 Must comply with the property management provisions of 49 C.F.R. §§ 18.31 – 18.34,
 - 2 Must comply with other applicable Federal laws and regulations, and
 - 3 Should follow applicable Federal guidance, except as the Federal Government determines otherwise in writing,
 - (c) Institution of Higher Learning or Private Nonprofit Entity. A Recipient that is an institution of higher learning or a private nonprofit entity agrees that it:
 - 1 Must comply with the property management standards of 49 C.F.R. §§ 19.30 – 19.37,
 - 2 Must comply with other applicable Federal laws and regulations, and
 - 3 Should follow applicable Federal guidance, except as the Federal Government determines otherwise in writing,
 - (d) Private For-Profit Entity. Except as FTA determines otherwise in writing, a Recipient that is a private for-profit entity agrees that it:
 - 1 Must comply with the property management standards of 49 C.F.R. §§ 19.30 – 19.37,
 - 2 Must comply with other applicable Federal laws and regulations, and
 - 3 Should follow applicable Federal guidance, except as the Federal Government determines otherwise in writing, and
 - (2) Reimbursement to FTA. The Recipient also agrees that it will follow FTA’s reimbursement requirements for premature dispositions of certain Project equipment, as provided in section 21.h(4)(c) of this Master Agreement and FTA guidance, except as FTA determines otherwise in writing,
- c. Maintenance. As required under Federal laws and regulations, and as provided in Federal guidance, except as FTA determines otherwise in writing, the Recipient agrees to:
- (1) Maintain its Project property in good operating order, and
 - (2) Comply with FTA’s Transit Asset Management Program regulations when promulgated pursuant to 49 U.S.C. § 5326, as amended by MAP-21, and as agreed to in section 22 of this Master Agreement,
- d. Records. The Recipient agrees that:
- (1) Record-keeping. It will keep satisfactory records of its use of the Project property, and
 - (2) Provide Information. Upon request, it will provide FTA the necessary information required to assure compliance with this section 21 and also section 22 of this Master Agreement,
- e. Incidental Use. The Recipient agrees that:
- (1) General. Any incidental use of Project property will not exceed that permitted under applicable Federal requirements and Federal guidance, and

- (2) Alternative Fueling Facilities. As provided in 49 U.S.C. § 5323(p), it may permit nontransit public entities and private entities to have incidental use of its federally funded alternative fueling facilities and equipment, only if:
- (a) The incidental use does not interfere with its public transportation operations or the Project,
 - (b) It fully recaptures all the costs related to the incidental use from any nontransit public entity or private entity that uses the alternative fueling facilities or equipment,
 - (c) It uses revenues it receives from the incidental use in excess of costs for planning, capital, and operating expenses that are incurred in providing public transportation, and
 - (d) Private entities pay all applicable excise taxes on fuel,
- f. Reasonable Access to Private Intercity Transportation Operators or Charter Transportation Operators. The Recipient understands and agrees that it must comply with 49 U.S.C. § 5323(r), as amended by MAP-21, which requires the following:
- (1) A recipient of funding under 49 U.S.C. chapter 53 must provide a private intercity or charter transportation operator reasonable access to its federally funded public transportation facilities, including:
 - (a) An intermodal facility,
 - (b) A park and ride lot, and
 - (c) A bus-only highway lane, and
 - (2) To determine reasonable access, consideration must be given to:
 - (a) Capacity requirements of the Recipient whose facility would be used, and
 - (b) The extent to which access would be detrimental to existing public transportation services,
- g. Encumbrance of Project Property. Absent the express consent of the Federal Government in writing, the Recipient agrees to preserve the Federal interest in its Project property and to maintain satisfactory continuing control of that Project property as follows:
- (1) Written Transactions. The Recipient agrees that it will not execute any documents if doing so would either adversely affect the Federal interest in or impair its continuing control of the use of its Project property, including:
 - (a) Transfer of title,
 - (b) Lease,
 - (c) Lien,
 - (d) Pledge,
 - (e) Mortgage,
 - (f) Encumbrance,
 - (g) Third party contract,
 - (h) Subagreement,
 - (i) Grant anticipation note,
 - (j) Alienation,
 - (k) Innovative finance arrangements, such as a cross-border or leveraged lease, or other types of innovative financing arrangements, or
 - (l) Any restriction, constraint, or commitment that may apply to the Project property,

- (2) Oral Transactions. The Recipient agrees it will not obligate itself in any way through an oral statement to any third party with respect to its Project property that would either adversely affect the Federal interest in or impair its continuing control of the use of its Project property, and
 - (3) Other Actions. The Recipient agrees that it will not take any other action that would either adversely affect the Federal interest in or impair its continuing control of the use of its Project property,
- h. Useful Life of Project Property. The Recipient agrees that:
- (1) Determining the Useful Life. FTA may establish the useful life of Project property,
 - (2) Required Use. It will use its Project property continuously and appropriately throughout the useful life of that property,
 - (3) Expired Useful Life. When the useful life of the its Project property has expired, it will comply with FTA's disposition requirements, and
 - (4) Premature Withdrawal. The Federal Government retains a Federal interest in the fair market value of Project property (including FTA-funded equipment acquired by a State) prematurely withdrawn from public transportation use, and therefore:
 - (a) Notice. The Recipient will notify FTA immediately when any Project property is prematurely withdrawn from appropriate use, whether by:
 - 1 Planned withdrawal,
 - 2 Misuse, or
 - 3 Casualty loss,
 - (b) Amount of Federal Interest. The Federal interest in the Recipient's or Subrecipient's Project property will be determined on the basis of the ratio of the Federal funds provided for that Project property to the actual cost of that Project property, and
 - (c) Financial Commitments to the Federal Government. Except as otherwise approved in writing by the Federal Government, the Recipient agrees that if its Project property is prematurely withdrawn from appropriate use:
 - 1 It will return an amount equal to the remaining Federal interest in the withdrawn Project property to the Federal Government, or
 - 2 With FTA approval, it will invest an amount equal to the remaining Federal interest in the withdrawn Project property in other transit property eligible for funding through the Underlying Agreement,
- i. Calculating the Value of Prematurely Withdrawn Project Property. The Recipient agrees that the fair market value of Project property prematurely withdrawn from Project use (including the fair market value of Project equipment acquired by a State) will be calculated as follows:
- (1) Equipment and Supplies. Except as FTA determines otherwise in writing:
 - (a) The fair market value of Project equipment and supplies will be calculated by straight-line depreciation, based on the useful life of the equipment or supplies as established or approved by FTA,
 - (b) The fair market value of the withdrawn Project equipment and supplies will be based on their value immediately before they were withdrawn from appropriate use:
 - 1 Irrespective of whether the Project property was withdrawn from use due to fire, casualty, or natural disaster, and
 - 2 Irrespective of the extent of insurance coverage, and

- (c) As authorized by 49 C.F.R. § 18.32(b), or the applicable provisions of 2 C.F.R. part 1201, when effective, a State may use its own property disposition procedures, provided that those procedures comply with the laws of that State,
 - (2) Real Property. The Recipient agrees that the fair market value of real property funded under the Project shall be determined by:
 - (a) Competent appraisal based on an appropriate date as approved by FTA, consistent with U.S. DOT regulations, “Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally-Assisted Programs,” 49 C.F.R. part 24,
 - (b) Straight line depreciation of federally funded improvements to the real property coupled with the value of the land determined by FTA on the basis of appraisal, or
 - (c) Other applicable Federal laws or regulations, and
 - (3) Exceptional Circumstances. The Recipient agrees that:
 - (a) The Federal Government may require another method of valuation to be used to determine the fair market value of real property funded under the Project withdrawn from service,
 - (b) In unusual circumstances, the Recipient may request permission to use another reasonable valuation method including, but not limited to:
 - 1 Accelerated depreciation,
 - 2 Comparable sales, or
 - 3 Established market values, and
 - (c) In determining whether to approve such a request under section 21.i(3)(b) of this Master Agreement, the Federal Government may consider any:
 - 1 Action the Recipient took,
 - 2 Omission the Recipient made, or
 - 3 Unfortunate occurrence the Recipient suffered,
- j. Insurance Proceeds. The Recipient agrees to use any insurance proceeds it receives for the damaged or destroyed Project property (including insurance proceeds for FTA-funded equipment acquired by a State) as follows:
- (1) Replacement. It may apply those insurance proceeds to the cost of replacing the damaged or destroyed Project property,
 - (2) Another Purpose. It may use those insurance proceeds for another authorized purpose, provided that it has obtained FTA’s consent in writing, or
 - (3) Return to the Federal Government. It may return to the Federal Government an amount equal to the amount of the remaining Federal interest in the damaged or destroyed Project property,
- k. Misused or Damaged Project Property. If any damage to Project property results from abuse or misuse occurring with the Recipient’s knowledge and consent, the Recipient agrees to:
- (1) Restore the damaged Project property to its original condition, or
 - (2) Refund the value of the Federal interest in that Project property (including the remaining Federal interest in FTA-funded equipment acquired by a State), as the Federal Government may require,
- l. Disposition of Project Property. The Recipient agrees that disposition of project property may be made as provided by FTA’s enabling legislation or U.S. DOT regulations:

- (1) Disposition Under 49 U.S.C. § 5334(h).
 - (a) Method. With prior FTA approval, the Recipient may dispose of Project property no longer needed for public transportation purposes as permitted by 49 U.S.C. § 5334(h),
 - 1 Lease or Lease Renewal. Except as the Federal Government has determined otherwise in writing, if it leases or renews a lease of Project property to another party, it will:
 - a Use a written lease or other similar document to accomplish the following:
 - (i) Retain ownership of the leased Project property, and
 - (ii) Assure that the lessee will use the Project property appropriately, and
 - b Provide a copy of the lease, or lease renewal and any relevant documents to FTA upon request,
 - 2 Transfer for a Public Purpose. The Recipient may transfer any Project property supported with funds made available or appropriated for 49 U.S.C. chapter 53, to a local governmental authority, provided that:
 - a The Project property will be used for a public purpose,
 - b The Federal Transit Administrator approves the transfer, and
 - c The transfer conforms to 49 U.S.C. § 5334(h)(1) – 5334(h)(3), or
 - 3 Sale. If it sells Project property, the Recipient agrees to use proper sales procedures to ensure the highest possible return,
 - (b) Use of Proceeds from the Disposition of Project Property. The Recipient understands and agrees that as required by 49 U.S.C. § 5334(h)(4) it must use the proceeds of any sale, uses, lease, or lease renewal to reduce the gross project cost of other eligible capital public transportation projects, and
 - (c) Common Grant Rules. Except as FTA determines otherwise in writing, the requirements of 49 C.F.R. part 18 or part 19, or the applicable provisions of 2 C.F.R. part 1201, when effective, will apply to the transfer to the extent that they do not conflict with 49 U.S.C. § 5334(h), or
 - (2) Dispositions under U.S. DOT regulations. Until superseded by 2 C.F.R. part 1201, U.S. DOT regulations provide as follows:
 - (a) Real Property. With FTA approval, the Recipient may dispose of Project real property no longer needed for public transportation purposes and use the proceeds as provided by 49 C.F.R. § 18.31(c) or 49 C.F.R. § 19.32, to the extent applicable,
 - (b) Equipment. With FTA approval, the Recipient may dispose of Project equipment and no longer needed for public transportation purposes and use the proceeds as provided by 49 C.F.R. § 18.32 or 49 C.F.R. § 19.34, to the extent applicable, and
 - (c) Federal Government Direction. The Recipient agrees that the Federal Government may require it to transfer title to any federally funded Project property, as provided by 49 C.F.R. parts 18 or 19, and
- m. Responsibilities After Project Closeout. Except as the Federal Government determines otherwise in writing, the Recipient agrees that Project closeout will not change the Recipient's Project property management responsibilities provided in:
 - (1) Federal laws, regulations, and guidance effective now or at a later date, and
 - (2) This section 21 of this Master Agreement.

Section 22. Transit Asset Management.

- a. Transit Asset Management Plan. Unless FTA determines otherwise in writing, the Recipient agrees to develop a Transit Asset Management Plan that:
 - (1) Complies with:
 - (a) Federal transit laws, specifically 49 U.S.C. § 5326 and 5337(a)(4), as amended by MAP-21,
 - (b) Federal regulations pertaining to:
 - 1 The Transit Asset Management Program regulations, when issued, and
 - 2 Performance Measures and Targets required to be issued by 49 U.S.C. § 5326(c)(1), as amended by MAP-21, and
 - (c) Other applicable Federal laws and regulations, and
 - (2) Is consistent with Federal guidance developed or to be developed to implement 49 U.S.C. § 5326, as amended by MAP-21, and
- b. When Compliance is Required. The Recipient agrees to comply, and assures that each Third Party Participant will comply, with:
 - (1) FTA's Transit Asset Management Program regulations when issued pursuant to 49 U.S.C. § 5326(e), and
 - (2) Federal guidance issued to implement transit asset management system provisions of 49 U.S.C. § 5326, except as FTA determines otherwise in writing.

Section 23. Insurance. In addition to other insurance requirements that may apply, except as FTA determines otherwise in writing:

- a. Flood Insurance. The Recipient understands and agrees as follows:
 - (1) It will have flood insurance as required by the Flood Disaster Protection Act of 1973, 42 U.S.C. § 4012a(a), for any building located in a special flood hazard area (100-year flood zone), before receiving Federal funds to acquire, construct, reconstruct, repair, or improve that building), and
 - (2) Each such building and its contents will be covered by flood insurance in an amount at least equal to the Federal investment (less estimated land cost) or to the maximum limit of coverage made available with respect to the particular type of property under the National Flood Insurance Act of 1968, 42 U.S.C. § 4001 *et seq.*, whichever is less, and
- b. Other Insurance Requirements. It will comply with the insurance requirements normally imposed by its State and local laws, regulations, and ordinances, except as the Federal Government determines otherwise in writing.

Section 24. Relocation.

- a. Relocation Protections. Irrespective of Federal participation in relocation costs for the Project, the Recipient agrees that it will:

- (1) Provide fair and equitable treatment to displaced individuals and businesses that must be relocated as a result of its Project for which the FTA has provided Federal funding, and
 - (2) Comply with:
 - (a) Federal transit laws, specifically 49 U.S.C. § 5323(b), which requires compliance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, 42 U.S.C. § 4601 *et seq.*, and
 - (b) U.S. DOT regulations, “Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally-Assisted Programs,” 49 C.F.R. part 24,
- b. Nondiscrimination in Housing. The Recipient agrees that when it must provide housing for individuals as a result of the relocation, it will:
- (1) Comply with Title VIII of the Civil Rights Act of 1968, as amended, 42 U.S.C. § 3601 *et seq.*, and
 - (2) Facilitate and follow Executive Order 12892, “Leadership and Coordination of Fair Housing in Federal Programs: Affirmatively Furthering Fair Housing,” January 17, 1994, 42 U.S.C. § 3608 note, except as the Federal Government determines otherwise in writing, and
- c. Prohibition Against the Use of Lead-Based Paint. The Recipient agrees that if it constructs or rehabilitates residential structures on behalf of individuals displaced by the Project, it will not use lead-based paint, and it will comply with:
- (1) Section 401(b) of the Lead-Based Paint Poisoning Prevention Act, 42 U.S.C. § 4831(b), and
 - (2) U.S. Housing and Urban Development regulations, “Lead-based Paint Poisoning Prevention in Certain Residential Structures,” 24 C.F.R. part 35.

Section 25. Real Property.

- a. Real Property Acquisition Protections. Irrespective of Federal participation in real property acquisition costs under the Project, the Recipient agrees to:
- (1) Provide fair and equitable treatment to owners of real property or interests in real property that must be acquired as a result of a Project funded by FTA, and
 - (2) Comply with:
 - (a) Federal transit laws, specifically 49 U.S.C. § 5323(b), which requires compliance with the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, 42 U.S.C. § 4601 *et seq.*, and
 - (b) U.S. DOT regulations, “Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally-Assisted Programs,” 49 C.F.R. part 24,
- b. Covenant Assuring Nondiscrimination. The Recipient agrees to include a covenant in the title of the real property acquired for use in the Project that assures nondiscrimination during the useful life of that real property,
- c. Recording the Title to Real Property. The Recipient agrees to record the Federal interest in title to real property used in connection with the Project if FTA so requires, and

- d. FTA Approval of Changes in Real Property Ownership. Unless it receives permission or instructions from FTA, the Recipient agrees that it will not dispose of, modify the use of, or change:
 - (1) The title to real property used in the Project, or
 - (2) Any other interests in the site and facilities used in the Project.

Section 26. Construction. Except as the Federal Government determines otherwise in writing:

- a. Construction Plans and Specifications. The Recipient agrees to comply with FTA recommendations and determinations pertaining to:
 - (1) Its construction plans and specifications, and
 - (2) Its activities in connection with implementing its construction plans and specifications, including drafting, review, and approval,
- b. Seismic Safety.
 - (1) The Recipient agrees to comply with:
 - (a) The Earthquake Hazards Reduction Act of 1977, as amended, 42 U.S.C. § 7701 *et seq.*, and
 - (b) U.S. DOT regulations, “Seismic Safety,” 49 C.F.R. part 41, specifically, 49 C.F.R. § 41.117, and
 - (2) The Recipient agrees to facilitate and follow Executive Order 12699, “Seismic Safety of Federal and Federally-Assisted or Regulated New Building Construction,” 42 U.S.C. § 7704 note,
- c. Supervision of Construction. The Recipient agrees to maintain competent and adequate engineering supervision at the construction site of the Project to ensure that the completed work conforms to the approved plans and specifications,
- d. Construction Reports. For construction project, the Recipient agrees to provide progress reports and other relevant information or data, as required by FTA or the State in which construction takes place, and
- e. Major Capital Investment Project Regulations and Guidance. If the Recipient’s Project involves a Major Federal Project, it agrees to:
 - (1) Comply with all applicable Federal regulations, including:
 - (a) FTA Regulations, “Major Capital Investment Projects,” 49 C.F.R. part 611, and
 - (b) FTA Regulations, “Project Management Oversight,” 49 C.F.R. part 633, to the extent that they are consistent with applicable FTA enabling legislation, and
 - (2) Follow all applicable Federal guidance including:
 - (a) FTA “New Starts and Small Starts Evaluation Rating Process Policy Guidance,” August 2013, at <http://www.fta.dot.gov>, and
 - (b) The most recent edition of FTA Circular 5800.1, “Safety and Security Management Guidance for Major Capital Projects,” to the extent consistent with applicable Federal laws, regulations, and guidance.

Section 27. Early Systems Work Agreement.

- a. Statutory Requirements. If FTA enters into an Early System Work Agreement (ESWA) with the Recipient to advance the implementation of the Recipient's capital project, the provisions of 49 U.S.C. § 5309(k)(3) will apply to that ESWA, the Recipient, and FTA, and
- b. ESWA Provisions. Except to the extent the Federal Government determines otherwise in writing, the Recipient understands and agrees that the following provisions apply to its ESWA, unless the ESWA contains specific requirements to the contrary:
 - (1) Recipient Representations. In view of the standards and commitments imposed on the Recipient by 49 U.S.C. § 5309(k)(3), the Recipient has provided sufficient representations and information to FTA so that FTA has reason to believe:
 - (a) The Recipient and FTA will enter into a Full Funding Grant Agreement for the Project, and
 - (b) The terms of the ESWA will promote ultimate completion of the Project more rapidly and at less cost,
 - (2) FTA Commitments. By entering into an ESWA with the Recipient, FTA has agreed to provide for reimbursement of the preliminary costs of carrying out the project, including:
 - (a) Land acquisition,
 - (b) Timely procurement of system elements for which the specifications are decided, and
 - (c) Other activities FTA decides are appropriate to make efficient, long-term project management easier,
 - (3) Time Period of ESWA. FTA reserves the right to determine the period of time in which the ESWA will remain in effect, even if that period extends beyond the time of the authorization of funding that will support the Project costs covered by the ESWA,
 - (4) Interest and Other Financing Costs. Interest and other financing costs of carrying out the ESWA efficiently and within a reasonable time are eligible ESWA costs, provided that:
 - (a) The interest and financing costs claimed do not exceed the cost of the most favorable financing terms reasonably available for the Project at the time of borrowing,
 - (b) The Recipient has certified that it will show reasonable diligence in seeking the most favorable financing terms, and
 - (c) The Recipient is able to show reasonable diligence in seeking the most favorable financing terms to support this ESWA,
 - (5) Contingent Commitment. In providing funding for the ESWA:
 - (a) In its discretion, FTA may include a commitment, contingent on amounts made available under a later-enacted law, to obligate an additional amount from future available budget authority to support the costs of the Recipient's ESWA, and
 - (b) If FTA does make a commitment to provide funding contingent on future amounts to be specified in law, that commitment is not an obligation of the Federal Government, and

- (6) Failure to Carry Out the Project. If, for reasons within its control, the Recipient does not carry out the Project for which its ESWA was made available by FTA, the Recipient must:
- (a) Repay all Federal grant funds awarded under the ESWA from all Federal funding sources for all Project activities, facilities, and equipment, and
 - (b) Pay reasonable interest and penalty charges:
 - 1 As established by FTA before or after FTA provided funding for the ESWA, or
 - 2 Allowable under law.

Section 28. Employee Protections. The Recipient agrees to comply, and assures that each Third Party Participant will comply, with all of the following:

- a. Construction Activities. Federal laws and regulations providing protections for construction employees involved in Project activities, including the:
 - (1) Prevailing Wage Requirements of:
 - (a) Federal transit laws, specifically 49 U.S.C. § 5333(a), (FTA’s “Davis-Bacon Related Act”),
 - (b) The Davis-Bacon Act, 40 U.S.C. §§ 3141 – 3144, 3146, and 3147, and
 - (c) U.S. DOL regulations, “Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction (also Labor Standards Provisions Applicable to Nonconstruction Contracts Subject to the Contract Work Hours and Safety Standards Act),” 29 C.F.R. part 5,
 - (2) Wage and Hour Requirements of:
 - (a) Section 102 of the Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. § 3702, and other relevant parts of that Act, 40 U.S.C. § 3701 *et seq.*, and
 - (b) U.S. DOL regulations, “Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction (also Labor Standards Provisions Applicable to Nonconstruction Contracts Subject to the Contract Work Hours and Safety Standards Act),” 29 C.F.R. part 5,
 - (3) “Anti-Kickback” Prohibitions of:
 - (a) Section 1 of the Copeland “Anti-Kickback” Act, as amended, 18 U.S.C. § 874,
 - (b) Section 2 of the Copeland “Anti-Kickback” Act, as amended, 40 U.S.C. § 3145, 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 C.F.R. part 3, and
 - (4) Construction Site Safety of:
 - (a) Section 107 of the Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. § 3704, and other relevant parts of that Act, 40 U.S.C. § 3701 *et seq.*, and
 - (b) U.S. DOL regulations, “Safety and Health Regulations for Construction,” 29 C.F.R. part 1926,
- b. Activities Not Involving Construction. Federal laws and regulations providing wage and hour protections for nonconstruction employees, including:
 - (1) Section 102 of the Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. § 3702, and other relevant parts of that Act, 40 U.S.C. § 3701 *et seq.*, and

- (2) U.S. DOL regulations, “Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction (also Labor Standards Provisions Applicable to Nonconstruction Contracts Subject to the Contract Work Hours and Safety Standards Act),” 29 C.F.R. part 5,
- c. Activities Involving Commerce. The Fair Labor Standards Act (FLSA), 29 U.S.C. § 201 *et seq.*:
- (1) To the extent that the FLSA applies to employees performing Project work involving commerce, and
 - (2) As the Federal Government otherwise determines applicable, and
- d. Public Transportation Employee Protective Arrangements. The following employee protective arrangements of 49 U.S.C. § 5333(b) must be in place as a condition of award of FTA funding made available or appropriated for FTA programs involving public transportation operations, as determined by U.S. DOL:
- (1) U.S. DOL Certification. When its Project involves public transportation operations and is supported with funding made available or appropriated for 49 U.S.C. §§ 5307, 5309, 5312, 5337, or 5339, as amended by MAP-21, or former 49 U.S.C. §§ 5308, 5309, 5312, or other provisions of law as required by the Federal Government, U.S. DOL must provide a Certification of employee protective arrangements before FTA may provide funding for the Project. Therefore, the Recipient understands and agrees, and assures that any Third Party Participant providing public transportation operations will agree, that:
 - (a) It must carry out the Project as provided in its U.S. DOL Certification, which contains the terms and conditions that U.S. DOL has determined to be fair and equitable to protect the interests of any employees affected by the Project,
 - (b) It must comply with 49 U.S.C. § 5333(b), and any future amendments thereto,
 - (c) It will follow the U.S. DOL guidelines, “Guidelines, Section 5333(b), Federal Transit Law,” 29 C.F.R. part 215, except as U.S. DOL determines otherwise in writing,
 - (d) It must comply with the terms and conditions of the U.S. DOL certification of public transportation employee protective arrangements for the Project, which certification is dated as identified on the Underlying Agreement, including:
 - 1 Any alternative comparable arrangements U.S. DOL has specified for the Project,
 - 2 Any revisions U.S. DOL has specified for the Project, or
 - 3 Both, and
 - (e) It must comply with the following documents and provisions incorporated by reference in and made part of the Underlying Agreement for the Project:
 - 1 The U.S. DOL certification of public transportation employee protective arrangements for the Project, which certification is dated as identified on the Underlying Agreement,
 - 2 The documents cited in that U.S. DOL certification for the Project,
 - 3 Any alternative comparable arrangements that U.S. DOL has specified for the Project, and
 - 4 Any revisions that U.S. DOL has specified for the Project,

- (2) Special Warranty. When its Project involves public transportation operations and is supported with funding made available or appropriated for 49 U.S.C. § 5311, as amended by MAP-21, for former 49 U.S.C. § 5311 in effect in FY 2012, or a previous fiscal year, or for repealed section 3038 of TEA-21, as amended by former section 3039 of SAFETEA-LU, U.S. DOL will provide a Special Warranty for those projects, including projects under the Tribal Transit Program. Therefore, the Recipient understands and agrees, and assures that any Third Party Participant providing public transportation operations will agree, that:
- (a) It must comply with Federal transit laws, specifically 49 U.S.C. § 5333(b),
 - (b) It will follow the U.S. DOL guidelines, “Guidelines, Section 5333(b), Federal Transit Law,” 29 C.F.R. part 215, except as U.S. DOL determines otherwise in writing,
 - (c) It will comply with the U.S. DOL Special Warranty for its Project that is most current on the date when it executed the Underlying Agreement, and documents cited therein, including:
 - 1 Any alternative comparable arrangements U.S. DOL has specified for the Project,
 - 2 Any revisions U.S. DOL has specified for the Project, or
 - 3 Both, and
 - (d) It will comply with the following documents and provisions incorporated by reference in and made part of the Underlying Agreement:
 - 1 The U.S. DOL Special Warranty for its Project,
 - 2 Documents cited in that Special Warranty,
 - 3 Any alternative comparable arrangements U.S. DOL specifies for the Project, and
 - 4 Any revisions that U.S. DOL has specified for the Project, and
- (3) Special Arrangements for 49 U.S.C. § 5310 Projects. The Recipient understands and agrees, and assures that any Third Party Participant providing public transportation operations will agree, that although pursuant to 49 U.S.C. § 5310, and former 49 U.S.C. §§ 5310 or 5317, FTA has determined that it was not “necessary or appropriate” to apply the conditions of 49 U.S.C. § 5333(b) to Subrecipients participating in the program to provide public transportation for seniors (elderly individuals) and individuals with disabilities, FTA reserves the right to:
- (a) Make case-by-case determinations of the applicability of 49 U.S.C. § 5333(b) for all transfers of funding authorized under title 23, United States Code (flex funds), and
 - (b) Make other exceptions as it deems appropriate.

Section 29. Environmental Protections. Except as the Federal Government determines otherwise in writing:

- a. General. The Recipient understands and agrees that:
 - (1) Environmental and resource use laws, regulations, and guidance, now in effect or that may become effective in the future, may apply to the Project,
 - (2) This Master Agreement identifies some of the Federal laws, regulations, and guidance that may apply to its Project,

- (3) Federal laws, regulations, and guidance cited in this Master Agreement may be an incomplete list of environmental and resource use requirements that might apply to its Project, including:
 - (a) Other applicable Federal laws, regulations, and guidance, not identified in this Master Agreement,
 - (b) State laws, regulations, and guidance, and
 - (c) Local ordinances, regulations, and guidance,
 - (4) In some cases, Federal requirements may not be sufficient to meet its State and local environmental and resource use requirements, and
 - (5) It will, and assures that its Third Party Participants will:
 - (a) Comply with Federal laws and regulations, and
 - (b) Follow Federal guidance now in effect or when such guidance becomes effective in the future,
- b. National Environmental Policy. Federal funding requires the full compliance with applicable environmental laws and regulations. Accordingly, the Recipient agrees to, and assures that its Third Party Participants will:
- (1) Comply and facilitate compliance with Federal laws, regulations, and executive orders, including:
 - (a) Federal transit laws, such as:
 - 1 49 U.S.C. § 5323(c)(2), and
 - 2 23 U.S.C. § 139,
 - (b) The National Environmental Policy Act of 1969 (NEPA), as amended, 42 U.S.C. §§ 4321 – 4335, as limited by 42 U.S.C. § 5159,
 - (c) U.S. Council on Environmental Quality regulations pertaining to compliance with NEPA, 40 C.F.R. parts 1500 – 1508,
 - (d) Joint FHWA and FTA regulations, “Environmental Impact and Related Procedures,” 23 C.F.R. part 771 and 49 C.F.R. part 622,
 - (e) Executive Order 11514, as amended, “Protection and Enhancement of Environmental Quality,” 42 U.S.C. § 4321 note, and
 - (f) Other Federal environmental protection laws, regulations, and executive orders applicable to the Project or Recipient, and
 - (2) Follow the Federal guidance identified herein to the extent that the guidance is consistent with applicable authorizing legislation:
 - (a) Joint FHWA and FTA final guidance, “Interim Guidance on MAP-21 Section 1319 Accelerated Decisionmaking in Environmental Reviews,” January 14, 2013,
 - (b) Joint FHWA and FTA final guidance, “SAFETEA-LU Environmental Review Process (Pub. L. 109-59),” 71 *Fed. Reg.* 66576, November 15, 2006, especially the following:
 - 1 Guidance on implementing 23 U.S.C. § 139 pertaining to environmental procedures, and
 - 2 Guidance on implementing 23 U.S.C. § 326, pertaining to State responsibility for categorical exclusions, and
 - (c) Other Federal environmental guidance applicable to the Project or the Recipient,
- c. Environmental Justice. The Recipient agrees to promote environmental justice by following:

- (1) Executive Order 12898, “Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations,” February 11, 1994, 42 U.S.C. § 4321 note, as well as facilitating compliance with that Executive Order,
 - (2) DOT Order 5610.2, “Department of Transportation Actions To Address Environmental Justice in Minority Populations and Low-Income Populations,” 62 *Fed. Reg.* 18377, April 15, 1997, and
 - (3) The most recent edition of FTA Circular 4703.1, “Environmental Justice Policy Guidance for Federal Transit Administration Recipients,” August 15, 2012, to the extent consistent with applicable Federal laws, regulations, and guidance,
- d. Air Quality. The Recipient agrees to comply, and assures that its Third Party Participants will comply, with the Clean Air Act, as amended, 42 U.S.C. §§ 7401 – 7671q, and applicable Federal regulations, and follow applicable Federal guidance, and therefore:
- (1) Public Transportation Operators. It will comply with:
 - (a) U.S. EPA regulations, “Control of Air Pollution from Mobile Sources,” 40 C.F.R. part 85,
 - (b) U.S. EPA regulations, “Control of Emissions from New and In-Use Highway Vehicles and Engines,” 40 C.F.R. part 86, and
 - (c) U.S. EPA regulations “Fuel Economy and Greenhouse Gas Exhaust Emissions of Motor Vehicles,” 40 C.F.R. part 600,
 - (2) State Implementation Plans. It will support its State Implementation Plan (SIP) by:
 - (a) Implementing each air quality mitigation or control measure incorporated in the documents accompanying the approval of the Project,
 - (b) Assuring that any Project identified as a Transportation Control Measure in the SIP that applies to the Project will be wholly consistent with the design concept and scope of the Project described in that SIP, and
 - (c) Complying with:
 - 1 Section 176(c) of the Clean Air Act, 42 U.S.C. § 7506(c),
 - 2 U.S. EPA regulations, “Conformity to State or Federal Implementation Plans of Transportation Plans, Programs, and Projects Developed, Funded or Approved Under Title 23, U.S.C. or the Federal Transit Laws,” 40 C.F.R. part 93, subpart A, and
 - 3 Other applicable Federal conformity regulations that may be promulgated at a later date, and
 - (3) Violating Facilities. It will:
 - (a) Comply with the notice of violating facility provisions of section 306 of the Clean Air Act, as amended, 42 U.S.C. § 7414, and
 - (b) Facilitate compliance with Executive Order 11738, “Providing for Administration of the Clean Air Act and the Federal Water Pollution Control Act with Respect to Federal Contracts, Grants, or Loans,” 42 U.S.C. § 7606 note,
- e. Clean Water. The Recipient agrees to comply, and assures that its Third Party Participants will comply, with the Clean Water Act, as amended, 33 U.S.C. §§ 1251 – 1377, and applicable Federal regulations, and follow applicable Federal guidance, and therefore:
- (1) Drinking Water. It will protect underground sources of drinking water in compliance with the Safe Drinking Water Act of 1974, as amended, 42 U.S.C. § 300f – 300j-6,

- (2) Violating Facilities. It will:
 - (a) Comply with the notice of violating facility provisions in section 508 of the Clean Water Act, as amended, 33 U.S.C. § 1368, and
 - (b) Facilitate compliance with Executive Order 11738, “Providing for Administration of the Clean Air Act and the Federal Water Pollution Control Act with Respect to Federal Contracts, Grants, or Loans,” 42 U.S.C. § 7606 note,

- f. Corridor Preservation. The Recipient agrees that it will not develop any right-of-way acquired under 49 U.S.C. § 5323(q), as amended by MAP-21, in anticipation of implementing its Project until all required environmental reviews for that Project have been completed,

- g. Use of Certain Public Lands. The Recipient agrees to comply, and assures that its Third Party Participants will comply, with:
 - (1) U.S. DOT laws, specifically 49 U.S.C. § 303 (often referred to as “section 4f”), which requires certain findings be made before an FTA-funded Project may be carried out that involves the use of any publicly owned land that Federal officials authorized under law have determined to be a:
 - (a) Park of national, State or local significance,
 - (b) Recreation area of national, State or local significance,
 - (c) Wildlife refuge of national, State or local significance, or
 - (d) Waterfowl refuge of national, State or local significance, and
 - (2) Joint FHWA and FTA regulations, “Parks, Recreation Areas, Wildlife and Waterfowl Refuges, and Historic Sites,” 23 C.F.R. part 774, and referenced in 49 C.F.R. part 622,

- h. Wild and Scenic Rivers. The Recipient agrees to comply, and assures that its Third Party Participants will comply, with Federal protections for the national wild and scenic rivers system, including:
 - (1) The Wild and Scenic Rivers Act of 1968, as amended, 16 U.S.C. §§ 1271 – 1287, relating to protecting components of the national wild and scenic rivers system,
 - (2) U.S. Forest Service regulations, “Wild and Scenic Rivers,” 36 C.F.R. part 297, and
 - (3) U.S. Bureau of Land Management regulations, “Management Areas,” 43 C.F.R. part 8350,

- i. Coastal Zone Management. The Recipient agrees to assure Project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, as amended, 16 U.S.C. §§ 1451 – 1465,

- j. Wetlands. The Recipient agrees to facilitate compliance, and assures that its Third Party Participants will facilitate compliance, with the protections for wetlands provided in Executive Order 11990, as amended, “Protection of Wetlands,” 42 U.S.C. § 4321 note,

- k. Floodplains. The Recipient agrees to facilitate compliance, and assures that its Third Party Participants will facilitate compliance, with the flood hazards protections in floodplains in Executive Order 11988, as amended, “Floodplain Management,” 42 U.S.C. § 4321 note,

- l. Endangered Species and Fishery Conservation. The Recipient agrees to comply, and assures that its Third Party Participants will comply, with the protections for endangered species and fishery conservation of:
 - (1) The Endangered Species Act of 1973, as amended, 16 U.S.C. §§ 1531 – 1544, and
 - (2) The Magnuson Stevens Fishery Conservation and Management Act, as amended, 16 U.S.C. § 1801 *et seq.*,

- m. Waste Management. The Recipient agrees to comply, and assures that its Third Party Participants will comply, with the Resource Conservation and Recovery Act, as amended, 42 U.S.C. §§ 6901 – 6992k,

- n. Hazardous Waste. The Recipient agrees to facilitate compliance, and assures that its Third Party Participants will facilitate compliance, with the Comprehensive Environmental Response, Compensation, and Liability Act, as amended, 42 U.S.C. §§ 9601 – 9675, which establishes requirements for the treatment of areas affected by hazardous waste,

- o. Historic Preservation. The Recipient agrees to, and assures that its Third Party Participants will:
 - (1) Comply with U.S. DOT laws, including 49 U.S.C. § 303 (often referred to as “section 4f”), which requires certain findings be made before a Project involving the use of any land from a historic site that is on or eligible for inclusion on the National Register of Historic Places may be undertaken,
 - (2) Encourage compliance with the Federal historic and archaeological preservation requirements of section 106 of the National Historic Preservation Act, as amended, 16 U.S.C. § 470f,
 - (3) Facilitate compliance with Executive Order 11593, “Protection and Enhancement of the Cultural Environment,” 16 U.S.C. § 470 note,
 - (4) Comply with the Archaeological and Historic Preservation Act of 1974, as amended, 16 U.S.C. § 469a – 469c,
 - (5) Comply with U.S. Advisory Council on Historic Preservation regulations, “Protection of Historic Properties,” 36 C.F.R. part 800, which requires the Recipient to:
 - (a) Consult with the State Historic Preservation Officer concerning investigations to identify properties and resources included in or eligible for inclusion in the National Register of Historic Places that may be affected by the Project, and
 - (b) Notify FTA of affected properties, and
 - (6) Comply with Federal requirements and follow Federal guidance to avoid or mitigate adverse effects on those historic properties,

- p. Indian Sacred Sites. The Recipient agrees to, and assures that its Third Party Participants will:
 - (1) Facilitate compliance with Federal efforts to promote the preservation of places and objects of religious importance to:
 - (a) American Indians,
 - (b) Eskimos,
 - (c) Aleuts, and
 - (d) Native Hawaiians, and
 - (2) Facilitate compliance with:

- (a) The American Indian Religious Freedom Act, 42 U.S.C. § 1996, and
 - (b) Executive Order 13007, “Indian Sacred Sites,” 42 U.S.C. § 1996 note, and
- q. Mitigation of Adverse Environmental Effects. If the Project causes or results in any adverse environmental effect, the Recipient agrees to make, and assures its Third Party Participants will make, reasonable efforts to minimize the impact of every adverse effect by:
- (1) Complying with:
 - (a) All environmental mitigation measures that may be identified as commitments in the environmental documents that apply to the Project, such as:
 - 1 Environmental assessments,
 - 2 Environmental impact statements,
 - 3 Memoranda of agreement,
 - 4 Documents required under 49 U.S.C. § 303, and
 - 5 Other environmental documents, and
 - (b) Any conditions the Federal Government might impose in a finding of no significant impact or record of decision, and
 - (2) Assuring that:
 - (a) Any mitigation measures agreed on will be incorporated by reference and made part of the Underlying Agreement,
 - (b) Any deferred mitigation measures will be incorporated by reference and made part of the Underlying Agreement as soon as agreement with the Federal Government is reached, and
 - (c) Any mitigation measures agreed on will not be modified or withdrawn without the written approval of the Federal Government.

Section 30. Energy Conservation. The Recipient agrees to, and assures its Subrecipients will:

- a. State Energy Conservation Plans. Comply with the mandatory energy standards and policies of its State energy conservation plans under the Energy Policy and Conservation Act, as amended, 42 U.S.C. § 6321 *et seq.*, and
- b. Energy Assessment. Perform an energy assessment for any building constructed, reconstructed, or modified with FTA funds required under FTA regulations, “Requirements for Energy Assessments,” 49 C.F.R. part 622, subpart C.

Section 31. State Management and Monitoring Systems. The Recipient agrees to comply with:

- a. Joint Regulations. Joint FHWA and FTA regulations, “Management and Monitoring Systems,” 23 C.F.R. part 500, and
- b. FTA Regulations. FTA regulations, “Transportation Infrastructure Management,” 49 C.F.R. part 614.

Section 32. Charter Service. Except as FTA determines otherwise in writing, the Recipient understands and agrees that:

- a. Applicability. To the extent required under Federal laws and regulations, FTA’s “Charter Service” requirements apply to the Recipient and any Third Party Participant involved in a Project supported with funds appropriated or made available under:
 - (1) Federal transit laws, 49 U.S.C. chapter 53,
 - (2) 23 U.S.C. § 133, or
 - (3) 23 U.S.C. § 142,

- b. Prohibitions. Neither the Recipient nor any Third Party Participant involved in its Project will engage in charter service, except as permitted under:
 - (1) Federal transit laws, specifically 49 U.S.C. § 5323(d),
 - (2) FTA regulations, “Charter Service,” 49 C.F.R. part 604,
 - (3) Any other Federal Charter Service regulations, or
 - (4) Federal guidance,

- c. Exceptions. Apart from exceptions to the Charter Service restrictions in FTA’s Charter Service Regulations, FTA has established the following additional exceptions to those restrictions:
 - (1) FTA’s Charter Service restrictions do not apply to equipment or facilities financed with the funding made available or appropriated for 49 U.S.C. 5307, as amended by MAP-21, to support Job Access and Reverse Commute (JARC)-type activities that would have been eligible for assistance under repealed 49 U.S.C. 5316 in effect in Fiscal Year 2012 or a previous fiscal year, provided that the Recipient uses that FTA funding for program purposes only,
 - (2) FTA’s Charter Service restrictions do not apply to equipment or facilities financed with the funding made available or appropriated for 49 U.S.C. § 5310, as amended by MAP-21, to support New Freedom-type activities that would have been eligible for assistance under repealed 49 U.S.C. § 5317 in effect in Fiscal Year 2012 or a previous fiscal year, provided the Recipient uses that FTA funding for program purposes only, and
 - (3) A Recipient of 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 specified in 49 U.S.C. § 5323(r), as amended by MAP-21, and

- d. Charter Service Agreement. The Recipient agrees that:
 - (1) Charter Service Agreement Selected. The Charter Service Agreement it has selected in its annual Certifications and Assurances to FTA for the Federal fiscal year in which it seeks FTA funding is incorporated by reference and made part of the Underlying Agreement, but

- (2) Charter Service Agreement Not Selected. Even if it has not selected the Charter Service Agreement in its most recent annual Certifications and Assurances to FTA:
 - (a) FTA’s Charter Service regulations and any amendments to these regulations will apply to any charter service it or any Third Party Participant provides, and
 - (b) The definitions in FTA’s Charter Service regulations will apply to it and any Third Party Participants that conducts charter operations, and
- e. Violations. If it or any Third Party Participant engages in a pattern of violations of FTA’s Charter Service regulations, FTA may require corrective measures and remedies, including:
 - (1) Withholding an amount of Federal funds as provided by FTA’s Charter Service regulations, Appendix D, or
 - (2) Barring it or the Third Party Participant from receiving FTA funds.

Section 33. School Bus Operations. Except as FTA determines otherwise in writing, the Recipient understands and agrees that:

- a. Applicability. To the extent required under Federal laws and regulations, Federal “School Bus Operations” requirements apply to it and any Third Party Participant in a Project supported with funds appropriated or made available under:
 - (1) 49 U.S.C. chapter 53,
 - (2) 23 U.S.C. § 133, or
 - (3) 23 U.S.C. § 142,
- b. Prohibitions. Neither it nor any Third Party Participant that is participating in its Project will engage in school bus operations exclusively for the transportation of students or school personnel in competition with private school bus operators, except as permitted by:
 - (1) Federal transit laws, specifically:
 - (a) 49 U.S.C. § 5323(f) or (g), as amended by MAP-21, for project activities supported with Fiscal Year 2013 or subsequent funding authorized by MAP-21, or
 - (b) Applicable requirements of 49 U.S.C. § 5323(f) or (g) for the same fiscal year as the fiscal year of the appropriation that provides the FTA funding supporting the Project,
 - (2) FTA regulations, “School Bus Operations,” 49 C.F.R. part 605, to the extent those regulations are consistent with the requirements for:
 - (a) 49 U.S.C. § 5323(f) or (g), as amended by MAP-21, for project activities supported with FTA Fiscal Year 2013 or subsequent funding, or
 - (b) The applicable requirements of 49 U.S.C. § 5323(f) or (g) for the same fiscal year as the fiscal year of the appropriation that provided the funding awarded for the Project,
 - (3) Any other applicable Federal “School Bus Operations” regulations, or
 - (4) Applicable Federal guidance,
- c. School Bus Agreement. The Recipient agrees that:
 - (1) School Bus Agreement Selected. The School Bus Agreement it has selected in its annual Certifications and Assurances to FTA for the Federal fiscal year in which it seeks

FTA funding is incorporated by reference and made part of the Underlying Agreement, but

- (2) School Bus Agreement Not Selected. Even if it has not selected the School Bus Agreement in its most recent annual Certifications and Assurances to FTA:
 - (a) FTA's School Bus Operations regulations, 49 C.F.R. part 605, to the extent consistent with the applicable provisions of 49 U.S.C. § 5323(f) or (g), will apply to any school bus service it or its Third Party Participants provide, and
 - (b) The definitions in FTA's School Bus Operations regulations will apply to it and any Third Party Participant that conducts school bus operations, and
- d. Violations. If a Recipient or any Third Party Participant that has operated school bus service in violation of FTA's School Bus laws and regulations, FTA may:
 - (1) Require the Recipient or Third Party Participant to take such remedial measures as FTA considers appropriate, or
 - (2) Bar the Recipient or Third Party Participant from receiving Federal transit funds.

Section 34. Metric System. Except as the Federal Government determines otherwise in writing, as U.S. DOT or FTA may direct, the Recipient agrees that:

- a. Use. It will use metric measurements for the Project, as provided by:
 - (1) The Metric Conversion Act, as amended by the Omnibus Trade and Competitiveness Act, 15 U.S.C. § 205a *et seq.*, and other applicable Federal laws,
 - (2) Executive Order 12770, "Metric Usage in Federal Government Programs," July 25, 1991, 15 U.S.C. § 205a note, and
 - (3) U.S. DOT, FTA, or other Federal guidance, and
- b. Deliverables. It will accept products and services with dimensions expressed in metric measurements.

Section 35. Geographic Information and Related Spatial Data. Except as the Federal Government determines otherwise in writing, the Recipient agrees that:

- a. Standards. Its Project activities will conform to the Federal Geographic Data Committee's National Spatial Data Infrastructure if those activities directly or indirectly involve:
 - (1) Spatial data, or
 - (2) Geographic information systems, and
- b. Federal Guidance. It will follow:
 - (1) U.S. OMB Circular A-16, "Coordination of Geographic Information and Related Spatial Data Activities," August 19, 2002, and
 - (2) U.S. OMB Circular A-16 Supplemental Guidance, "Geospatial Line of Business," November 10, 2010.

Section 36. Federal “\$1 Coin” Requirements.

Except as the Federal Government determines otherwise in writing, the Recipient agrees that:

- a. Federal Law. It will comply with section 104 of the Presidential \$1 Coin Act of 2005, 31 U.S.C. § 5112(p),
- b. Capability. Its equipment and facilities will be fully capable of accepting and dispensing \$1 coins when coins or currency are required to use that equipment or those facilities, and
- c. Publicizing. It will display signs and notices of \$1 coin capability of its equipment and facilities on its premises, including vending machines, where coins or currency are used.

Section 37. Public Transportation Safety Program. Except as the Federal Government determines otherwise in writing:

- a. Public Transportation Agency Safety Plan. When FTA directs it to do so, the Recipient agrees to develop a Public Transportation Safety Plan that:
 - (1) Complies with:
 - (a) Federal transit laws, specifically 49 U.S.C. § 5329, as amended by MAP-21, and
 - (b) Other Federal laws and regulations applicable to the Project and the Recipient, and
 - (2) Is consistent with any Federal guidance that may be issued to implement 49 U.S.C. § 5329, as amended by MAP-21, except as FTA determines otherwise in writing, and
- b. State Safety Oversight of Rail Fixed Guideway Public Transportation Systems. Section 20030(e) of MAP-21 repealed 49 U.S.C. § 5330, to be effective three (3) years after the effective date of the Public Transportation Safety Program final rule to be issued under 49 U.S.C. § 5329(e), but until repealed, the Recipient agrees to:
 - (1) Comply with Federal transit laws, specifically 49 U.S.C. § 5330,
 - (2) Comply with FTA regulations, “Rail Fixed Guideway Systems; State Safety Oversight,” 49 C.F.R. part 659, and
 - (3) Follow Federal guidance that may be issued.

Section 38. Motor Carrier Safety. The Recipient agrees to comply, and assures its Third Party Participants will comply, with the following regulations, to the extent applicable:

- a. Financial Responsibility. The economic and insurance registration requirements of the:
 - (1) U.S. FMCSA regulations, “Minimum Levels of Financial Responsibility for Motor Carriers,” 49 C.F.R. part 387, if:
 - (a) It is engaged in operations requiring compliance with 49 C.F.R. part 387,
 - (b) It is engaged in interstate commerce, and
 - (c) It is not within a defined commercial zone, and
 - (2) The provisions of 49 U.S.C. § 31138(e)(4), which supersede inconsistent provisions of 49 C.F.R. part 387, and also reduce the amount of insurance the Recipient must obtain to

- the highest amount required by any State in which the public transportation provider operates, if it:
- (a) Operates within a public transportation service area located in more than one State, and
 - (b) Receives Federal funding under 49 U.S.C. §§ 5307, 5310, and 5311,
- b. Safety Requirements. The safety requirements of U.S. FMCSA regulations, “Federal Motor Carrier Safety Regulations,” 49 C.F.R. parts 390 – 397, if it:
- (1) Is engaged in operations requiring compliance with 49 C.F.R. parts 390 – 397,
 - (2) Is engaged in interstate commerce,
 - (3) Is not within a defined commercial zone, and
 - (4) Is not a unit of government, which is defined as:
 - (a) The Federal Government,
 - (b) A State,
 - (c) Any political subdivision of a State, or
 - (d) Any agency established under a compact between States,
- c. Driver Qualifications. The driver’s license requirements of:
- (1) U.S. FMCSA regulations, “Commercial Driver’s License Standards, Requirements, and Penalties,” 49 C.F.R. part 383, and
 - (2) U.S. FMCSA regulations, “State Compliance with Commercial Driver's License,” 49 C.F.R. part 384, and
- d. Substance Abuse Rules for Motor Carriers. The substance abuse requirements and guidance of U.S. FMCSA’s regulations, “Drug and Alcohol Use and Testing Requirements,” 49 C.F.R. part 382, and implementing Federal guidance, if it:
- (1) Is a public transportation provider not subject to FTA’s alcohol and controlled substances testing regulations at 49 C.F.R. part 655, as amended by MAP-21, and
 - (2) Operates a commercial motor vehicle that:
 - (a) Has a gross combination weight rating or gross combination weight of more than 26,001 pounds, whichever is greater,
 - (b) Has a gross vehicle weight rating or gross vehicle weight of more than 26,001 pounds, whichever is greater,
 - (c) Is designed to transport sixteen (16) or more passengers, including the driver, or
 - (d) Is of any size and is used in the transportation of hazardous materials as defined 49 C.F.R. § 383.5, and requires the motor vehicle to be placarded under the FMCSA regulations, “Hazardous Materials Regulations,” 49 C.F.R. part 172, subpart F.

Section 39. Safe Operation of Motor Vehicles.

- a. Transportation - Hazardous Materials. When transporting any hazardous materials, the Recipient agrees to comply with U.S. Pipeline and Hazardous Materials Safety Administration regulations, “Shippers - General Requirements for Shipments and Packagings,” 49 C.F.R. part 173,

- b. Seat Belt Use. FTA encourages the Recipient to facilitate compliance with Executive Order 13043, “Increasing Seat Belt Use in the United States,” April 16, 1997, 23 U.S.C. § 402 note, by:
 - (1) Adopting and promoting on-the-job seat belt use policies and programs for its employees and other personnel that operate:
 - (a) Company-owned vehicles,
 - (b) Company-rented vehicles, or
 - (c) Personally operated vehicles, and
 - (2) Including a “Seat Belt Use” provision in each third party agreement related to the Project, and

- c. Distracted Driving, Including Text Messaging While Driving. FTA encourages the Recipient to facilitate compliance with:
 - (1) Executive Order 13513, “Federal Leadership on Reducing Text Messaging While Driving,” October 1, 2009, 23 U.S.C. § 402 note,
 - (2) DOT Order 3902.10, “Text Messaging While Driving,” December 30, 2009,
 - (3) The following U.S. DOT Special Provision pertaining to Distracted Driving:
 - (a) Definitions. As used in this Special Provision:
 - 1 “Driving”:
 - a Means operating a motor vehicle on a roadway, including while temporarily stationary because of traffic delays, a traffic light, stop sign, or otherwise, and
 - b Does not include being in the vehicle (with or without the motor running) in a location off the roadway where it is safe and legal to remain stationary, and
 - 2 “Text Messaging”:
 - a Means reading from or entering data into any handheld or other electronic device, including a device for the purpose of:
 - (i) Short message service texting,
 - (ii) E-mailing,
 - (iii) Instant messaging,
 - (iv) Obtaining navigational information,
 - (v) Engaging in any other form of electronic data retrieval, or
 - (vi) Engaging in any other form of electronic data communication, and
 - b Unless the practice is prohibited by State or local law, “distracted driving” does not include the use of a cell phone or other electronic device for the limited purposes of:
 - (i) Entering a telephone number to make an outgoing call, or
 - (ii) Answering an incoming call,
 - (b) Safety. The Recipient agrees to adopt and enforce workplace safety policies to decrease crashes caused by distracted drivers, including policies to ban text messaging while using an employer supplied electronic device, and driving:
 - 1 A vehicle the driver owns or rents,
 - 2 A vehicle the Recipient owns, leases or rents, or
 - 3 A privately-owned vehicle:

- a When on official Project-related business, or
 - b When performing any work for or on behalf of the Project,
 - (c) Recipient Size. The Recipient agrees to conduct workplace safety initiatives in a manner commensurate with its size, such as:
 - 1 Establishing new rules and programs to prohibit text messaging while driving,
 - 2 Re-evaluating the existing programs to prohibit text messaging while driving, and
 - 3 Providing education, awareness, and other outreach to employees about the safety risks associated with texting while driving, and
 - (d) Extension of Provision. The Recipient agrees:
 - 1 To include this Special Provision of section 39.c(3)(a) – (c) of this Master Agreement in its third party agreements, and
 - 2 To encourage its Third Party Participants to:
 - a Comply with this Special Provision, and
 - b Include this Special Provision in each third party subagreement at each tier financed with Federal funds.

Section 40. Substance Abuse.

- a. Drug-Free Workplace. The Recipient agrees to:
 - (1) Comply with the Drug-Free Workplace Act of 1988, as amended, 41 U.S.C. § 8103 *et seq.*,
 - (2) Comply with U.S. DOT regulations, “Governmentwide Requirements for Drug-Free Workplace (Financial Assistance),” 49 C.F.R. part 32, and any amendments to those regulations when they are issued, and
 - (3) Follow and facilitate compliance with U.S. OMB guidance, “Governmentwide Requirements for Drug-Free Workplace (Financial Assistance),” 2 C.F.R. part 182, particularly where the U.S. OMB provisions supersede comparable provisions of 49 C.F.R. part 32, and
- b. Alcohol Misuse and Prohibited Drug Use.
 - (1) Requirements. The Recipient agrees to comply, and assures its Third Party Participants will comply, with:
 - (a) Federal transit laws, specifically 49 U.S.C. § 5331, as amended by MAP-21,
 - (b) FTA regulations, “Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations,” 49 C.F.R. part 655, and
 - (c) Applicable provisions of U.S. DOT regulations, “Procedures for Transportation Workplace Drug and Alcohol Testing Programs,” 49 C.F.R. part 40, and
 - (2) Remedies for Non-Compliance. The Recipient agrees that if FTA determines that a Recipient of funds or a Third Party Participant receiving funds under 49 U.S.C. chapter 53 is not in compliance with 49 C.F.R. part 655, the Federal Transit Administrator may bar that Recipient or Third Party Participant from receiving all or a portion of the Federal transit assistance it would otherwise receive.

Section 41. Protection of Sensitive Security Information.

The Recipient agrees to comply with the following requirements for the protection of sensitive security information:

- a. The Homeland Security Act, as amended, specifically 49 U.S.C. § 40119(b), and U.S. DOT regulations, "Protection of Sensitive Security Information," 49 C.F.R. part 15, and
- b. The Aviation and Transportation Security Act, as amended, 49 U.S.C. § 114(r), and U.S. Department of Homeland Security, Transportation Security Administration regulations, "Protection of Sensitive Security Information," 49 C.F.R. part 1520.

Section 42. Special Notification Requirements for States. To the extent required under Federal law, the State, as the Recipient, agrees to provide the following information about FTA funding for State Programs or Projects:

- a. Types of Information. The State will provide information including:
 - (1) Identification of FTA as the Federal agency providing the Federal funds for the Program or Project,
 - (2) The Catalog of Federal Domestic Assistance Number of the Program from which the Federal funding for the Program or Project is authorized, and
 - (3) The amount of Federal funds FTA has provided for the Program or Project, and
- b. Documents. The State will provide the information required under this provision in the following documents:
 - (1) Grant or cooperative agreement applications,
 - (2) Requests for proposals, or solicitations,
 - (3) Forms,
 - (4) Notifications,
 - (5) Press releases, and
 - (6) Other publications.

Section 43. Freedom of Information Act. The Recipient understands and agrees that:

- a. Applicability. The Freedom of Information Act (FOIA), 5 U.S.C. § 552, applies to most information submitted to FTA and U.S. DOT, whether in typewritten hard copy or electronically,
- b. Project Records. All applications and materials it submits to FTA that are related to its Project:
 - (1) Have or will become Federal agency records, and
 - (2) Are or will be subject to FOIA and to public release through individual FOIA requests, unless FTA determines that a valid exemption under FOIA or another statute applies, and

- c. **Confidentiality.** President Obama’s “Memorandum for the Heads of Executive Departments and Agencies on the Freedom of Information Act,” dated January 21, 2009, directs Federal agencies to adopt a presumption that information should generally be disclosed when requested, and therefore:
- (1) Unless a Federal law or regulation requires that a document or other information be withheld, FTA does not consent to withhold information, irrespective of its format, merely because it is accompanied by a “routine” confidentiality statement that may appear on:
 - (a) Information about the Project,
 - (b) Information accompanying or supplementing the Project, or
 - (c) Any other information FTA may obtain,
 - (2) As provided by Federal laws, regulations, and guidance, FTA will review information and documents that are the subject of each FOIA request to determine the extent to which FTA must or should exercise its discretion to withhold the information or those documents, and
 - (3) Any genuinely confidential or privileged information should be:
 - (a) Marked clearly and specifically, and
 - (b) Justified as confidential or privileged under FOIA standards.

Section 44. Disputes, Breaches, Defaults, or Other Litigation. The Recipient understands and agrees that:

- a. **FTA Interest.** FTA has a vested interest in the settlement of any violation of Federal law, regulation, or disagreement involving the Project, including, but not limited to, a:
 - (1) Default or breach, or
 - (2) Major dispute or litigation,
- b. **Notification to FTA.** If a current or prospective legal matter that may affect the Federal Government emerges:
 - (1) The Recipient must promptly notify the:
 - (a) FTA Chief Counsel, or
 - (b) FTA Regional Counsel for the Region in which the Recipient is located,
 - (2) The types of legal matters that require notification include, but are not limited to:
 - (a) A major dispute, breach, or default,
 - (b) Credible evidence that a Principal, Official, Employee, Agent, or Third Party Participant of the Recipient, or other person:
 - 1 Has submitted a false claim under the False Claims Act, 31 U.S.C. § 3729 *et seq.*, or
 - 2 Has committed a criminal or civil violation of law pertaining to such matters as fraud, conflict of interest, bribery, gratuity, or similar misconduct involving Federal funding,
 - (c) Litigation, or
 - (d) Naming the Federal Government as a party to litigation or a legal disagreement in any forum for any reason,

- (3) Matters that may affect the Federal Government include, but are not limited to, the:
 - (a) Federal Government's interests in the Project, or
 - (b) Federal Government's administration or enforcement of Federal laws or regulations, and
 - (4) If a legal matter described in section 44.b(2)(b) of this Master Agreement emerges, the Recipient must promptly notify the U.S. DOT Inspector General, in addition to the FTA Chief Counsel or Regional Counsel for the Region in which the Recipient is located,
- c. Federal Interest in Recovery. The Federal Government has an interest in the proceeds of any recovery as follows:
- (1) General. The Federal Government retains the right to a proportionate share of any proceeds recovered from any third party, based on the percentage of the Federal share for the Project, but
 - (2) Liquidated Damages. Notwithstanding the preceding section 44.c(1) of this Master Agreement, the Recipient may return all liquidated damages it receives to its Project Account rather than return the Federal share of those liquidated damages to the Federal Government, provided that the Recipient receives FTA's prior written concurrence,
- d. Enforcement. The Recipient must pursue its legal rights and remedies available under:
- (1) Any third party agreement, or
 - (2) Any Federal, State, or local law or regulation,
- e. FTA Concurrence. If a legal matter described in section 44.b(2) or (3) of this Master Agreement involves the Project or the Recipient, FTA reserves the right to concur in any compromise or settlement, and
- f. Alternative Dispute Resolution. FTA encourages the Recipient to use alternative dispute resolution procedures, as may be appropriate.

Section 45. Amendments to the Project. The Recipient understands and agrees that:

- a. Changed Circumstances. It must execute an Amendment to the Underlying Agreement when a change in Project circumstances causes an inconsistency with the Underlying Agreement, or this Master Agreement, and
- b. Changed Information. When fundamental information in its Application is changed, it must:
 - (1) Amend its Application if the change takes place before FTA awards funding for the Project, and
 - (2) If necessary, execute an amendment to the Underlying Agreement if the change takes place after FTA awards funding for the Project.

Section 46. FTA's Electronic Award and Management System.

- a. Recipient Use. The Recipient understands and agrees that:

- (1) Unless FTA permits otherwise in writing, until FTA adopts a new electronic award and management system, the Recipient will use the current FTA Transportation Electronic Award and Management (TEAM) System to submit information, reports, and documents to FTA, and
 - (2) FTA may determine the extent to which the Recipient may use its electronic award and management system to execute legal documents, and
- b. Terms in FTA’s Electronic Award and Management System. The Recipient and FTA agree that:
- (1) Except as FTA states otherwise in writing, the terms in FTA’s electronic award and management system do not necessarily reflect, and are not intended to be treated as, the exclusive evidence of such matters as:
 - (a) The “Scope” of the Project,
 - (b) Project “Activities,” and
 - (c) The definition of terms for which FTA has adopted different meanings outside of FTA’s electronic award and management system, and
 - (2) FTA may treat information other than that reflected in its electronic award and management system as determinative of what constitutes:
 - (a) The “Scope” of the Project,
 - (b) Project “Activities,” and
 - (c) The definition of terms for which FTA has adopted different meanings outside of FTA’s electronic award and management system.

Section 47. Information Obtained through Internet Links. The Recipient understands and agrees that:

- a. Accuracy. Any information obtained through any electronic link in this Master Agreement:
 - (1) Does not represent an official version of any Federal law, regulation, or guidance, and
 - (2) Might be inaccurate,
- b. Relationship to the Master Agreement. Information obtained through electronic links in this Master Agreement is not incorporated by reference or made part of this Master Agreement, and
- c. Official Sources. Official sources of Federal regulatory information are the:
 - (1) *Federal Register*, and
 - (2) Code of Federal Regulations.

Section 48. Severability. The Recipient understands and agrees that if any provision of the Underlying Agreement or this Master Agreement is determined invalid, then the remaining provisions thereof that conform to Federal laws, regulations, and guidance will continue in effect.

SPECIAL PROVISIONS FOR SPECIFIC PROGRAMS

Section 49. Applicability of MAP-21 and Previous Authorization Requirements.

Because MAP-21, FTA's authorizing legislation, made significant changes to FTA's programs, the Recipient understands and agrees that:

- a. Source of Project Funding. To comply with the appropriate Federal program requirements for its Project, the Recipient must know:
 - (1) The program from which the Federal funding awarded for its Project was derived or will be derived,
 - (2) The fiscal year or fiscal years in which all Federal funding for its project was appropriated, and
 - (3) The Project and Project activities for which the all Federal funding was appropriated,

- b. FTA Determinations. FTA has made the following determinations, which are in effect unless FTA determines otherwise in writing:
 - (1) MAP-21 Requirements. MAP-21 requirements apply to:
 - (a) New Awards. New grants or cooperative agreements for which FTA awards funds made available or appropriated to carry out MAP-21 programs,
 - (b) Amendments. Amendments to existing grants or cooperative agreements for which FTA awards funds made available or appropriated to carry out MAP-21 programs, and
 - (c) Continued Programs. FTA Programs that FTA has determined to be continuing programs for purposes of MAP-21:
 - 1 Including:
 - a Planning Programs authorized by 49 U.S.C. § 5305,
 - b Fixed Guideway Capital Investment Grants (formerly, the Capital Investment Program) authorized by former 49 U.S.C. § 5309(b)(1), and
 - c The Transit Cooperative Research Program authorized by 49 U.S.C. § 5313, and
 - 2 For which Federal funding is awarded or will be awarded using funds made available in:
 - a Fiscal Year 2013 or a subsequent fiscal year,
 - b Fiscal Year 2012 or a previous fiscal year, or
 - c Both, and

 - (2) Previous Statutory and Regulatory Program Requirements. FTA has determined that:
 - (a) Program and Eligibility Requirements. Statutory program and eligibility requirements that apply to the use of Fiscal Year 2012 or a previous fiscal year funding will apply for programs, including:
 - 1 Certain new awards of Fiscal Year 2012 or a previous fiscal year funding,
 - 2 Certain amendments to existing grants or cooperative agreements, and
 - 3 Certain programs or projects for which FTA may award unobligated Fiscal Year 2012 and previous fiscal year funds, which include, but are not limited to:

- a The Urbanized Area Formula Grant Program under former 49 U.S.C. § 5307,
 - b The Clean Fuels Grant Program under former 49 U.S.C. § 5308,
 - c The Fixed Guideway Modernization Formula Grants Program under former 49 U.S.C. § 5309(b)(2),
 - d The discretionary Bus and Bus Facilities Grants Program under former 49 U.S.C. § 5309(b)(3),
 - e The Alaska-Hawaii Ferryboats Grants under former 49 U.S.C. § 5309(m)(6)(B),
 - f The Denali Commission Project under former 49 U.S.C. § 5309(m)(6)(C),
 - g Intermodal Terminals under former 49 U.S.C. § 5309(m)(7)(D),
 - h The Formula Grants Program for Special Needs of Elderly Individuals and Individuals with Disabilities under former 49 U.S.C. § 5310,
 - i The Formula Grants Program for Other Than Urbanized Areas under former 49 U.S.C. § 5311,
 - j Research, Development, Demonstration, and Deployment Projects under former 49 U.S.C. § 5312,
 - k The National Research Programs under former 49 U.S.C. § 5314,
 - l The Job Access and Reverse Commute Formula Grants under repealed 49 U.S.C. § 5316,
 - m The New Freedom Program under repealed 49 U.S.C. § 5317,
 - n The Paul S. Sarbanes Transit in the Parks Program under repealed 49 U.S.C. § 5320,
 - o The Alternatives Analysis Program under former 49 U.S.C. § 5339, and
 - p The Over-the-Road Bus Accessibility Program under repealed section 3038 of TEA-21, as amended by former section 3039 of SAFETEA-LU, and
- (b) Other Requirements. Requirements for those new awards, amendments, and continuing programs vary as follows:
- 1 For Continuing Programs. Federal statutory or regulatory program and eligibility requirements for Fiscal Year 2012 or a specific previous fiscal year will apply to new grants and cooperative agreements and to new amendments to grants and cooperative agreements that:
 - a Have been awarded funds made available or appropriated for Fiscal Year 2013 that FTA has awarded before March 26, 2013,
 - b Have been awarded Federal funds made available or appropriated for Fiscal Year 2012 or the previous fiscal year, or
 - c May be awarded Federal funds appropriated for Fiscal Year 2012 or the previous fiscal year, except that
 - 2 MAP-21 Cross-Cutting Requirements. Notwithstanding the preceding section 49.b(2)(a) and section 49.b(2)(b)1 of this Master Agreement, FTA has determined that MAP-21 cross-cutting requirements will apply to all FTA-funded grants and cooperative agreements regardless of the fiscal year in which the awarded funds were made available, which include:
 - a Metropolitan and Statewide Planning,
 - b Environmental Review Process,
 - c Agency Safety Plans,

- d Transit Asset Management Provisions (and Asset Inventory and Condition Reporting),
- e Costs Incurred by Providers of Public Transportation by Vanpool,
- f Revenue Bonds as Local Match,
- g Debt Service Reserve,
- h Government's Share of Cost of Vehicles, Vehicle-Equipment, and Facilities for ADA and Clean Air Act Compliance,
- i Private Sector Participation,
- j Bus Testing,
- k Buy America,
- l Corridor Preservation,
- m Rail Car Procurements,
- n Veterans Preference/Employment, and
- o Alcohol and Controlled Substance Testing,

The cross-cutting requirements listed above in this section 49.b(2)(b)2 of this Master Agreement have been published in FTA "Notice of FTA Transit Program Changes, Authorized Funding Levels and Implementation of the Moving Ahead for Progress in the 21st Century Act (MAP-21) and FTA Fiscal Year 2013 Apportionments, Allocations, Program Information and Interim Guidance; Notice" (the first FTA Apportionments Notice for Fiscal Year 2013), 77 *Fed. Reg.* 63670, October 16, 2012,

- c. Federal Regulations and Guidance. In administering its Project and Project activities, the Recipient agrees to:
 - (1) Comply with:
 - (a) Applicable Federal laws, and
 - (b) Applicable Federal regulations, except as superseded by conflicting Federal law, and
 - (2) Except as FTA determines otherwise in writing, follow:
 - (a) The most recent edition of applicable FTA Circulars, except as superseded by new Federal statutory or regulatory requirements or guidance provisions that apply, and
 - (b) All other applicable Federal guidance, and
- d. Future Federal Regulations and Guidance. As FTA determines is necessary:
 - (1) FTA may develop and issue Federal regulations and circulars, with an opportunity for public comment,
 - (2) FTA may also develop other implementing guidance, and
 - (3) Except as FTA determines otherwise in writing, the Recipient agrees to:
 - (a) Comply with Federal regulations that may be issued in the future to implement FTA's current and expired programs, and
 - (b) Follow Federal guidance that may be issued in the future to implement FTA's current and expired programs.

Section 50. Special Provisions for the Metropolitan Planning Programs. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 50. The Recipient understands and agrees that this section 50 of this Master Agreement applies to projects supported with funding appropriated or made available for 49 U.S.C. § 5305(d), which authorizes funding for the Metropolitan Planning Program to carry out 49 U.S.C. §§ 5303, 5304, and 5306,

- b. MAP-21 Requirements Apply. Because MAP-21 did not make any significant changes to the Metropolitan Planning Program authorized by former 49 U.S.C. § 5305(d) in effect in Fiscal Year 2012 or a previous fiscal year, the Recipient understands and agrees that MAP-21 requirements apply to its Project and Project activities under the Metropolitan Planning Program, irrespective of whether the funding for the Project or Project activities is derived from:
 - (1) MAP-21 funding made available or appropriated for 49 U.S.C. § 5305(d), or
 - (2) Funding for Fiscal Year 2012 or a previous fiscal year made available or appropriated for former 49 U.S.C. § 5305(d), and

- c. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the Metropolitan Planning Program supported with funding made available or appropriated for 49 U.S.C. § 5305(d):
 - (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Joint FHWA and FTA regulations, “Planning Assistance and Standards,” 23 C.F.R. part 450 and 49 C.F.R. part 613, to the extent those regulations are consistent with MAP-21, and any amendments to these regulations that may be issued to implement FTA requirements under MAP-21,
 - (c) Other applicable Federal laws and regulations, and
 - (d) Its Underlying Agreement, and section 49 and all other applicable provisions of this and applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The most recent edition of FTA Circular 8100, “Program Guidance for Metropolitan Planning and State Planning and Research Program Grants,” to the extent consistent with:
 - 1 Applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - 2 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 3 All Federal laws, regulations, and guidance,
 - (b) FTA’s “Policy Guidance on Metropolitan Planning Organization (MPO) Representation,” 79 *Fed. Reg.* 31214, June 2, 2014, and
 - (c) All other applicable Federal guidance.

Section 51. Special Provisions for the Statewide Planning and Research Program. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 51. The Recipient understands and agrees that this section 51 of this Master Agreement applies to projects supported with funding appropriated or made

available for 49 U.S.C. § 5305(e), which authorizes the Statewide Planning and Research Program,

- b. MAP-21 Requirements Apply. Because MAP-21 did not make any significant changes to the Statewide Planning and Research Program authorized by former 49 U.S.C. § 5305(e) in effect in Fiscal Year 2012 or a previous fiscal year, the Recipient understands and agrees that MAP-21 requirements apply to its Project and Project activities under the Statewide Planning and Research Programs, irrespective of whether the funding for this Project or these Project activities is derived from:
 - (1) MAP-21 funding made available or appropriated for the Statewide Planning and Research Program authorized by 49 U.S.C. § 5305(e), or
 - (2) Funding for Fiscal Year 2012 or a previous fiscal year made available or appropriated for the Statewide Planning and Research Programs, former 49 U.S.C. § 5305(e), and

- c. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the Statewide Planning and Research Program, supported with funding made available or appropriated for 49 U.S.C. § 5305(e):
 - (1) The Recipient agrees that to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Joint FHWA and FTA regulations, “Planning Assistance and Standards,” 23 C.F.R. part 450 and 49 C.F.R. part 613, to the extent consistent with MAP-21, and any amendments to these regulations that may be issued to implement FTA requirements under MAP-21,
 - (c) Its Underlying Agreement, and section 49 and all other applicable provisions of this Master Agreement, and
 - (d) Other applicable Federal laws and regulations, and
 - (2) The Recipient agrees to follow:
 - (a) The most recent edition of FTA Circular 8100, “ Program Guidance for Metropolitan Planning and State Planning and Research Program Grants,” to the extent consistent with:
 - 1 Applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - 2 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 3 All applicable Federal laws, regulations, and guidance,
 - (b) FTA’s “Policy Guidance on Metropolitan Planning Organization (MPO) Representation,” 79 *Fed. Reg.* 31214, June 2, 2014, and
 - (c) All other applicable Federal guidance.

Section 52. Special Provisions for the Transit-Oriented Development Planning Pilot Program. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 52. The Recipient understands and agrees that this section 52 of this Master Agreement applies to projects supported with funding appropriated or made available for 49 U.S.C. § 5303 note, as amended by section 20005(b) of MAP-21, which authorizes the Transit-Oriented Development Planning Pilot Program, and

- b. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the Transit-Oriented Development Planning Program supported with funding made available or appropriated for section 20005(b) of MAP-21, 49 U.S.C. § 5303 note:
 - (1) The Recipient agrees to comply with:
 - (a) Section 20005(b) of MAP-21, 49 U.S.C. § 5303 note, and other applicable requirements 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement and applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow all applicable guidance pertaining to the Transit-Oriented Development Planning Pilot Program and all other applicable Federal guidance.

Section 53. Special Provisions for the Alternatives Analysis Program Formerly Authorized Before MAP-21 Became Effective. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 53. The Recipient understands and agrees that this section 53 of this Master Agreement applies to projects supported with funding appropriated or made available for former 49 U.S.C. § 5339 in effect in Fiscal Year 2012 or a previous fiscal year, which authorized the previous Alternatives Analysis Program,
- b. Former 49 U.S.C. § 5328. The Recipient understands and agrees that section 20002(a) of MAP-21 expressly repeals 49 U.S.C. § 5328, which required Alternatives Analysis as a condition precedent for a New Starts or Small Starts project under former 49 U.S.C. § 5309, and
- c. Federal Laws, Regulations, and Guidance. In administering its Alternatives Analysis Project supported with funding made available or appropriated for former 49 U.S.C. § 5339 in effect in Fiscal Year 2012 or a previous fiscal year:
 - (1) The Recipient agrees to comply with:
 - (a) All program and eligibility requirements applicable to the Alternatives Analysis Program authorized by former 49 U.S.C. § 5339, for that fiscal year in which the Federal appropriations were made available or will be made available for its Project and Project activities under this program, and
 - (b) Its Underlying Agreement, and section 49 and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow all applicable Federal guidance, to the extent consistent with:
 - (a) The program and eligibility requirements of the Alternatives Analysis Program formerly authorized under former 49 U.S.C. § 5339, for that fiscal year in which funding was appropriated or made available for the Project,
 - (b) The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - (c) All other applicable Federal laws, regulations, and guidance.

Section 54. Special Provisions for the Urbanized Area Formula Grant Program

Authorized by MAP-21. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 54. The Recipient understands and agrees that this section 54 of this Master Agreement applies to projects supported with funding appropriated or made available for the Urbanized Area Formula Grant Program, authorized by 49 U.S.C. § 5307, as amended by section 20007 of MAP-21,
- b. MAP-21 Amendments. The Recipient understands and agrees that, among other things, the Urbanized Area Formula Grant Program modifications authorized under section 20007 of MAP-21 include:
 - (1) Increasing the number of recipients eligible for awards of Urbanized Area Formula Grant Program funding for public transportation operations,
 - (2) Authorizing the funding of projects and activities that were previously eligible for funding under the repealed 49 U.S.C. § 5316, which authorized the Job Access and Reverse Commute (JARC) Program,
 - (3) Authorizing competitive awards for passenger ferries,
 - (4) Adding requirements for a public transportation safety plan, and
 - (5) Substituting the term “associated transit improvement” for “transit enhancement,” and excluding the following activities that were previously eligible as “transit enhancements” (*see also* 49 U.S.C. § 5302(l) and section 1.d of this Master Agreement):
 - (a) Public art,
 - (b) Tables,
 - (c) Beautification,
 - (d) Historic buildings not used for public transportation, and
 - (e) Transit connections to parks in the Recipient’s service area,
- c. Federal Laws, Regulations, and Guidance. In administering its Project or Project activities under the Urbanized Area Formula Grants Program, as established under MAP-21:
 - (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement, and all applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The most recent edition of FTA Circular 9030, “Urbanized Area Formula Program: Program Guidance and Application Instructions,” to the extent consistent with applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21, and other applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance, and
- d. Other Special Provisions for Urbanized Area Formula Projects Authorized by MAP-21. The Recipient understands and agrees to the following:
 - (1) Fares and Services. The Recipient must have and use its established administrative process to solicit and consider public comment before increasing fares or instituting a major reduction of service,

- (2) Audit Requirements. The Recipient agrees that the Federal Government or the Recipient, through an independent entity, will conduct audits that apply the U.S. GAO, “Government Auditing Standards,” such as:
- (a) Annual reviews and audits required by 49 U.S.C. § 5307,
 - (b) “Single Annual Audits” required by The Single Audit Act Amendments of 1996, 31 U.S.C. § 7501 *et seq.*, under the standards of U.S. OMB Circular A-133, until U.S. DOT promulgates new regulations implementing that will supersede and apply in lieu of 49 C.F.R. parts 18 and 19, and
 - (c) More frequent reviews and audits authorized by Federal law, regulation or guidance,
- (3) Half-Fare Requirements. The Recipient agrees that it must ensure that during non-peak hours, a fare not exceeding fifty (50) percent of the peak hour fare for use in service of or involving a facility or equipment of a Project financed under 49 U.S.C. § 5307, will be charged to any:
- (a) Senior (Elderly Individual),
 - (b) 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
 - (c) Individual presenting a Medicare card issued to that individual under title II or title XVIII of the Social Security Act, 42 U.S.C. § 401 *et seq.*, and 42 U.S.C. § 1395 *et seq.*, respectively,
- (4) Public Transportation Security. If the Recipient receives 49 U.S.C. § 5307 funding apportioned for the urbanized area, it must ensure that each fiscal year:
- (a) The Designated Recipients in the urbanized area will spend at least one (1) percent of the total 49 U.S.C. § 5307 funding apportioned to the urbanized area for public transportation security projects as described in 49 U.S.C. § 5307(c)(1)(J)(i), as amended by MAP-21, or
 - (b) The Designated Recipients in that urbanized area have determined that it is unnecessary to incur those expenses for public transportation security projects,
- (5) Associated Transit Improvements. If the Recipient receives 49 U.S.C. § 5307 funding apportioned for an urbanized area with 200,000 or more population, it must ensure that each fiscal year:
- (a) The Designated Recipients in the urbanized area spend at least one percent of the total 49 U.S.C. § 5307 funding apportioned to the urbanized area for associated transit improvements (*see supra* section 54.b(5) of this Master Agreement), and
 - (b) Submit an annual report listing the projects carried out in the preceding fiscal year with those Urbanized Area Formula Grant Program funds,
- (6) Reporting Requirements. The Recipient agrees and assures as follows:
- (a) National Transit Database. For each fiscal year it receives or provides to any public transportation operator funding for the Urbanized Area Formula Grant Program, it will require the public transportation operators participating in its Project to comply with the National Database requirements of section 8.c of this Master Agreement,
 - (b) Transit Asset Management. It will comply with FTA’s Transit Asset Management Program regulations when implemented pursuant to 49 U.S.C. § 5326, as amended by MAP-21, and

- (c) Other Regulations and Guidance. It will comply with any other applicable Federal reporting regulations and follow all applicable Federal guidance,
- (7) Public Transportation Emergency Relief Project Requirements. For a Project that addresses an emergency defined by 49 U.S.C. § 5324(a)(2) and is supported with funding made available or appropriated for 49 U.S.C. § 5307, as amended by MAP-21, the Recipient agrees to:
 - (a) Use that funding only for Project expenses not reimbursed under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. § 5121 *et seq.*,
 - (b) Comply with FTA regulations, “Emergency Relief,” 49 C.F.R. part 602,
 - (c) Comply with the terms and conditions that FTA determines necessary for the Project, and
 - (d) Follow applicable Federal guidance, and
- (8) Participation of Subrecipients. The Recipient agrees to enter into a written agreement with each Subrecipient, which agreement includes provisions that describe the Subrecipient’s responsibilities and assures that the Subrecipient will not compromise the Recipient’s compliance with:
 - (a) Any Federal requirements that apply to the Project, and
 - (b) The Recipient’s commitments under its Underlying Agreement and this Master Agreement.

Section 55. Special Provisions for the Urbanized Area Formula Grant Program Formerly Authorized Before MAP-21 Became Effective. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 55. The Recipient understands and agrees that this section 55 of this Master Agreement applies to projects supported with funding appropriated or made available for former 49 U.S.C. § 5307 in effect in Fiscal Year 2012 or a previous fiscal year, which authorized the previous Urbanized Area Formula Grant Program,
- b. Former 49 U.S.C. § 5307. The Recipient understands and agrees that the Urbanized Area Formula Grant Program, authorized by former 49 U.S.C. § 5307 in effect in Fiscal Year 2012 or a previous fiscal year:
 - (1) Provides less availability of funding for public transportation operations than is available under MAP-21,
 - (2) Does not authorize the funding of projects and activities focused primarily on job access and reverse commute, and
 - (3) Does not recognize streetscaping as an eligible transit enhancement,
- c. Federal Laws, Regulations, and Guidance. In administering its Project or Project activities under the Urbanized Area Formula Grant Program supported with funding made available or appropriated for former 49 U.S.C. § 5307 in effect in Fiscal Year 2012 or a previous fiscal year:
 - (1) The Recipient agrees to comply with:
 - (a) The program and eligibility requirements applicable to the Urbanized Area Formula Grant Program, former 49 U.S.C. § 5307, for that fiscal year in which the Federal

- appropriations were then or will be made available for its Urbanized Area Project and Project activities,
- (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement, and section 49 and all other applicable provisions of this Master Agreement, and
- (2) The Recipient agrees to follow:
- (a) The applicable edition of FTA Circular 9030.1, “Urbanized Area Formula Program: Program Guidance and Application Instructions,” to the extent consistent with:
 - 1 The program and eligibility requirements of the Urbanized Area Formula Program formerly authorized under former 49 U.S.C. § 5307, for that fiscal year in which funding was appropriated or made available for the Project,
 - 2 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 3 Applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance, and
- d. Other Special Provisions for Urbanized Area Formula Projects in Effect in Fiscal Year 2012 or a Previous Fiscal Year. The Recipient understands and agrees to the following:
- (1) Fares and Services. The Recipient must have and use its established administrative process to solicit and consider public comment before increasing fares or instituting a major reduction of service,
 - (2) Audit Requirements. The Recipient agrees that the Federal Government or the Recipient, through an independent entity, will conduct audits that apply the U.S. GAO, “Government Auditing Standards,” such as:
 - (a) Annual reviews and audits required by former 49 U.S.C. § 5307 in effect in Fiscal Year 2012 or a previous fiscal year,
 - (b) “Single Annual Audits” required by The Single Audit Act Amendments of 1996, 31 U.S.C. § 7501 *et seq.*, under the standards of U.S. OMB Circular A-133, until U.S. DOT promulgates new regulations, 2 C.F.R. part 1201 that will supersede and apply in lieu of 49 C.F.R. parts 18 and 19, and
 - (c) More frequent reviews and audits required by other laws and regulations and as provided in Federal guidance,
 - (3) Half-Fare Requirements. The Recipient agrees that it must ensure that during its non-peak hours, a fare not exceeding fifty (50) percent of the peak hour fare for the use in service of, or involving a facility or equipment of its Project financed under former 49 U.S.C. § 5307 in effect in Fiscal Year 2012 or a previous fiscal year, will be charged to any:
 - (a) Senior (Elderly Individual),
 - (b) 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
 - (c) Individual presenting a Medicare card issued to that individual under title II or title XVIII of the Social Security Act, 42 U.S.C. § 401 *et seq.*, and 42 U.S.C. § 1395 *et seq.*, respectively,

- (4) Public Transportation Security. If the Recipient receives funding made available or appropriated for Fiscal Year 2012 or a previous fiscal year for former 49 U.S.C. § 5307, it must ensure that:
- (a) Each fiscal year, the Designated Recipients in the urbanized area will spend at least one percent of the total former 49 U.S.C. § 5307 funding apportioned to the urbanized area for public transportation security projects as described in former 49 U.S.C. § 5307(d)(1)(J)(i) in effect in Fiscal Year 2012 or a previous fiscal year, or
 - (b) The Designated Recipients in that urbanized area have determined that it is unnecessary to incur those expenses for public transportation security projects,
- (5) Transit Enhancements. If the Recipient receives former 49 U.S.C. § 5307 funding apportioned for an urbanized area with 200,000 or more population, it must ensure that:
- (a) Each fiscal year, the Designated Recipients in the urbanized area spend at least one percent of the total former 49 U.S.C. § 5307 funding apportioned to the urbanized area for transit enhancements as described in former 49 U.S.C. § 5302(a) in effect in Fiscal Year 2012 or a previous Fiscal Year in which former SAFETEA-LU requirements apply, and
 - (b) The Designated Recipients submit an annual report listing the projects carried out in the preceding fiscal year with those Urbanized Area Formula Grant Program funds,
- (6) Reporting Requirements. The Recipient agrees and assures as follows:
- (a) National Transit Database. For each fiscal year it receives or provides to any public transportation operator funding for the Urbanized Area Formula Grant Program, it will require the public transportation operators participating in its Project to comply with the National Database requirements of section 8.c of this Master Agreement,
 - (b) Transit Asset Management. It will comply with FTA's Transit Asset Management Program regulations when implemented pursuant to 49 U.S.C. § 5326, as amended by MAP-21, and
 - (c) Other Regulations and Guidance. It will comply with any other applicable Federal reporting regulations and follow all applicable Federal guidance,
- (7) Public Transportation Emergency Relief Project Requirements. For a Project that addresses an emergency defined by 49 U.S.C. § 5324(a)(2), as amended by MAP-21, and is supported with funding made available or appropriated for 49 U.S.C. § 5307, the Recipient agrees to:
- (a) Use that funding only for expenses that are not reimbursed under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. § 5121 *et seq.*,
 - (b) Comply with FTA regulations, "Emergency Relief," 49 C.F.R. part 602,
 - (c) Comply with the terms and conditions that FTA determines necessary for the Project, and
 - (d) Follow Federal guidance, and
- (8) Participation of Subrecipients. The Recipient agrees to enter into a written agreement with each Subrecipient, which agreement includes provisions that describe the Subrecipient's responsibilities and assures that the Subrecipient will not compromise the Recipient's compliance with:
- (a) Any Federal requirements that apply to the Project, and
 - (b) The Recipient's commitments under its Underlying Agreement and this Master Agreement.

Section 56. Special Provisions for the Passenger Ferry Grant Program. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 56. The Recipient understands and agrees that this section 56 of this Master Agreement applies to projects supported with funding appropriated or made available for 49 U.S.C. § 5307(h), as amended by section 20007 of MAP-21, which authorizes the Passenger Ferry Grant Program, and
- b. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the Passenger Ferry Grant Program authorized by 49 U.S.C. § 5307(h), as amended by MAP-21:
 - (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The most recent FTA Notice of Funding Availability and the Solicitation of Project Proposals for the Passenger Ferry Grant Program to the extent that its provisions are consistent with applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance.

Section 57. Special Provisions for the Job Access and Reverse Commute (JARC) Formula Grants Program Formerly Authorized Before MAP-21 Became Effective. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 57. The Recipient understands and agrees that this section 57 of this Master Agreement applies to projects supported with funding appropriated or made available for former 49 U.S.C. § 5316 in effect in Fiscal Year 2012 or a previous fiscal year, which authorized the Jobs Access and Reverse Commute (JARC) Grant Program,
- b. Former 49 U.S.C. § 5316. The Recipient understands and agrees that:
 - (1) Section 20002(a) of MAP-21 expressly repeals 49 U.S.C. § 5316, which authorized the JARC Program through separate statutory authority,
 - (2) MAP-21 does not re-authorize a separate JARC Program, but
 - (3) Section 20007 of MAP-21 amends 49 U.S.C. § 5307 to add those JARC Projects and Project activities previously funded under former 49 U.S.C. § 5316, to the other Projects and Project activities eligible for assistance under the:
 - (a) Urbanized Area Formula Grant Program authorized by 49 U.S.C. § 5307, as amended by MAP-21, and
 - (b) Formula Grants Program for Rural Areas authorized by 49 U.S.C. § 5311, as amended by MAP-21,

- c. Federal Laws, Regulations, and Guidance. In administering its Project or Project activities under the JARC Program supported with funding made available or appropriated for former 49 U.S.C. § 5316 in effect in Fiscal Year 2012 or a previous fiscal year:
- (1) The Recipient agrees to comply with:
 - (a) The Program and eligibility requirements applicable to the JARC Program, repealed 49 U.S.C. § 5316, for that fiscal year in which the Federal appropriations were then or will be made available for its JARC Project and Project activities,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement, and section 49 and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The most recent edition of FTA Circular 9050.1, “The Job Access and Reverse Commute (JARC) Program Guidance and Application Instructions,” to the extent consistent with:
 - 1 The program and eligibility requirements applicable to the JARC Program formerly authorized under repealed 49 U.S.C. § 5316, for that fiscal year in which funding was appropriated or made available for the Project,
 - 2 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 3 Applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance,
- d. Eligible Project Activities. As specified in FTA Circular 9050.1, “The Job Access and Reverse Commute (JARC) Program Guidance and Application Instructions,” Federal funds provided for its Underlying Agreement and subagreements for the JARC Program include capital, planning, and operating expenses that:
- (1) Support the development and maintenance of transportation services designed to transport low-income individuals to and from jobs, and
 - (2) Activities related to their employment and to support reverse commute projects,
- e. Consistency with Transportation Plans. The Projects selected must be consistent with:
- (1) The locally developed and coordinated public transit-human services transportation plan, and
 - (2) The applicable State management plan, and
- f. Written Agreements with Subrecipients. The Recipient agrees to enter into a written agreement with each Subrecipient, which agreement includes provisions that describe the Subrecipient’s responsibilities and assures that the Subrecipient will not compromise the Recipient’s compliance with:
- (1) Any Federal requirements that apply to the Project, and
 - (2) The Recipient’s commitments under its Underlying Agreement and this Master Agreement.

Section 58. Special Provisions for the Fixed Guideway Capital Investment Grants Program. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 58. The Recipient understands and agrees that this section 58 of this Master Agreement applies to fixed guideway capital investment projects supported with funding appropriated or made available for 49 U.S.C. § 5309, as amended by section 20008 of MAP-21,

- b. MAP-21 Requirements Apply. Except as FTA determines otherwise in writing, the Recipient understands and agrees that MAP-21 requirements apply to Fixed Guideway Capital Investment Program Grants, authorized by 49 U.S.C. § 5309(b), irrespective of whether financed with:
 - (1) Funding made available or appropriated for 49 U.S.C. § 5309, as amended by MAP-21, or
 - (2) Funding made available or appropriated for former 49 U.S.C. § 5309(b)(1) in effect in Fiscal Year 2012 or a previous fiscal year,

- c. MAP-21 Amendments. The Recipient understands and agrees that:
 - (1) Section 20008 of MAP-21 amends 49 U.S.C. § 5309:
 - (a) By limiting the projects eligible for Federal funding under the Fixed Guideway Capital Investment Grants Program authorized by 49 U.S.C. § 5309, as amended by MAP-21, to New Starts, Small Starts, and Core Capacity Projects,
 - (b) Without re-authorizing the Fixed Guideway Modernization Program formerly authorized by 49 U.S.C. § 5309(b)(2) in effect in Fiscal Year 2012 or a previous fiscal year, and
 - (c) Without re-authorizing the Bus and Bus Facilities Program formerly authorized by 49 U.S.C. § 5309(b)(3) in effect in Fiscal Year 2012 or a previous fiscal year, and
 - (2) Remaining Programs. MAP-21 retains the following in the Fixed Guideway Capital Investment Grants Program authorized by 49 U.S.C. § 5309, as amended by MAP-21:
 - (a) New Fixed Guideway Projects (New Starts Projects) that require:
 - 1 At least \$75,000,000 or more Federal funding be awarded for projects and activities eligible under 49 U.S.C. § 5309(b)(1), and
 - 2 FTA and the Recipient to enter into a Full Funding Grant Agreement to provide funding and establish terms and conditions for the Project,
 - (b) Small Starts Projects that require:
 - 1 Federal funding to be limited to less than \$75,000,000 for projects and activities eligible under 49 U.S.C. § 5309(b)(1),
 - 2 The total estimated net project cost of the entire Project to be limited to less than \$250,000,000, and
 - 3 FTA to use a Small Starts Grant Agreement to provide funding and establish terms and conditions for the Project, and
 - (c) Core Capacity Improvement Projects that require:
 - 1 Federal funding to be used for Core Capacity Improvement projects and activities eligible under 49 U.S.C. § 5309(b)(2) as amended by MAP-21, but not for projects or activities designed to maintain a state of good repair of the existing fixed guideway system,
 - 2 The Recipient's public transportation system's capacity to increase by at least ten (10) percent in the corridor, and
 - 3 FTA and the Recipient to enter into a Full Funding Grant Agreement to provide funding and establish terms and conditions for the Project, and

- d. Federal Laws, Regulations, and Guidance. In administering its Project or Project activities under the Fixed Guideway Capital Investment Program supported with funding made available or appropriated for 49 U.S.C. § 5309, as amended by MAP-21:
- (1) The Recipient agrees that to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) FTA regulations, “Major Capital Investment Projects,” 49 C.F.R. part 611,
 - (c) FTA regulations, “Project Management Oversight,” 49 C.F.R. part 633,
 - (d) Other Federal laws and regulations applicable to the Project and Recipient,
 - (e) The terms and conditions accompanying a New Starts Project that are or will be set forth in a Full Funding Grant Agreement that:
 - 1 Includes provisions having special applicability to New Starts projects, and
 - 2 Supersedes conflicting provisions of this Master Agreement,
 - (f) The terms and conditions accompanying a Small Starts Project that are or will be set forth in a Small Starts Grant Agreement that:
 - 1 Includes provisions having special applicability to Small Starts projects, and
 - 2 Supersedes conflicting provisions of this Master Agreement,
 - (g) The terms and conditions accompanying a Core Capacity Improvement Project that will be set forth in a Full Funding Grant Agreement that:
 - 1 Include provisions having special applicability to Core Capacity Improvement Projects, and
 - 2 Supersedes conflicting provisions of this Master Agreement, and
 - (h) Its Underlying Agreement and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The applicable edition of FTA Circular 5200.1, “Full Funding Grant Agreements Guidance,” to the extent consistent with applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21, and other applicable Federal laws, regulations, and guidance,
 - (b) FTA guidance, “Notice of Availability of New Starts and Small Starts Policy Guidance, published in the Federal Register, 78 *Fed. Reg.* 49372, August 14, 2013, and
 - (c) All other applicable Federal guidance.

Section 59. Special Provisions for the State of Good Repair Formula Grants Program.

Except as FTA determines otherwise in writing:

- a. Applicability of This Section 59. The Recipient understands and agrees that this section 59 of this Master Agreement applies to projects supported with funding appropriated or made available for 49 U.S.C. § 5337(d), as amended by section 20027 of MAP-21, which authorizes the State of Good Repair Formula Grants Program, and
- b. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the State of Good Repair Program that are supported with funding made available or appropriated for 49 U.S.C. § 5337, as amended by MAP-21:

- (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable Federal laws and regulations, including 49 C.F.R. part 633, Project Management Oversight, and
 - (c) Its Underlying Agreement and all other applicable provisions of this Master Agreement, and
- (2) The Recipient agrees to follow:
 - (a) FTA Circular 5300.1, “State of Good Repair Program: Guidance and Application Instructions,” when issued, and
 - (b) All other applicable Federal guidance when developed.

Section 60. Special Provisions for the Fixed Guideway Modernization Grants Program Formerly Authorized Before MAP-21 Became Effective. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 60. The Recipient understands and agrees that this section 60 of this Master Agreement applies to projects supported with funding appropriated or made available for former 49 U.S.C. § 5309 in effect in Fiscal Year 2012 or a previous fiscal year, which authorized the previous Fixed Guideway Modernization Grants Program,
- b. Former 49 U.S.C. § 5309. The Recipient understands and agrees that section 20008 of MAP-21 amends 49 U.S.C. § 5309 without re-authorizing the Fixed Guideway Modernization Program, and
- c. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the Fixed Guideway Modernization Program supported with funding made available or appropriated for former 49 U.S.C. § 5309 in effect in Fiscal Year 2012 or a previous fiscal year:
 - (1) The Recipient agrees to comply with:
 - (a) The program and eligibility requirements applicable to the Fixed Guideway Modernization Program, former 49 U.S.C. § 5309(b)(2), for that fiscal year in which the Federal appropriations were then or will be made available for its Fixed Guideway Modernization Project and Project activities,
 - (b) Other applicable Federal laws and regulations, including 49 C.F.R. part 633, Project Management Oversight, and
 - (c) Its Underlying Agreement, and section 49 and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The applicable edition of FTA Circular 9300.1, “Capital Investment Program Guidance and Application Instructions,” to the extent consistent with:
 - 1 The program and eligibility requirements applicable to the Fixed Guideway Modernization Program for the specific fiscal year the funding was available,
 - 2 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 3 All applicable Federal guidance, and

- (b) All other applicable Federal guidance.

Section 61. Special Provisions for the Bus and Bus Facilities Formula Program. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 61. The Recipient understands and agrees that this section 61 of this Master Agreement applies to projects supported with funding appropriated or made available for 49 U.S.C. § 5339, as amended by section 20029 of MAP-21, which authorizes the Bus and Bus Facilities Formula Program, and
- b. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the Bus and Bus Facilities Formula Program supported with funding made available or appropriated for 49 U.S.C. § 5339, as amended by MAP-21:
 - (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The applicable edition of FTA Circular, “Bus and Bus Facilities: Guidance and Application Instructions” when issued, and
 - (b) All other applicable Federal guidance.

Section 62. Special Provisions for the Discretionary Bus and Bus Facilities Grants Program Formerly Authorized Before MAP-21 Became Effective. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 62. The Recipient understands and agrees that this section 62 of this Master Agreement applies to projects supported with funding appropriated or made available for former 49 U.S.C. § 5309 in effect in Fiscal Year 2012 or a previous fiscal year, which authorized the previous Discretionary Bus and Bus Facilities Grants Program,
- b. Former 49 U.S.C. § 5309. The Recipient understands and agrees that MAP-21 did not re-authorize the discretionary Bus and Bus Facilities Grant Program, former 49 U.S.C. § 5309(b)(3), when section 20029 of MAP-21 amended 49 U.S.C. § 5339, establishing the Bus and Bus Facilities Formula Grants Program, and
- c. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the discretionary Bus and Bus Facilities Grants Program supported with funding made available or appropriated for former 49 U.S.C. § 5309(b)(3) in effect in Fiscal Year 2012 or a previous fiscal year:
 - (1) The Recipient agrees to comply with:
 - (a) The Program and eligibility requirements that apply to the former 49 U.S.C. § 5309(b)(3), for that fiscal year in which the Federal appropriations were then or

- will be made available for its discretionary Bus and Bus Facilities Project and Project activities, or
- (b) Other applicable Federal laws and regulations, and
- (c) Its Underlying Agreement, and section 49 and all other applicable provisions of this Master Agreement, and
- (2) The Recipient agrees to follow:
 - (a) The applicable edition of FTA Circular 9300.1, “Capital Investment Program Guidance and Application Instructions,” to the extent consistent with:
 - 1 The program and eligibility requirements applicable to the discretionary Bus and Bus Facilities Grants Program, former 49 U.S.C. § 5309, for that fiscal year in which funding was appropriated or made available for the Project,
 - 2 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 3 All applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance.

Section 63. Special Provisions for the Enhanced Mobility of Seniors and Individuals with Disabilities Formula Program. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 63. The Recipient understands and agrees that this section 63 of this Master Agreement applies to projects supported with funding authorized or made available for 49 U.S.C. § 5310, as amended by section 20009 of MAP-21, which authorizes the Enhanced Mobility of Seniors and Individuals with Disabilities Formula Program,
- b. MAP-21 Amendments. The Recipient understands and agrees that, among other things:
 - (1) MAP-21 amends the Special Needs of Elderly Individuals and Individuals with Disabilities Program, former 49 U.S.C. § 5310, by:
 - (a) Changing the name of the program supporting seniors and individuals with disabilities from the “Formula Grants for the Special Needs of Elderly Individuals and Individuals with Disabilities Program” to the “Enhanced Mobility of Seniors and Individuals with Disabilities Formula Program,”
 - (b) Substituting the term “seniors” for “elderly individuals,”
 - (c) Authorizing Designated Recipients, in addition to States, to serve as direct Recipients of 49 U.S.C. § 5310 funding,
 - (d) Authorizing any Recipient or Subrecipient to use 49 U.S.C. § 5310 funds for operations,
 - (e) Authorizing the funding of projects and activities under 49 U.S.C. § 5310 that had been eligible for funding under repealed 49 U.S.C. § 5317, which authorized the New Freedom Program, and
 - (f) Authorizing, but not requiring, the use of a competitive process to award funds to Subrecipients, in addition to the authority to make discretionary awards of funds to Subrecipients, and
 - (2) Section 20002(c)(3) expressly repeals section 3012(b) of SAFETEA-LU, 49 U.S.C. § 5310 note, without re-authorizing the Elderly Individuals and Individuals with Disabilities Pilot Program,

- c. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the Enhanced Mobility of Seniors and Individuals with Disabilities Formula Program supported with funding made available or appropriated for 49 U.S.C. § 5310, as amended by MAP-21:
- (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The most recent edition of FTA Circular 9070.1, “Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance and Application Instructions,” and
 - (b) All other applicable Federal guidance, and
- d. Other Special Provisions for the Enhanced Mobility of Seniors and Individuals with Disabilities Formula Program Authorized by MAP-21.
- (1) Eligible Subrecipients. The Recipient agrees to provide 49 U.S.C. § 5310 funds only to a Subrecipient that qualifies as:
 - (a) A private nonprofit organization, or
 - (b) A State or local governmental authority that:
 - 1 Is approved by a State to coordinate services for seniors and individuals with disabilities, or
 - 2 Certifies that there are no private nonprofit organizations readily available in the the Recipient’s geographical area to provide services authorized under the Enhanced Mobility of Seniors and Individuals with Disabilities Formula Program,
 - (2) Eligible Project Activities. Federal funds provided for its Underlying Agreement and subagreements may be used for the following projects:
 - (a) Capital,
 - (b) Purchase of service agreements with private providers of public transportation service,
 - (c) Operations,
 - (d) Technical assistance,
 - (e) Administrative,
 - (f) Planning,
 - (g) Meal delivery service, as permitted by 49 U.S.C. § 5310(b)(7), as amended by MAP-21, and
 - (h) Alternatives to public transportation that assist seniors and individuals with disabilities with transportation,
 - (3) Consistency with Transportation Plans. The Projects selected must be consistent with:
 - (a) The locally developed and coordinated public transit-human services transportation plan applicable to the Recipient, and
 - (b) The applicable State management plan,
 - (4) Transfers of Funds.

- (a) Transfers from Other Federal Programs. The Recipient agrees that funds transferred from other Federal programs to this Program must be used for projects eligible for funding under 49 U.S.C. § 5310, as amended by MAP-21,
- (b) Transfers of Funds Apportioned to Small Urbanized Areas and Rural Areas under 49 U.S.C. § 5310(c)(1)(B) and (C). The Recipient understands and agrees that it may transfer funds apportioned to Small Urbanized Areas or Rural Areas under 49 U.S.C. § 5310(c)(1)(B) and (C):
 - 1 To a project in a large urbanized area (an urbanized area with a population of 200,000 or more individuals, as determined by the Bureau of the Census) if the Governor of the Recipient's State certifies that the objectives of the Section 5310 Program are being met in the small urbanized or rural areas that receive the initial apportionment, or
 - 2 To a project anywhere in the Recipient's State, provided that the State has established a statewide program for meeting the objectives of 49 U.S.C. § 5310, but
 - 3 Any funds apportioned to an area and transferred to another area are available only for eligible projects under 49 U.S.C. § 5310, and
- (5) Transfer of Project Property. As provided by 49 U.S.C. § 5310(g), the Recipient understands and agrees that it may transfer Section 5310 funded property to another entity eligible to receive funding under 49 U.S.C. chapter 53, provided that:
 - (a) The Subrecipient possessing the property consents to the transfer, and
 - (b) The transferred property will continue to be used to meet the special needs of seniors or individuals with disabilities for public transportation service, and
- (6) Written Agreements with Subrecipients. The Recipient agrees to enter into a written agreement with each Subrecipient, which agreement includes provisions that describe the Subrecipient's responsibilities and assures that the Subrecipient will not compromise the Recipient's compliance with:
 - (a) Any Federal requirements that apply to the Project, and
 - (b) The Recipient's commitments under its Underlying Agreement and this Master Agreement.

Section 64. Special Provisions for the Formula Grants Program for the Special Needs of Elderly Individuals and Individuals with Disabilities Formerly Authorized Before MAP-21 Became Effective. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 64. The Recipient understands and agrees that this section 64 of this Master Agreement applies to projects supported with funding appropriated or made available for former 49 U.S.C. § 5310 in effect in Fiscal Year 2012 or a previous fiscal year, which authorized the Special Needs of Elderly Individuals and Individuals with Disabilities Program,
- b. Former 49 U.S.C. § 5310. The Recipient understands and agrees that, among other things:
 - (1) MAP-21 amends the Special Needs of Elderly Individuals and Individuals with Disabilities Program, former 49 U.S.C. § 5310, including those changes listed in section 63.b(1) of this Master Agreement,

- (2) Section 20002(c)(3) expressly repeals section 3012(b) of SAFETEA-LU, 49 U.S.C. § note, without re-authorizing the Elderly Individuals and Individuals with Disabilities Pilot Program, and
 - (3) Section 20002(b) expressly repeals section 3038 of TEA-21, as amended, 49 U.S.C. § 5310 note, without re-authorizing the Over-the-Road Bus Accessibility Program,
- c. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the Special Needs of Elderly Individuals and Individuals with Disabilities Program supported with funding made available or appropriated for former 49 U.S.C. § 5310 in effect in Fiscal Year 2012 or a previous fiscal year:
- (1) The Recipient agrees to comply with:
 - (a) The program and eligibility requirements applicable to the former 49 U.S.C. § 5310 for that fiscal year in which the Federal appropriations were then or will be made available for its Formula Grants for the Special Needs of Elderly Individuals and Individuals with Disabilities Project and Project activities,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement, and section 49 and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The applicable edition of FTA Circular 9070.1, “Elderly Individuals and Individuals with Disabilities Program Guidance and Application Instructions,” to the extent consistent with:
 - 1 The program and eligibility requirements applicable to the Formula Grants for the Special Needs of Elderly Individuals and Individuals with Disabilities, former 49 U.S.C. § 5310,
 - 2 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 3 All applicable Federal guidance, and
 - (b) All other applicable Federal guidance, and
- d. Other Special Provisions for the Elderly Individuals and Individuals with Disabilities Program in Effect in Fiscal Year 2012 or a Previous Fiscal Year. The Recipient understands and agrees to the following:
- (1) Eligible Subrecipients. Except as FTA determines otherwise, it will provide Section 5310 funds only to a Subrecipient that qualifies as:
 - (a) A private nonprofit organization meeting the public transportation service needs of seniors and individuals with disabilities for whom public transportation services are otherwise unavailable, insufficient, or inappropriate,
 - (b) A governmental authority approved by the Recipient to coordinate services for elderly individuals and individuals with disabilities, or
 - (c) A governmental authority that certifies to the Governor of its Recipient that its area does not have any nonprofit organizations readily available to provide public transportation services meeting the special needs of elderly individuals and individuals with disabilities,
 - (2) Eligible Project Activities. Federal funds provided for its Underlying Agreement and subagreements may be used for the following projects:

- (a) Capital,
- (b) Purchase of service agreements with private providers of public transportation service,
- (c) Operations in those States participating in the section 3012(b) of SAFETEA-LU pilot program,
- (d) Technical assistance,
- (e) Administrative,
- (f) Planning, and
- (g) Meal delivery service, as permitted by former 49 U.S.C. § 5310(g),
- (3) Consistency with Transportation Plans. The Projects selected must be consistent with:
 - (a) The locally developed and coordinated public transit-human services transportation plan applicable to the Recipient, and
 - (b) The applicable State management plan,
- (4) Transfers of Funds. Funds transferred to other Federal programs must be used for projects eligible for Section 5310 funding,
- (5) Transfer of Project Property. As provided by 49 U.S.C. § 5310(h), it may transfer Section 5310 funded property to another entity eligible to receive funding under 49 U.S.C. chapter 53, provided that:
 - (a) The Subrecipient possessing the property consents to the transfer, and
 - (b) The transferred property will continue to be used to meet the special needs of elderly individuals or individuals with disabilities for public transportation service,
- (6) Leasing of Vehicles. It and its Subrecipients may lease Section 5310 funded vehicles to local governmental authorities to improve transportation services to meet the special needs of elderly individuals or individuals with disabilities, and
- (7) Written Agreements with Subrecipients. The Recipient agrees to enter into a written agreement with each Subrecipient, which agreement includes provisions that describe the Subrecipient's responsibilities and assures that the Subrecipient will not compromise the Recipient's compliance with:
 - (a) Any Federal requirements that apply to the Project, and
 - (b) The Recipient's commitments under its Underlying Agreement and this Master Agreement.

Section 65. Special Provisions for the New Freedom Program Formerly Authorized Before MAP-21 Became Effective. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 65. The Recipient understands and agrees that this section 65 of this Master Agreement applies to projects supported with funding appropriated or made available for former 49 U.S.C. § 5317 in effect in Fiscal Year 2012 or a previous fiscal year, which authorized the New Freedom Program,
- b. Former 49 U.S.C. § 5317. The Recipient understands and agrees that, among other things:
 - (1) Section 20002(a) of MAP-21 expressly repeals 49 U.S.C. § 5317, which authorized the New Freedom Program,
 - (2) MAP-21 does not re-authorize a separate New Freedom Program, but
 - (3) Section 20009 of MAP-21 amends 49 U.S.C. § 5310 to add Projects and Project

activities previously funded under the New Freedom Program authorized by former 49 U.S.C. § 5317, to those Projects and Project activities eligible for funding under the Formula Enhanced Mobility of Seniors and Individuals with Disabilities Formula Program authorized by 49 U.S.C. § 5310, as amended by MAP-21,

- c. Federal Laws, Regulations, and Guidance. In administering its Project or Project activities under the New Freedom Program supported with funding made available or appropriated for former 49 U.S.C. § 5317 in effect in Fiscal Year 2012 or a previous fiscal year:
- (1) The Recipient agrees to comply with:
 - (a) The program and eligibility requirements applicable to the New Freedom Program, formerly authorized by 49 U.S.C. § 5317, for that fiscal year in which the Federal appropriations were then or will be made available for its New Freedom Project and Project activities,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement, and section 49 and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The most recent edition of FTA Circular 9045.1, “New Freedom Program Guidance and Application Instructions,” to the extent consistent with:
 - 1 The program and eligibility requirements applicable to the New Freedom Program, repealed 49 U.S.C. § 5317, for that fiscal year in which funding was appropriated for the Project,
 - 2 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 3 Applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance,
- d. Eligible Project Activities. As specified in the FTA Circular 9045.1, “New Freedom Program Guidance and Application Instructions,” Federal funds provided for its Underlying Agreement and subagreements for capital and operating projects must:
- (1) Exceed the requirements of the ADA
 - (2) Be targeted toward individuals with disabilities, and
 - (3) Meet the intent of the program by removing barriers to transportation and assisting persons with disabilities to use transportation, including transportation to and from jobs and employment services,
- e. Consistency with Transportation Plans. The Projects selected must be consistent with the:
- (1) Locally developed and coordinated public transit-human services transportation plan, and
 - (2) Applicable State management plan, and
- f. Written Agreements with Subrecipients. The Recipient agrees to enter into a written agreement with each Subrecipient, which agreement includes provisions that describe the Subrecipient’s responsibilities and assures that the Subrecipient will not compromise the Recipient’s compliance with:
- (1) Any Federal requirements that apply to the Project, and
 - (2) The Recipient’s commitments under its Underlying Agreement and this Master Agreement.

Section 66. Special Provisions for the Formula Grants Program for Rural Areas. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 66. The Recipient understands and agrees that this section 66 of this Master Agreement applies to projects supported with funding appropriated or made available for 49 U.S.C. § 5311(b)(2), as amended by section 20010 of MAP-21, which authorizes the Formula Grants Program for Rural Areas,
- b. MAP-21 Amendments. The Recipient understands and agrees that section 20010 of MAP-21 amends 49 U.S.C. § 5311 by:
 - (1) Changing the name of the program from the “Formula Grants for Other than Urbanized Areas Program” to the “Rural Areas Formula Grants Program,”
 - (2) Substituting the term “rural” for “other than urbanized,”
 - (3) Authorizing planning as an eligible activity for Subrecipients awarded Rural Areas Formula Grants Program funding, apart from planning by the Recipient in connection with its administrative functions,
 - (4) Including Job Access and Reverse Commute (JARC) Projects and Project activities as eligible for funding under the Rural Areas Formula Grants Program,
 - (5) Reducing the percentage of funding that may be used by the Recipient for administration, planning, and technical activities from fifteen (15) percent to ten (10) percent,
 - (6) Authorizing a new Appalachian Development Public Transportation Assistance Program,
 - (7) Clarifying that funding is available for “intercity bus facilities” and “joint-use facilities,”
 - (8) Authorizing the use of the value of a private operator’s unsubsidized segment of intercity bus service costs to provide an in-kind local share for an intercity bus project that includes both feeder service and an unsubsidized segment of intercity bus service to which the feeder service connects, and
 - (9) Amending the former 49 U.S.C. § 5311(c) authorizing the discretionary Tribal Transit Program by adding formula grant authority to the Tribal Transit Program,
- c. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the Rural Areas Formula Grants Program supported with funding made available or appropriated for 49 U.S.C. § 5311(b)(1), as amended by MAP-21:
 - (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The most recent edition of FTA Circular 9040.1, “Formula Grants for Rural Areas: Program Guidance and Application Instructions,” when issued,
 - (b) All other applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21, and

- (c) All other applicable Federal guidance, and
- d. Other Special Provisions for the Rural Areas Formula Grants Program.
 - (1) Eligible Project Activities. Federal funds provided for its Underlying Agreement and subagreements may be used for the following public transportation Projects in rural areas:
 - (a) Capital,
 - (b) Operating,
 - (c) Planning,
 - (d) Purchase of service agreements with private providers of public transportation service,
 - (e) Technical assistance,
 - (f) Administrative,
 - (g) Job access and reverse commute projects, and
 - (h) Meal delivery service, as permitted by 49 U.S.C. § 5310(b)(7), as amended by MAP-21, and
 - (i) New Freedom-type activities,
 - (2) Consistency with Transportation Plans. The Projects selected must be consistent with:
 - (a) The locally developed and coordinated public transit-human services transportation plan applicable to the Recipient, and
 - (b) The applicable State management plan,
 - (3) Public Transportation Emergency Relief Project Requirements. For a Project that addresses an emergency as defined by 49 U.S.C. § 5324(a)(2) and is supported with funding made available or appropriated for 49 U.S.C. § 5311(b)(1), as amended by MAP-21, the Recipient agrees to:
 - (a) Use that funding only for expenses that are not reimbursed under the Robert T. Stafford Disaster Relief and Emergency Assistance Act, 42 U.S.C. § 5121 *et seq.*,
 - (b) Comply with FTA regulations, “Emergency Relief,” 49 C.F.R. part 602, and
 - (c) Comply with the terms and conditions the Secretary determines are necessary for the Project,
 - (4) Use of Funding. Funds transferred from other Federal programs must be used for Projects eligible for 49 U.S.C. § 5311(b)(1) funding,
 - (5) Intercity Transportation. Each fiscal year, it will:
 - (a) Spend a minimum of at least fifteen (15) percent of its 49 U.S.C. § 5311 funds for Intercity Transportation Projects as provided by 49 U.S.C. § 5311(f), or
 - (b) Provide a certification of the Governor of its State’ or the Governor’s authorized designee that the intercity bus service needs within the State are adequately fulfilled,
 - (6) Transfer of Project Property. As provided by 49 U.S.C. § 5311(h), it may transfer 49 U.S.C. § 5311 funded property to another entity eligible to receive funding under 49 U.S.C. chapter 53, provided that:
 - (a) The Subrecipient possessing the property consents to the transfer to another entity, and
 - (b) The transferred property will continue to be used for service in a rural area,
 - (7) Employee Protective Arrangements. Compliance with the employee protections of the U.S. DOL Special Warranty that applies to Rural Areas Formula Grant Program, 49 U.S.C. § 5311, as amended by MAP-21,

- (8) Reporting Requirements. The Recipient agrees and assures as follows:
 - (a) National Transit Database. For each fiscal year it receives or provides to any public transportation operator funding for the Urbanized Area Formula Grant Program, it will require the public transportation operators participating in its Project to comply with the National Database requirements of section 8.c of this Master Agreement,
 - (b) Transit Asset Management. It will comply with FTA's Transit Asset Management Program regulations when implemented pursuant to 49 U.S.C. § 5326, as amended by MAP-21, and
 - (c) Other Regulations and Guidance. It will comply with any other applicable Federal reporting regulations and follow all applicable Federal guidance, and
- (9) Written Agreements with Subrecipients. The Recipient agrees to enter into a written agreement with each Subrecipient, which agreement includes provisions that describe the Subrecipient's responsibilities and assures that the Subrecipient will not compromise the Recipient's compliance with:
 - (a) Any Federal requirements that apply to the Project, and
 - (b) The Recipient's commitments under its Underlying Agreement and this Master Agreement.

Section 67. Special Provisions for the Other Than Urbanized Areas Formula Grant Program Formerly Authorized Before MAP-21 Became Effective. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 67. The Recipient understands and agrees that this section 67 of this Master Agreement applies to projects supported with funding appropriated or made available for 49 U.S.C. § 5311(b)(2) in effect in Fiscal Year 2012 or a previous fiscal year, which authorized the Other Than Urbanized Areas Formula Grant Program,
- b. Former 49 U.S.C. § 5311. The Recipient understands and agrees that:
 - (1) Section 20010 of MAP-21 amends 49 U.S.C. § 5311, which authorizes the re-named Rural Areas Formula Grants Program, and
 - (2) Section 20010 of MAP-21 amends 49 U.S.C. § 5311, and establishes provisions for that program that are different from the provisions for the Formula Grants for Other Than Urbanized Areas Program, former 49 U.S.C. § 5311, including those changes listed in the preceding section 66(b) of this Master Agreement,
- c. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the Formula Grants for Other Than Urbanized Areas Program supported with funding made available or appropriated for Fiscal Year 2012 or a previous fiscal year for former 49 U.S.C. § 5311:
 - (1) The Recipient agrees to comply with:
 - (a) The program and eligibility requirements applicable to the Formula Grants for Other Than Urbanized Areas, former 49 U.S.C. § 5311(b)(1), for that fiscal year in which the Federal appropriations were then or will be made available for its Formula Grants for Other Than Urbanized Areas Project and Project activities, or
 - (b) Other applicable Federal laws and regulations, and

- (c) Its Underlying Agreement, and section 49 and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The applicable edition of FTA Circular 9040.1, “Nonurbanized Area Formula Program Guidance and Grant Application Instructions”, to the extent consistent with:
 - 1 The program and eligibility requirements applicable to the Formula Grants for Other Than Urbanized Areas Program, former 49 U.S.C. § 5311(b)(1), for that fiscal year in which funding was appropriated or made available for the Project,
 - 2 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 3 Applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance, and
- d. Other Special Provisions for the Formula Grants for Other Than Urbanized Areas Program in Effect in Fiscal Year 2012 or a Previous Fiscal Year.
- (1) Eligible Project Activities. Federal funds provided for its Underlying Agreement and subagreements may be used for the following public transportation Projects in rural areas:
 - (a) Capital,
 - (b) Operating,
 - (c) Planning,
 - (d) Purchase of service agreements with private providers of public transportation service,
 - (e) Technical assistance,
 - (f) Administrative, and
 - (g) Meal delivery service, as permitted by former 49 U.S.C. § 5310(g),
 - (2) Consistency with Transportation Plans. The Projects selected must be consistent with:
 - (a) The locally developed and coordinated public transit-human services transportation plan applicable to the Recipient, and
 - (b) The applicable State management plan,
 - (3) Use of Funding. Funds transferred from other Federal programs must be used for Projects eligible for 49 U.S.C. § 5311(b)(1) funding,
 - (4) Intercity Transportation. Each fiscal year, it will:
 - (a) Spend a minimum of at least fifteen (15) percent of its 49 U.S.C. § 5311 funds for Intercity Transportation Projects as provided by 49 U.S.C. § 5311(f), or
 - (b) Provide a certification of the Governor of the State or the Governor’s authorized designee that the intercity bus service needs within the State are adequately fulfilled,
 - (5) Transfer of Project Property. As provided by 49 U.S.C. § 5311(h), it may transfer 49 U.S.C. § 5311 funded property to another entity eligible to receive funding under 49 U.S.C. chapter 53, provided that:
 - (a) The Subrecipient possessing the property consents to the transfer, and
 - (b) The transferred property will continue to be used for service in an other than urbanized area,
 - (6) Employee Protective Arrangements. The Recipient will comply with the employee protections of the U.S. DOL Special Warranty that applies to the Formula Grants for

Other Than Urbanized Areas Program authorized by former 49 U.S.C. § 5311 in effect in Fiscal Year 2012 or a previous fiscal year,

- (7) Reporting Requirements. The Recipient agrees and assures as follows:
 - (a) National Transit Database. For each fiscal year it receives or provides to any public transportation operator funding for the Urbanized Area Formula Grant Program, it will require the public transportation operators participating in its Project to comply with the National Database requirements of section 8.c of this Master Agreement,
 - (b) Transit Asset Management. It will comply with FTA's Transit Asset Management Program regulations when implemented pursuant to 49 U.S.C. § 5326, as amended by MAP-21, and
 - (c) Other Regulations and Guidance. It will comply with any other applicable Federal reporting regulations and follow all applicable Federal guidance, and
- (8) Written Agreements with Subrecipients. The Recipient agrees to enter into a written agreement with each Subrecipient, which agreement includes provisions that describe the Subrecipient's responsibilities and assures that the Subrecipient will not compromise the Recipient's compliance with:
 - (a) Any Federal requirements that apply to the Project, and
 - (b) The Recipient's commitments under its Underlying Agreement, and this Master Agreement.

Section 68. Special Provisions for the Rural Transportation Assistance Program. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 68. The Recipient understands and agrees that this section 68 of this Master Agreement applies to projects supported with funding appropriated or made available for 49 U.S.C. § 5311(b)(3), which authorizes the Rural Transportation Assistance Program,
- b. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the Rural Transportation Assistance Program supported with funding made available or appropriated for 49 U.S.C. § 5311(b)(3):
 - (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable requirements of Federal laws and regulations, and
 - (c) Its Underlying Agreement, and section 49 and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow applicable Federal guidance, and
- c. MAP-21 Requirements Apply. Because section 20010 of MAP-21 did not make any significant changes to the Rural Transportation Assistance Program authorized by former 49 U.S.C. § 5311(b)(3) in effect in Fiscal Year 2012 or a previous fiscal year, the Recipient understands and agrees that MAP-21 requirements will apply to its Project and Project activities supported with funding made available or appropriated for the Rural Transportation Assistance Program, irrespective of whether the funding for its Project or its Project activities is derived from:

- (1) Funding made available or appropriated for 49 U.S.C. § 5311(b)(3), as amended by MAP-21, or
- (2) Funding for Fiscal Year 2012 or a previous fiscal year made available or appropriated for former 49 U.S.C. § 5311(b)(3) in effect in Fiscal Year 2012 or a previous fiscal year.

Section 69. Special Provisions for Public Transportation on Indian Reservations Programs (also known as the “Tribal Transit Formula Program” and the “Tribal Transit Discretionary Program” and collectively known as the “Tribal Transit Program”) Authorized by MAP-21. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 69. The Recipient understands and agrees that this section 69 of this Master Agreement applies to projects supported with funding appropriated or made available for 49 U.S.C. § 5311(c)(1), as amended by section 20010 of MAP-21, which authorizes the “Tribal Transit Formula Program” and the “Tribal Transit Discretionary Program” (collectively known as the “Tribal Transit Program”), and
- b. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the Tribal Transit Program supported with funding made available or appropriated for 49 U.S.C. § 5311(c)(1), as amended by MAP-21:
 - (1) The Indian Tribe, as the Recipient, agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement and all other applicable provisions of this Master Agreement (*see* Appendix A of this Master Agreement), and
 - (2) The Indian Tribe, as the Recipient, agrees to follow:
 - (a) The most recent FTA Notice of Funding Availability and Solicitation of Grant Proposals for funding made available or authorized for the Tribal Transit Program authorized by MAP-21, to be awarded for projects under the formula and discretionary Tribal Transit Program authorized by MAP-21, 49 U.S.C. § 5311(c)(1), to the extent that its provisions are consistent with applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21, and other applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance.

Section 70. Special Provisions for the Public Transportation on Indian Reservations Program Formerly Authorized Before MAP-21 Became Effective (also known as the Tribal Transit Program, Discretionary Only). Except as FTA determines otherwise in writing:

- a. Applicability of This Section 70. The Recipient understands and agrees that this section 70 of this Master Agreement applies to projects supported with funding appropriated or made available for former 49 U.S.C. § 5311(c)(1) in effect in Fiscal Year 2012 or a previous fiscal year, which authorized the Public Transportation on Indian Reservations Program (also known, as the Tribal Transit Program, Discretionary Only),

- b. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the Tribal Transit Program supported with funding made available or appropriated for 49 U.S.C. § 5311(c)(1) in effect in FY 2012 or a previous fiscal year:
 - (1) The Indian Tribe, as the Recipient, agrees to comply with:
 - (a) 49 U.S.C. § 5311(c)(1) in effect for the fiscal year in which the funding was authorized,
 - (b) Applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement, and section 49 and all other applicable provisions of this Master Agreement (*see* Appendix A of this Master Agreement), and
 - (2) The Indian Tribe, as the Recipient, agrees to follow:
 - (a) The applicable FTA Notice of Funding Availability and Solicitation of Grant Proposals for funding made available or authorized for the previous Tribal Transit Program authorized for Fiscal Year 2012 or a previous fiscal year, to be awarded for projects under the Tribal Transit Program, Discretionary Only, authorized by former 49 U.S.C. § 5311(c)(1), to the extent consistent with:
 - 1 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 2 Other applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance.

Section 71. Special Provisions for the Appalachian Development Public Transportation Assistance Program. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 71. The Recipient understands and agrees that this section 71 of this Master Agreement applies to projects supported with funding appropriated or made available for 49 U.S.C. § 5311, as amended by section 20010 of MAP-21, which authorizes the Appalachian Development Public Transportation Assistance Program,
- b. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the Appalachian Development Public Transportation Assistance Program authorized by 49 U.S.C. § 5311(c)(2), as amended by MAP-21:
 - (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The most recent edition of FTA Circular 9040.1, “Formula Grants for Rural Areas: Program Guidance and Application Instructions,” when issued, and
 - (b) All other applicable Federal guidance, and
- c. Transfer of Funds. The Recipient agrees as follows:
 - (1) MAP-21 Requirements. As permitted by 49 U.S.C. § 5311(c)(2)(D), the Recipient may transfer to a highway project the funding for the Appalachian Development Public Transportation Assistance Program that cannot be used for operations under that

Program, provided that all of the following requirements have been fulfilled:

- (a) The Recipient has provided to affected public transportation providers appropriate notice, and an opportunity for comment and appeal,
 - (b) The Recipient has determined that the Recipient's local transit needs are being addressed, and
 - (c) The Recipient has approved the decision in writing, and
- (2) **Future Guidance.** FTA intends to develop and issue guidance on the transfer of funds under this program, which the Recipient agrees to follow to the extent applicable.

Section 72. Special Provisions for the Over-the-Road Bus Accessibility Program Formerly Authorized Before MAP-21 Became Effective. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 72. The Recipient understands and agrees that this section 72 of this Master Agreement applies to projects supported with funding appropriated or made available for former section 3039 of SAFETEA-LU, 49 U.S.C. § 5310 note, in effect in Fiscal Year 2012 or a previous fiscal year, which authorized the Over-the-Road Bus Accessibility Program,
- b. Former section 3038 of the Transportation Equity Act for the 21st Century (TEA-21), as Amended. The Recipient understands and agrees that section 20002(b) of MAP-21 expressly repeals section 3038 of the TEA-21, Pub. L. 105-178, June 9, 1998, as amended by former section 3039 of SAFETEA-LU, 49 U.S.C. § 5310 note, without re-authorizing the Over-the-Road Bus Accessibility Program,
- c. Federal Laws, Regulations, and Guidance. In administering its Project or Project activities under the Over-the-Road Bus Accessibility Program supported with Fiscal Year 2012 or a previous fiscal year funding made available or appropriated for repealed section 3038 of TEA-21, as amended, 49 U.S.C. § 5310 note:
 - (1) The Recipient agrees to comply with:
 - (a) The program and eligibility requirements applicable to the Over-the-Road Bus Accessibility Program, repealed section 3038 of TEA-21, as amended, 49 U.S.C. § 5310 note, for the fiscal year in which Federal appropriations were then or will be made available for its Over-the-Road Bus Accessibility Project or Project activities,
 - (b) The "Over-the-Road Buses" regulations in U.S. DOT regulations, "Transportation Services for Individuals with Disabilities (ADA)," 49 C.F.R. part 37, subpart H,
 - (c) Joint U.S. ATBCB and U.S. DOT regulations, "Americans With Disabilities (ADA) Accessibility Specifications for Transportation Vehicles," 36 C.F.R. part 1192 and 49 C.F.R. part 38,
 - (d) Other applicable Federal laws and regulations, and
 - (e) Its Underlying Agreement, and section 49 and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The most recent FTA Notice pertaining to the former Over-the-Road Bus Accessibility Program repealed section 3038 of TEA-21, as amended, 49 U.S.C. § 5310 note, to the extent consistent with:
 - 1 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and

- 2 Other applicable Federal laws, regulations, and guidance, and
- (b) All other applicable Federal guidance,
- d. Employee Protective Arrangements. The Recipient agrees to comply with section 28.d(2) of this Master Agreement, which applies the employee protections of the U.S. DOL Special Warranty for Projects supported with funding made available or appropriated for the Over-the-Road Bus Accessibility Program, and
- e. Order of Precedence. FTA and the Recipient agree that the most recent FTA Notice pertaining to the Over-the-Road Bus Accessibility Program supersedes conflicting provisions of this Master Agreement.

Section 73. Special Provisions for the Paul S. Sarbanes Transit in Parks Program Formerly Authorized Before MAP-21 Became Effective. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 73. The Recipient understands and agrees that this section 73 of this Master Agreement applies to projects supported with funding appropriated or made available for former 49 U.S.C. § 5320 in effect in Fiscal Year 2012 or a previous fiscal year, which authorized the Paul S. Sarbanes Transit in Parks Program,
- b. Former 49 U.S.C. § 5320. The Recipient understands and agrees that section 20002(a) of MAP-21 expressly repeals former 49 U.S.C. § 5320, without re-authorizing a separate Transit in Parks Program,
- c. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities under the Paul S. Sarbanes Transit in Parks Program supported with funding made available or appropriated for Fiscal Year 2012 or a previous fiscal year for repealed 49 U.S.C. § 5320:
- (1) The Recipient agrees to comply with the:
- (a) Program and eligibility requirements applicable to the Paul S. Sarbanes Transit in Parks Program, repealed 49 U.S.C. § 5320, for that fiscal year in which the Federal appropriations were then or will be made available for its Paul S. Sarbanes Transit in Parks Project and Project activities,
- (b) Other applicable Federal laws and regulations, and
- (c) Its Underlying Agreement, and section 49 and all other applicable provisions of this Master Agreement, and
- (2) The Recipient agrees to follow:
- (a) The most recent FTA Notice pertaining to the Paul S. Sarbanes Transit in Parks Program repealed section 3038 of TEA-21, as amended, 49 U.S.C. § 5310 note, to the extent consistent with:
- 1 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
- 2 Other applicable Federal laws, regulations, and guidance, and
- (b) All other applicable Federal guidance, and

- d. Order of Precedence. FTA and the Recipient agree that the most recent Paul S. Sarbanes Transit in Parks Program Notice supersedes any conflicting provisions of this Master Agreement.

Section 74. Special Provisions for the Clean Fuels Grant Program Formerly Authorized Before MAP-21 Became Effective. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 74. The Recipient understands and agrees that this section 72 of this Master Agreement applies to projects supported with funding appropriated or made available for former 49 U.S.C. § 5308 in effect in Fiscal Year 2012 or a previous fiscal year, which authorized the Clean Fuels Grant Program,
- b. Former 49 U.S.C. § 5308. The Recipient understands and agrees that section 20002(a) of MAP-21 expressly repeals former 49 U.S.C. § 5308, without re-authorizing the Clean Fuels Grant Program, and
- c. Federal Laws, Regulations, and Guidance. In administering its Project or Project activities under the Clean Fuels Grant Program supported with funding made available or appropriated for Fiscal Year 2012 or a previous fiscal year for repealed 49 U.S.C. § 5308:
- (1) The Recipient agrees to comply with:
 - (a) The Program and eligibility requirements applicable to the Clean Fuels Grant Program, repealed 49 U.S.C. § 5308, for that fiscal year in which the Federal funds were appropriated for its Clean Fuels Grant Project,
 - (b) FTA regulations, “Clean Fuels Grant Program,” 49 C.F.R. part 624, except where inconsistent with the cross-cutting requirements listed in section 49 of this Master Agreement,
 - (c) Other applicable Federal laws and regulations, and
 - (d) Its Underlying Agreement, and section 49 and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow all applicable Federal guidance,

Section 75. Special Provisions for All “Research-Type” Programs. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 75. The Recipient understands and agrees that this section 75 of this Master Agreement applies to all “Research-Type” programs FTA funds,
- b. Programs Covered. The Recipient understands and agrees that FTA considers the following Projects to fall under Programs that are “Research-Type” programs to which the provisions of this section 75 of this Master Agreement apply:
- (1) Projects authorized under 49 U.S.C. § 5312, irrespective of the fiscal year for which the appropriations that funded the project were authorized,
 - (2) Projects authorized under 49 U.S.C. § 5313, irrespective of the fiscal year for which the appropriations that funded the project were authorized,

- (3) Projects authorized under 49 U.S.C. § 5314, irrespective of the fiscal year for which the appropriations that funded the project were authorized,
- (4) Projects authorized by the repealed section 3045 of SAFETEA-LU,
- (5) Projects authorized under repealed section 3046 of SAFETEA-LU, and
- (6) Other similar research projects for which FTA awards funding,

c. “Research-Type” Project Provisions. The Recipient understands and agrees that the following provisions will apply to its “Research-Type” Project:

(1) Project Report. The Recipient agrees that:

- (a) In addition to any other Report FTA may require, the Recipient will prepare and submit to FTA a Project Report that:
 - 1 Describes the subject (or subjects) investigated, the methods used, the Project results, and the conclusions reached,
 - 2 To the extent FTA deems satisfactory, is sufficiently organized, well-written, and comprehensive,
 - 3 Contains the following disclaimer:

This document is disseminated under the sponsorship of the United States Department of Transportation, Federal Transit Administration, in the interest of information exchange. The United States government assumes no liability for the contents or use thereof.

The United States government does not endorse products or manufacturers. Trade or manufacturers’ names appear herein solely because they are considered essential to the contents of the report,

- 4 Complies with:
 - a The accessibility requirements of:
 - (i) Section 508 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794d, and
 - (ii) U.S. ATBCB regulations, “Electronic and Information Technology Accessibility Standards,” 36 C.F.R. part 1194, and
 - b The specific publication elements and report style guide at http://www.fta.dot.gov/research/program_requirements, and
- 5 Identifies clearly and precisely any specific information or data that is confidential, privileged, or proprietary information or data contained within any report or document, and
- (b) Except for confidential, privileged, or proprietary information in the Project Report, FTA may publish the Project Report, and make it available for publication on the Internet or in any other venue,

(2) Project Identification. The Recipient agrees that:

- (a) The Recipient will display notice that the U.S. Department of Transportation, Federal Transit Administration provided Federal funds to develop the Project for any product developed with 49 U.S.C. § 5312 funding that:

- 1 Is Tangible and is produced from, or is a result of, the Project,
 - 2 Is a Project deliverable, and
 - a Visible to the public, or
 - b Is or will be made available to:
 - (i) Other research organizations, or
 - (ii) Public transportation providers, and
 - 3 Consists of:
 - a Equipment,
 - b A prototype,
 - c Hardware,
 - d Construction,
 - e Reports,
 - f Data,
 - g Software,
 - h Internet pages, or
 - i Any similar item, and
- (b) The notice will be given using an appropriate sign, designation, or notice,
- d. Protection of Human Subjects. The Recipient understands and agrees to comply with protections for human subjects involved in Project activities as required by:
- (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 C.F.R. part 11,
- e. Protection of Animals. The Recipient understands and agrees to comply with protections for animals involved in Project activities, as required by:
- (1) The Animal Welfare Act, as amended, 7 U.S.C. § 2131 *et seq.*, and
 - (2) U.S. Department of Agriculture regulations, “Animal Welfare,” 9 C.F.R. parts 1, 2, 3, and 4, and
- f. Export Control. The Recipient understands and agrees that before exporting any information that is subject to Federal export requirements, it must first:
- (1) Obtain the necessary Federal license(s), and
 - (2) Comply with the Federal export control regulations of the:
 - (a) U.S. Department of Commerce, Bureau of Industry and Security, “Export Administration Regulations,” specifically, 15 C.F.R. parts 730 *et seq.*,
 - (b) U.S. Department of State,
 - (c) U.S. Department of the Treasury, and
 - (d) U.S. Department of Defense.

Section 76. Special Provisions for the Research, Development, Demonstration, and Deployment Program (also known as the National Research and Technology Program) Authorized by MAP-21. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 76. The Recipient understands and agrees that this section 76 of this Master Agreement applies to projects supported with funding appropriated or made

available for 49 U.S.C. § 5312, as amended by section 20011 of MAP-21, which authorizes the Research, Development, Demonstration, and Deployment Program (which is known as the National Research and Technology Program),

- b. Research, Development, Demonstration, and Deployment Programs Authorized by MAP-21. The Recipient understands and agrees that provisions of this section 76 of this Master Agreement apply to the following Programs funded by the Research, Development, Demonstration, and Deployment Program, 49 U.S.C. § 5312, as amended by MAP-21:
- (1) The Research, Development, Demonstration, and Deployment Program authorized under 49 U.S.C. § 5312(a),
 - (2) The Research Program authorized under 49 U.S.C. § 5312(b),
 - (3) The Innovation and Development Program authorized under 49 U.S.C. § 5312(c), and
 - (4) The Demonstration, Deployment, and Evaluation Program authorized under 49 U.S.C. § 5312(d), except for Projects funded by the Low or No Emission Vehicle Deployment Program under 49 U.S.C. § 5312(d)(5), and
- c. Federal Laws, Regulations, and Guidance. In administering its Project or Project activities under the current Research, Development, Demonstration, and Deployment Program and supported with funding made available or appropriated for 49 U.S.C. § 5312, as amended by MAP-21:
- (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement, and section 49, section 75, and all other applicable provisions of this Master Agreement,
 - (2) The Recipient agrees to follow:
 - (a) The most recent edition of FTA Circular 6100.1, “Research, Technical Assistance, and Training Programs: Application Instructions and Program Management Guidelines,” to the extent consistent with:
 - 1 Applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21, and
 - 2 Other applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance.

Section 77. Special Provisions for the Research, Development, Demonstration, and Deployment Program (also known as the National Research and Technology Program) and Other Research Programs or Special Studies Formerly Authorized Before MAP-21 Became Effective. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 77. The Recipient understands and agrees that this section 77 of this Master Agreement applies to projects supported with funding appropriated or made available for former 49 U.S.C. §§ 5312(a) and 5314(a), in effect in Fiscal Year 2012 or a previous fiscal year, which authorized the previous Research, Development, Demonstration, and Deployment Program (which is also known as the National Research and Technology Program),

- b. Former 49 U.S.C. §§ 5312(a) and 5314(a). The Recipient understands and agrees that:
- (1) Section 20011 of MAP-21 amended 49 U.S.C. § 5312(a) and
 - (2) Section 20012 of MAP-21 amended 49 U.S.C. § 5314(a), and
- c. Research, Development, Demonstration, and Deployment Programs Authorized Before MAP-21 Became Effective. The Recipient understands and agrees that provisions of this section 77 of this Master Agreement apply to the following Programs that are supported with funding made available or appropriated for Fiscal Year 2012 or a previous fiscal year:
- (1) The Research, Development, Demonstration, and Deployment Projects authorized under former 49 U.S.C. § 5312(a),
 - (2) The Joint Partnership Program for Deployment of Innovation Projects authorized under former 49 U.S.C. § 5312(b),
 - (3) The International Program Projects authorized under former 49 U.S.C. § 5312(c),
 - (4) The National Fuel Cell Bus Technology Development Program authorized under repealed section 3045 of SAFETEA-LU,
 - (5) The Allocations for National Research and Technology Program Projects authorized under Section 3046 of SAFETEA-LU, 49 U.S.C. § 5338 note,
 - (6) The Program to facilitate compliance with the Americans with Disabilities Act of 1990 Projects (Project ACTION) authorized under former 49 U.S.C. § 5314(a)(2),
 - (7) The National Technical Assistance Center for Senior Transportation Program Projects authorized under former 49 U.S.C. § 5314(c), and
 - (8) The Human Resources Fellowship Program Projects authorized under former 49 U.S.C. § 5322(b), and
- d. Federal Laws, Regulations, and Guidance. In administering its Project or Project activities under the previous Research, Development, Demonstration, and Deployment Program and supported with funding made available or appropriated for Fiscal Year 2012 or a previous fiscal year:
- (1) The Recipient agrees to comply with the:
 - (a) Program and eligibility requirements that apply to its Project or Project activities for that fiscal year in which the Federal funds that are supporting the Project were appropriated,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement, and section 49, section 75, and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The applicable edition of FTA Circular 6100.1, “Research, Technical Assistance, and Training Programs: Application Instructions and Program Management Guidelines,” to the extent consistent with:
 - 1 The program and eligibility requirements that apply to its Project or Project activities for that fiscal year in which funding was appropriated for the Project,
 - 2 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 3 Other applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance.

Section 78. Special Provisions for the Low or No Emission Vehicle Deployment Program. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 78. The Recipient understands and agrees that this section 78 of this Master Agreement applies to projects supported with funding appropriated or made available for 49 U.S.C. § 5312(d)(5), as amended by section 20011 of MAP-21, which authorizes the Low or No Emission Vehicle Deployment Program, and
- b. Federal Laws, Regulations, and Guidance. In administering its Project or Project activities under the Low or No Emission Vehicle Deployment Program of the Research, Development, Demonstration, and Deployment Program supported with funding made available or appropriated for 49 U.S.C. § 5312(d)(5), as amended by MAP-21:
 - (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement, and section 49, section 75, and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The applicable edition of FTA Circular 6100.1, “Research, Technical Assistance, and Training Programs: Application Instructions and Program Management Guidelines,” to the extent consistent with:
 - 1 The program and eligibility requirements that apply to its Project or Project activities for that fiscal year in which funding was appropriated for the Project,
 - 2 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 3 Other applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance.

Section 79. Special Provisions for the Transit Cooperative Research Program. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 79. The Recipient understands and agrees that this section 79 of this Master Agreement applies to projects supported with funding appropriated or made available for 49 U.S.C. § 5313, which authorizes the Transit Cooperative Research Program,
- b. Federal Laws, Regulations, and Guidance. In administering its Project or Project activities under the Transit Cooperative Research Program supported with funding made available or appropriated for 49 U.S.C. § 5313:
 - (1) The Recipient agrees that to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable requirements of Federal laws and regulations, and
 - (c) Its Underlying Agreement, and section 49, section 75, and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow all applicable Federal guidance, and

- c. MAP-21 Requirements Apply. Because MAP-21 does not make any significant changes to the Transit Cooperative Research Program authorized by 49 U.S.C. § 5313 in effect in Fiscal Year 2012 or a previous fiscal year, the Recipient understands and agrees that MAP 21 requirements apply to its Project and Project activities under the Transit Cooperative Research Program, irrespective of whether the funding for this project or these project activities is derived from:
- (1) Funding appropriated or made available for 49 U.S.C. § 5313, as amended by MAP-21, or
 - (2) Funding appropriated or made available for 49 U.S.C. § 5313 in effect in Fiscal Year 2012 or a previous fiscal year.

Section 80. Special Provisions for the Technical Assistance and Standards Development Program. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 80. The Recipient understands and agrees that this section 80 of this Master Agreement applies to projects supported with funding appropriated or made available for 49 U.S.C. § 5314(a), as amended by section 20012 of MAP-21, which authorizes the Technical Assistance and Standards Development Program, and
- b. Federal Laws, Regulations, and Guidance. In administering its Project or Project activities under the Technical Assistance and Standards Development Program:
- (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement, and section 49, section 75, and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The applicable edition of FTA Circular 6100.1, “Research, Technical Assistance, and Training Programs: Application Instructions and Program Management Guidelines,” to the extent consistent with:
 - 1 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 2 Other applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance.

Section 81. Special Provisions for the Technical Assistance Program (To Support Public Transportation Availability for Seniors and Individuals with Disabilities). Except as FTA determines otherwise in writing:

- a. Applicability of This Section 81. The Recipient understands and agrees that this section 81 of this Master Agreement applies to projects supported with funding appropriated or made available for 49 U.S.C. § 5314(b), as amended by section 20012 of MAP-21, which

authorizes the Technical Assistance Program (*To Support Public Transportation Availability for Seniors and Individuals with Disabilities*), and

- b. **Federal Laws, Regulations, and Guidance.** In administering its Project or Project activities under the Technical Assistance and Standards Development Program or the Technical Assistance Program:
 - (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement, and section 49, section 75, and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The applicable edition of FTA Circular 6100.1, “Research, Technical Assistance, and Training Programs: Application Instructions and Program Management Guidelines,” to the extent consistent with:
 - 1 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 2 Other applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance.

Section 82. Special Provisions for the Public Transportation Programs to Facilitate Compliance with the Americans with Disabilities Act (*Easter Seals Program*) Formerly Authorized Before MAP-21 Became Effective. Except as FTA determines otherwise in writing:

- a. **Applicability of This Section 82.** The Recipient understands and agrees that this section 82 of this Master Agreement applies to projects supported with funding appropriated of made available for former 49 U.S.C. § 5314(a)(2) in effect in Fiscal Year 2012 or a previous fiscal year, which authorized the Public Transportation Programs to Facilitate Compliance with the Americans with Disabilities Act (*Easter Seals Program*),
- b. **Federal Laws, Regulations, and Guidance.** In administering its Project or Project activities under the Technical Assistance and Standards Development Program or the Technical Assistance Program:
 - (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement, and section 49, section 75, and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The applicable edition of FTA Circular 6100.1, “Research, Technical Assistance, and Training Programs: Application Instructions and Program Management Guidelines,” to the extent consistent with:
 - 1 The program and eligibility requirements that apply to its Project or Project activities for that fiscal year in which funding was appropriated for the Project,

- 2 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 3 Other applicable Federal laws, regulations, and guidance, and
- (b) All other applicable Federal guidance.

Section 83. Special Provisions for the Human Resources and Training Program Authorized by MAP-21 and the Human Resources Program Formerly Authorized Before MAP-21 Became Effective. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 83. The Recipient understands and agrees that this section 83 of this Master Agreement applies to projects supported with funding appropriated or made available for:
- (1) 49 U.S.C. § 5322(a), as amended by MAP-21, which authorizes the Human Resources and Training Program, and
 - (2) Former 49 U.S.C. § 5322(a) in effect in Fiscal Year 2012 or a previous fiscal year, which authorized the Human Resources Programs at that time,
- b. Local Share. The Recipient understands and agrees that MAP-21 does not generally make significant changes to the Human Resources program, except:
- (1) For projects using funds appropriated or made available under 49 U.S.C. § 5322, as amended by MAP-21, a local share of fifty (50) percent is required, but
 - (2) In contrast, there is no minimum local share percentage for projects using funds appropriated or made available under 49 U.S.C. § 5322(c) in effect in Fiscal Year 2012 or a previous fiscal year, and
- c. Federal Laws, Regulations, and Guidance. Except for the limitations on the Federal share that may be provided under MAP-21, in administering its Project and Project activities under the Human Resources and Training Program authorized by 49 U.S.C. § 5322(a), as amended by MAP-21, or the Human Resources Program authorized by former 49 U.S.C. § 5322(a) in effect in Fiscal Year 2012 or a previous fiscal year:
- (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53,
 - (b) Other applicable requirements of Federal laws and regulations, and
 - (c) Its Underlying Agreement, and section 49, section 75, and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The applicable edition of FTA Circular 6100.1, “Research, Technical Assistance, and Training Programs: Application Instructions and Program Management Guidelines,” to the extent consistent with:
 - 1 The program and eligibility requirements that apply to its Project or Project activities for that fiscal year in which funding was appropriated for the Project,
 - 2 The MAP-21 cross-cutting requirements listed in section 49 of this Master Agreement, and
 - 3 Other applicable Federal laws, regulations, and guidance, and
- (b) All other applicable Federal guidance.

Section 84. Special Provisions for the Innovative Public Transportation Workforce Development Program. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 84. The Recipient understands and agrees that this section 84 of this Master Agreement applies to projects supported with funding for 49 U.S.C. § 5322(b), as amended by section 20015 of MAP-21, which authorizes the Innovative Public Transportation Workforce Development Program, and
- b. Federal Laws, Regulations, and Guidance. In administering its Project and Project activities that are supported with funding made available or appropriated for the Innovative Public Transportation Workforce Development Program authorized under 49 U.S.C. § 5322(b), as amended by MAP-21:
 - (1) The Recipient agrees to comply with:
 - (a) The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21,
 - (b) Other applicable Federal laws and regulations, and
 - (c) Its Underlying Agreement, and section 49, section 75, and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow:
 - (a) The most recent edition of FTA Circular 6100.1, “Research, Technical Assistance, and Training Programs: Application Instructions and Program Management Guidelines,” to the extent consistent with:
 - 1 The applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21, and
 - 2 Other applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance.

Section 85. Special Provisions for the Public Transportation Emergency Relief Program (or Emergency Relief Program). Except as FTA determines otherwise in writing:

- a. Applicability of This Section 85. The Recipient understands and agrees that this section 85 of this Master Agreement applies to projects supported with funding for 49 U.S.C. § 5322(b), as amended by section 20015 of MAP-21, which authorizes Public Transportation Emergency Relief Program, and
- b. Federal Laws, Regulations, and Guidance. In administering its Project and Project Activities that are or will be supported with funding made available or appropriated for the Public Transportation Emergency Relief Program authorized by 49 U.S.C. § 5324, as amended by MAP-21:
 - (1) The Recipient agrees to comply with:
 - (a) Federal Transit Law, 49 U.S.C. § 5324, as amended by MAP-21,
 - (b) Comply with FTA regulations, “Emergency Relief,” 49 C.F.R. part 602,
 - (c) Other applicable Federal laws and regulations, and
 - (d) Its Underlying Agreement and all other applicable provisions of this Master Agreement,

- (2) The Recipient agrees to follow applicable Federal guidance, including:
 - (a) The applicable FTA Notice of Availability requirements for funding made available for the Emergency Relief Program authorized by MAP-21, to the extent that its provisions are consistent with applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21, and other applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance, when issued.

Section 86. Special Provisions for the State Safety Oversight Grant Program. Except as FTA determines otherwise in writing:

- a. Applicability of This Section 86. The Recipient understands and agrees that this section 86 of this Master Agreement applies to projects supported with funding for 49 U.S.C. § 5329(e)(6), as amended by section 20021 of MAP-21, which authorizes the State Safety Oversight Grant Program,
- b. Federal Laws, Regulations, and Guidance. In administering its State Safety Oversight Project and Project activities:
 - (1) The Recipient agrees to comply with:
 - (a) 49 U.S.C. § 5329(e)(6), as amended by MAP-21,
 - (b) 49 U.S.C. § 5330, which is repealed three (3) years after the effective date of the final FTA State Safety Oversight regulations required under 49 U.S.C. § 5329(e), as amended by MAP-21,
 - (c) 49 C.F.R. part 659, until these regulations are repealed or superseded by regulations that FTA promulgates in the future that implement 49 U.S.C. § 5329(e),
 - (d) Other applicable Federal laws and regulations, and
 - (e) Its Underlying Agreement, and section 49 and all other applicable provisions of this Master Agreement, and
 - (2) The Recipient agrees to follow applicable Federal guidance, including:
 - (a) The most recent FTA Notice of Availability for funding made available for the State Safety Oversight Grant Program authorized by MAP-21, to the extent that its provisions are consistent with:
 - 1 Applicable requirements of 49 U.S.C. chapter 53, as amended by MAP-21, and
 - 2 Other applicable Federal laws, regulations, and guidance, and
 - (b) All other applicable Federal guidance, when issued, and
- c. Other Special Provisions for State Safety Oversight Program. The Recipient understands and agrees that State Safety Oversight Program grant funds will be used to develop or carry out its State Safety Oversight Program for purposes of coming into compliance with 49 U.S.C. §§ 5329(e)(3) and 5329(e)(4), including the establishment of a State Safety Oversight Agency (SSOA) that:
 - (1) Has an appropriate staffing level that is commensurate with the number, size, and complexity of the rail fixed guideway public transportation systems that the Recipient oversees,
 - (2) Requires its employees and other designated personnel of the SSOA who are responsible

for rail fixed guideway public transportation safety oversight to be qualified to perform such functions through appropriate training, including successful completion of the public transportation safety certification training program when established under 49 U.S.C. § 5329(c), and

- (3) Is prohibited from receiving funds from any public transportation agency that the SSOA oversees pursuant to 49 U.S.C. § 5329(e)(4).

Section 87. Special Provisions for State Infrastructure Bank Projects. Except as FTA determines otherwise in writing:

a. Federal Laws, Regulations, and Guidance. The Recipient agrees to administer its SIB funded Project consistent with Federal laws, regulations, and guidance, which may include:

- (1) Title 23, U.S.C. (Highways), specifically 23 U.S.C. § 610, to the extent required under MAP-21, and other applicable Federal legislation,
- (2) Federal transit laws, specifically 49 U.S.C. § 5323(o), as amended by MAP-21, which requires compliance with 49 U.S.C. §§ 5307, 5309, and 5337 for projects to which MAP-21 applies,
- (3) Section 350 of the National Highway System Designation Act of 1995, as amended, (NHS Act), 23 U.S.C. § 101 note, to the extent this section has not been superseded by 23 U.S.C. § 610,
- (4) Any Federal law amending a law listed in section 85.a(1) – (3) of this Master Agreement,
- (5) Any Federal law enacted or Federal regulations promulgated at a later date applicable to the Project,
- (6) All other applicable Federal guidance that may be issued,
- (7) The terms and conditions of any U.S. DOL Certification(s) of Public Transportation Employee Protective Arrangements,
- (8) The Cooperative Agreement establishing the SIB program in the State, signed by the Federal Highway Administrator, Federal Transit Administrator, and authorized State official(s), or their authorized designees, and
- (9) The FTA Grant Agreement providing Federal funds for the SIB Project, except that:
 - (a) Any provision of this Master Agreement that would otherwise apply to the SIB Project does not apply to the Underlying Agreement or the Project if it conflicts with:
 - 1 Any other Federal law or regulation applicable to a SIB,
 - 2 Federal SIB Guidelines,
 - 3 The Cooperative Agreement establishing the SIB program within the State, or
 - 4 The Underlying Agreement, but
 - (b) The conflicting provision of this Master Agreement will prevail, however, if FTA expressly determines so in writing, and

b. Limitations on Accessing Federal Funds in the Transit Account.

- (1) The Recipient understands that the total amount of Federal funds awarded under the Grant Agreement for the Project to be supported with SIB deposits may not be available for immediate withdrawal, and

- (2) The State and Recipient agree to restrict the amount of Federal funds it withdraws from its SIB to an amount not exceeding the limits specified in its Grant Agreement for the SIB Project or the Approved Project Budget for that Grant Agreement.

Section 88. Special Provisions for TIFIA Projects. Except as FTA determines otherwise in writing:

- a. Federal Laws, Regulations, and Guidance. The Recipient agrees to administer its Project financed with Federal credit assistance authorized by the Transportation Infrastructure Finance and Innovation Act (TIFIA), as amended, as required under:
 - (1) Title 23, U.S.C. (Highways), specifically 23 U.S.C. §§ 601 – 608, to the extent required under MAP-21, and other applicable Federal legislation,
 - (2) Federal transit laws, 49 U.S.C. chapter 53, and more specifically 49 U.S.C. § 5323(o), as amended by MAP-21, which requires compliance with 49 U.S.C. §§ 5307, 5309, and 5337 for projects to which MAP-21 applies,
 - (3) Section 350 of the National Highway System Designation Act of 1995, as amended,
 - (4) Joint U.S. DOT and FTA regulations, “Credit Assistance for Surface Transportation Projects,” 49 C.F.R. parts 80 and 640 that have not been superseded by:
 - (a) MAP-21, or
 - (b) Any other statute in effect and that applies to the matter at issue, and
 - (5) Any Federal statute signed into law and regulation promulgated at a later date that would affect the Project,
- b. Default. The Recipient agrees that FTA may declare the Recipient in violation of the Master Agreement if:
 - (1) It has defaulted on a TIFIA Loan, Loan Guarantee, or Line of Credit, and
 - (2) That default has not been cured within 90 days, and
- c. Order of Precedence. Any provision of this Master Agreement that is applicable to the Recipient’s TIFIA Project and the Recipient otherwise agrees to comply with, but that conflicts with the laws and regulations identified in this section 86.a of this Master Agreement, will not apply to the Recipient’s TIFIA Loan, Loan Guarantee, or Line of Credit.

Section 89. Special Provisions for Recovery Act Projects. Except as FTA determines otherwise in writing:

- a. Recovery Act. The Recipient understands and agrees that the following provisions apply to funds made available or appropriated for the American Recovery and Reinvestment Act of 2009 (“Recovery Act”), Pub. L. 111-5, February 17, 2009, and agrees to comply with the requirements of the Recovery Act,
- b. Identification of Recovery Act Funding. The Recipient understands and agrees that an Underlying Agreement financed with Recovery Act funds will indicate that the Recovery Act is the source of funding as follows:

- (1) If the “Citation of Statute(s) Authoring Project” of the Underlying Agreement displays “49 U.S.C. 5307 – Urbanized Area - Economic Recovery,” the Project or Projects are financed with Recovery Act funds appropriated for the Transit Capital Assistance for the Urbanized Area Formula Grant Program authorized by 49 U.S.C. § 5307, as amended by SAFETEA-LU, but prior to MAP-21,
- (2) If the “Citation of Statute(s) Authoring Project” of the Underlying Agreement displays “49 U.S.C. 5307 – Urbanized Area - Economic Recovery Flex,” the Project or Projects are financed with Recovery Act funds appropriated for highways transferred to support the FTA Urbanized Area Formula Grant Program authorized by 49 U.S.C. § 5307, as amended by SAFETEA-LU, but prior to MAP-21,
- (3) If the “Citation of Statute(s) Authoring Project” of the Underlying Agreement displays “49 U.S.C. 5309 – New Starts - Economic Recovery,” the Project is financed with Recovery Act funds appropriated for Capital Investment Grants authorized for Small Starts or New Starts by 49 U.S.C. § 5309(d) or (e), respectively, as amended by SAFETEA-LU, but prior to MAP-21,
- (4) If the “Citation of Statute(s) Authoring Project” of the Underlying Agreement displays “49 U.S.C. 5309 – Fixed Guideway - Economic Recovery,” the Project is financed with Recovery Act funds appropriated for Fixed Guideway Infrastructure Investment for Modernization, authorized by 49 U.S.C. § 5309(b)(2), as amended by SAFETEA-LU, but prior to MAP-21,
- (5) If the “Citation of Statute(s) Authoring Project” of the Underlying Agreement displays “49 U.S.C. 5311 – Nonurbanized Area - Economic Recovery,” the Project is financed with Recovery Act funds appropriated for Transit Capital Assistance for the Nonurbanized Area Formula Program authorized by 49 U.S.C. § 5311, as amended by SAFETEA-LU, but prior to MAP-21,
- (6) If the “Citation of Statute(s) Authoring Project” of the Underlying Agreement displays “49 U.S.C. 5311 – Nonurbanized Area - Economic Recovery Flex,” the Project or Projects are financed with Recovery Act funds appropriated for highways transferred to support the Nonurbanized Area Formula Grant Program authorized by 49 U.S.C. § 5311, as amended by SAFETEA-LU, but prior to MAP-21,
- (7) If the “Citation of Statute(s) Authoring Project” of the Underlying Agreement or Cooperative Agreement displays “PL 111-5 – Transp. Invest/Greenhouse Gas & Energy Red – Economic Recovery,” the Project is financed with Recovery Act funds specified in Title XII for Federal Transit Administration capital investments that will assist in reducing the energy consumption or greenhouse gas emissions of the Recipient’s public transportation systems, and
- (8) If the “Citation of Statute(s) Authoring Project” of the Underlying Agreement displays “PL 111-5 – OST Surface Transportation – Economic Recovery,” the Project is financed with Recovery Act funds specified in Title XII for the U.S. DOT Office of the Secretary Supplemental Discretionary Grants for a National Surface Transportation System, also referred to as the “TIGER Discretionary Grant Program,”

c. Identification of Project(s). The Recipient agrees that a Project or Projects financed with Recovery Act funds are:

- (1) Identified in the Recipient’s Project application, and
- (2) Reflected in the Approved Project Budget,

- d. Prompt Implementation. The Recipient agrees to:
- (1) Begin work on its Recovery Act Project promptly after FTA has awarded Recovery Act funds for that Project, and
 - (2) Continue to expend those Recovery Act funds expeditiously for Project purposes,
- e. Federal Requirements. In addition to Recovery Act statutory and regulatory requirements, the Recipient agrees that applicable requirements of 49 U.S.C. chapter 53 apply to each federally funded public transportation Project financed with Recovery Act funds, except that the Federal share of the costs for which any Recovery Act award is made under this heading shall be, at the option of the Recipient, up to 100 percent of the cost of the Project,
- f. U.S. OMB Provisions. The Recipient agrees to comply with U.S. OMB, “Award Terms for Assistance Agreements that Include Funds Under the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5,” 2 C.F.R. part 176, 74 *Fed. Reg.* 18449, April 23, 2009.
- (1) Reporting and Registration Requirements of Section 1512 of the Recovery Act. The Recipient agrees that:
 - (a) This award requires it to complete projects or activities supported with funding made available or appropriated for the Recovery Act and to report on its use of Recovery Act funds provided through this award. Information from these reports will be made available to the public,
 - (b) It will submit the requisite reports no later than ten calendar days after each calendar quarter in which it receives the Federal award funded in whole or in part by the Recovery Act,
 - (c) It will have, and require its Subrecipients to have, a Dun and Bradstreet Data Universal Numbering System (DUNS) Number (<http://www.dnb.com>),
 - (d) It will:
 - 1 Maintain a current registration in the SAM, (<https://www.sam.gov>), the successor to the CCR (<http://www.ccr.gov>) at all times during which it has an active Federal award funded with Recovery Act funds, and
 - 2 Require its Subrecipient to maintain a current registration in the System for Award Management (<https://www.sam.gov>), the successor to the CCR (<http://www.ccr.gov>) at all times during which it is participating in a Project financed through an active Federal award funded with Recovery Act funds, and
 - (e) It will report the information described in section 1512(c) of the Recovery Act using the reporting instructions and data elements that will be provided online at <http://www.FederalReporting.gov> and ensure that any information that is pre-filled is corrected or updated as needed,
 - (2) Buy America Requirements of Section 1605 of the Recovery Act. The Recipient agrees that the statutory provisions of 49 U.S.C. chapter 53 imposing Buy America requirements apply to its Recovery Act Project or Projects, to which this section 89 of this Master Agreement applies,
 - (3) Wage Rate Requirements of Section 1606 of the Recovery Act. The Recipient agrees that statutory provisions of 49 U.S.C. chapter 53 impose Wage Rate requirements involving construction, alteration, maintenance, or repair sufficient for compliance with section 1606 of the Recovery Act,

- (4) Recovery Act Transactions Listed in Schedule of Expenditures of Federal Awards and Recipient Responsibilities for Informing Subrecipients. The Recipient agrees that:
- (a) To maximize the transparency and accountability of funds authorized under the Recovery Act, as required by Congress, and when using FTA funds, it will maintain records that identify adequately the source and application of Recovery Act funds, as provided in 49 C.F.R. § 18.20 and 49 C.F.R. § 19.21, or 2 C.F.R. part 1201, when effective,
 - (b) If it must comply with the Single Audit Act Amendments of 1996, and U.S. OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations,” or the U.S. DOT regulations, it will identify its Recovery Act expenditures separately on the Schedule of Expenditures of Federal Awards (SEFA) and the Data Collection Form (SF-SAC) as provided in U.S. OMB Circular A-133 by:
 - 1 Identifying Recovery Act expenditures separately on the SEFA,
 - 2 Identifying Recovery Act expenditures as separate rows under Item 9 of Part III on the SF-SAC by CFDA number, and
 - 3 Including the prefix “ARRA-” in identifying the name of the Federal program on the SEFA and as the first characters in Item 9.d of Part III on the SF-SAC,
 - (c) It will:
 - 1 Separately identify each Subrecipient, and document, at the time of subaward and at the time of disbursement of funds, the Federal award number, CFDA number, and amount of Recovery Act funds, and
 - 2 Furnish sufficient information to each Subrecipient that distinguishes the subawards of incremental Recovery Act funds from regular subawards under the existing program, when it awards funds for an existing program, and
 - (d) It will require each Subrecipient to include on its SEFA information that specifically identifies Recovery Act funding similar to the requirements for the Recipient’s SEFA. This information is needed to monitor Subrecipient expenditures of Recovery Act funds properly and permits oversight by FTA, U.S. DOT, the Offices of Inspector General, and the Government Accountability Office,
- g. One-Time Funding. The Recipient agrees that receipt of Recovery Act funds is a “one-time” disbursement that does not create any future commitment by FTA to advance similar funding amounts,
- h. Funding Limits. The Recipient agrees that:
- (1) The total amount of Recovery Act funds for the entire period of Project performance is the amount displayed on its Underlying Agreement, including the most recent amendment to its Underlying Agreement, and
 - (2) The Government’s liability to make payments to the Recipient is limited to the eligible Project costs that can be financed with those Recovery Act funds as displayed on the Underlying Agreement, including the most recent amendment to that Underlying Agreement,
- i. Integrity. The Recipient agrees that all data it submits to FTA in compliance with Recovery Act requirements will be accurate, objective, and of the highest integrity,

- j. Violations of Law. The Recipient agrees that it and each of its Subrecipients must report to FTA and the U.S. DOT Inspector General or other appropriate Inspector General any credible evidence that a Principal, Employee, Agent, Contractor, Subrecipient, Subcontractor, or other person:
 - (1) Has submitted a false claim under the False Claims Act, 31 U.S.C. § 3729 *et seq.*, or
 - (2) Has committed a criminal or civil violation of law pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving Recovery Act funds,
- k. Maintenance of Effort. A Recipient that is a State agrees to comply with the maintenance of effort certification it has made in compliance with section 1201 of the Recovery Act,
- l. Emblems. U.S. DOT encourages it to use signs and materials that display both the American Recovery and Reinvestment Act (Recovery Act) emblem and the Transportation Investment Generating Economic Recovery (TIGER) program emblem to identify its Project(s) financed with Recovery Act funds that are provided by U.S. DOT in a manner consistent with Federal guidance, and to include this provision in each third party agreement used in connection with its Recovery Act Project(s),
- m. Contracts Financed With Recovery Act Funds. In compliance with section 1554 of the Recovery Act, the Recipient agrees to:
 - (1) Award contracts financed under this Act as fixed-price contracts through the use of competitive procedures to the maximum extent possible, and
 - (2) Post a summary of the contract on the Recovery Act web site maintained by the Recovery Accountability and Transparency Board when it does not award fixed-price contracts or does not use competitive procedures, and
- n. Time Limit for Spending Recovery Act Funds. The Recipient understands and agrees that:
 - (1) Expiration Date. It must spend all Recovery Act funds that are within its control no later than the end of Federal fiscal year 2013 (September 30, 2013), but
 - (2) Exception. The September 30, 2013 expiration date for spending Recovery Act funds will not apply if U.S. OMB has provided the Recipient a written waiver from this expenditure requirement.

Section 90. Special Provisions for Joint FTA – FRA Projects. When both FTA and the U.S. Federal Railroad Administration (FRA) make funding appropriated for their projects available for the same Project, the Recipient understands and agrees that the following provisions of this section 90 of this Master Agreement apply:

- a. General Legal Requirements: The Recipient agrees that:
 - (1) It will administer the Project to achieve maximum compliance with:
 - (a) FTA’s statutory and regulatory requirements,
 - (b) FRA’s statutory and regulatory requirements, and
 - (c) Recovery Act or other Federal statutory requirements, and

- (2) It will carry out the jointly funded Project as described in the following sections 90.b – j of this Master Agreement, which address conflicting legal and regulatory requirements imposed on joint FTA and FRA projects,
- b. Disadvantaged Business Enterprises. The Recipient agrees that:
- (1) The following statutory and regulatory provisions relating to disadvantaged business enterprises (DBE) differ significantly between FTA and FRA:
 - (a) Section 1101(b) of MAP-21 (23 U.S.C. § 101 note) applies to FTA, but not to FRA,
 - (b) U.S. DOT regulations, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs,” 49 C.F.R. part 26, apply to FTA, but not to FRA,
 - (2) FRA is not authorized to use FTA’s DBE regulations, and consequently
 - (3) The Recipient agrees to comply with the statutory and regulatory DBE provisions that apply to FTA funds when using FTA funds for purchases, and
 - (4) The Recipient agrees to use the “contracting with small and minority firms, women's business enterprise” provisions of 49 C.F.R. § 18.36(e) or 49 C.F.R. § 19.44(b) when using FRA funds, until U.S. DOT promulgates new regulations that will supersede and apply in lieu of 49 C.F.R. parts 18 and 19,
- c. Buy America. The Recipient agrees that statutory and regulatory Buy America provisions that apply to FTA funds differ from those that apply to FRA funds. Therefore, the Recipient agrees that:
- (1) It must comply with FTA’s statutory and regulatory Buy America provisions to the extent that the purchases fall under the FTA-funded Project or is an FTA-funded Project activity,
 - (2) It must also comply with the Buy American statutory provisions and regulatory that apply to FRA funds, specifically section 301(a) of the Passenger Rail Investment and Improvement Act of 2008 (PRIIA), Pub L. 110-432, October 16, 2008, 49 U.S.C. § 24405(a), to the extent that the purchases are required to comply with FRA Buy American requirements, and
 - (3) If it uses both FTA and FRA funds to finance a purchase, except as FTA or the Federal Government determines otherwise in writing, the Recipient agrees that it must comply with both FTA and FRA’s requirements,
- d. Force Account – Procurement. The Recipient agrees that FTA deems section 17(j) of this Master Agreement to be satisfied for work that is performed by the railroad’s force account employees if:
- (1) The project is being conducted on the property of a railroad, and
 - (2) Under the railroad’s collective bargaining agreements with its employees, certain work to be performed for the Recipient must be performed by force account employees,
- e. Procurement of Rolling Stock. The Recipient agrees that if FRA requires the Recipient to acquire any rolling stock for the Project from the Next Generation Corridor Equipment Pool Committee that has been established under section 305 of PRIIA, FTA deems section 17.p(1) of this Master Agreement to be satisfied,

- f. Use of Real Property, Equipment, and Supplies. The Recipient agrees that application of section 21 of this Master Agreement is reserved pending resolution by the U.S. Internal Revenue Service of whether Recovery Act grant funds invested in railroad property constitute non-taxable contributions to equity,
- g. Davis-Bacon. The Recipient agrees that, as provided in 49 U.S.C. § 24312, wages paid to railroad employees at rates provided in a collective bargaining agreement negotiated under the Railway Labor Act, 45 U.S.C. § 151 *et seq.*, are deemed to comply with the requirements of the Davis-Bacon Act, 40 U.S.C. § 3141 *et seq.*, and satisfy section 28.a(1)(b) of this Master Agreement,
- h. Employee Protective Arrangements. The Recipient agrees to:
 - (1) Pass down to a railroad employee subject to the Railway Labor Act, 45 U.S.C. § 151 *et seq.*, protective arrangements as provided in a special Attachment to FTA's Grant Agreement or Cooperative Agreement with the Recipient, and
 - (2) Not pass down employee protective arrangements as provided in section 28.d of this Master Agreement,
- i. Motor Carrier Safety. The Recipient agrees that:
 - (1) Railroad signal employees and their employers must comply with the hours of service requirements of:
 - (a) 49 U.S.C. § 21104, *see* 49 U.S.C. § 21104(e), and
 - (b) FRA's hours of service regulation, specifically 49 C.F.R. part 228,
 - (2) Section 38.b of this Master Agreement does not apply to railroad signal employees concerning hours of service, and
- j. Railroad Safety. The Recipient agrees that a railroad subject to FRA's safety jurisdiction must comply with the Federal railroad safety laws.

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APPENDIX A

TRIBAL TRANSIT PROGRAM – APPLICABLE PROVISIONS

FTA recognizes that several provisions generally applicable to other programs do not apply to the Tribal Transit Programs or the Indian Tribes that are the direct Recipients of funding under those Programs. The following table provides a list of provisions in this Master Agreement that generally apply to the Tribal Transit Programs. However, this list is not intended to be comprehensive and FTA may determine that other provisions are applicable depending upon the Tribal Transit Project.

Table of Generally Applicable Provisions for Tribal Transit Programs.

(The provisions of this Master Agreement listed below will indicate when a section has been modified to accommodate the Tribal Transit Program.)

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The following Federal regulations and guidance describe situations in which the Recipient or Subrecipient must obtain prior approval in writing of the authorized FTA or Federal official before taking specific action:

1. Master Agreement. The Master Agreement specifies that Recipients seek prior FTA approval before releasing rights in data as stated in the following sections:
 - a. Section 5.c, Restricted Sources of Local Share,
 - b. Section 6.c, Amendments to an Approved Project Budget,
 - c. Section 6.d, Transferring funds,
 - d. Section 6.e, Budget revisions,
 - e. Section 18.b, Leases involving certificates of participation or any type of innovative financing,
 - f. Section 20.c(2)(d), A Recipient's use of rights in data,
 - g. Section 21.l(1)(a), Disposition under 49 U.S.C. § 5334(h), and
 - h. Section 44.c(2), Liquidated damages.
2. FTA Circulars. As explained previously, FTA circulars are guidance. The following situations described in FTA Circulars identified below direct the Recipient and Subrecipient to obtain prior approval in writing of an authorized FTA official before taking action:
 - a. Deviations from guidance recommended in Applicable Circulars. FTA cautions the Recipient and its Subrecipients to obtain prior Federal approval in writing before taking actions that deviate from FTA or other Federal guidance; failure to do so may result in non-compliance with one or more Federal requirements and result in a disallowance of costs associated with the Recipient's actions and other measures as FTA or the Federal Government determine appropriate, and
 - b. Specific Circumstances Identifying Need for FTA or Federal Approval. Below are a list of circulars and matters that require prior FTA or Federal approval in writing:
 - (1) *FTA Circular 5010.1D, "Grant Management Requirements" November 1, 2008, Rev 1, August 27, 2012:*
 - (a) Budget Revisions as follows:
 - 1 A change in which the Federal share of the Project exceeds \$100,000 and the change in the cumulative amount of funds allocated to each scope from the originally approved scope exceeds 20 percent, *Chapter III, Section 4.a(3)(a)*,
 - 2 A change made through a transfer of Federal funds between ALIs with different Federal matching ratios, such as moving funds from a capital activity with a match ratio of 80/20 to an operating activity with a match ratio of 50/50, *Chapter III, Section 4.a(3)(b), Chapter III, Section 4.a(3)(b)*,

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- 3 A change of the Federal share of an existing ALI, such as changing an ALI from 80/20 to 83/17 to account for compliance with ADA or CAA requirements, *Chapter III, Section 4.a(3)(c)*,
 - 4 A budget revision that changes the number of revenue rolling stock, to be purchased by more than two units (for a Project with fewer than 10 vehicles) or more than 20 percent from the quantity identified in the original Project, *Chapter III, Section 4.a(3)(d)*,
 - 5 A budget revision that changes the size or physical characteristics of the items in the ALIs without changing the project scope, *Chapter III, Section 4.a(3)(e)*, and
 - 6 The addition or deletion of an ALI to an existing scope included in the Project, provided that the request does not change the amount of Federal funds awarded in the original Project or change the scope of the project contained in the Project, *Chapter III, Section 4.a(3)(f)*.
- (b) Shared use of Project property, except when it involves coordinated public transit human services transportation, *Chapter IV, Section 3.e(2)*,
 - (c) Incidental use of Project property, except when it involves coordinated public transit human services transportation, *Chapter IV, Section 3.e(3)*,
 - (d) Disposing of Project Property before the end of its useful life, *Chapter IV, Section 3.1(2)*,
 - (e) Like-kind exchanges, *Chapter IV, Section 3.1(6)*,
 - (f) Transferring rolling stock from one Recipient to another Recipient when the useful life of that Property has been met, *Chapter IV, Section 3.1(7)*,
 - (g) Transferring assets no longer needed if the property has met its useful life, *Chapter IV, Section 3.1(7)*,
 - (h) Transferring assets no longer needed if the property has not met its useful life, *Chapter IV, Section 3.1(8)*,
 - (i) Selling and using proceeds of the sale for other capital projects, *Chapter IV, Section 3.1(9)*, and
 - (j) Investing an amount equal to the remaining Federal interest in Project Property in like-kind property eligible for assistance, if the like-kind property is within the scope of the project that provided Federal assistance for the property prematurely withdrawn from use due to casualty, fire, natural disaster, or misuse, *Chapter IV, Section 3.1(11)*,
- (2) *FTA Circular 9030.1E, "Urbanized Area Formula Program: Program Guidance and Application Instructions," January 16, 2014:*
- (a) Using the proceeds from the issuance of revenue bonds as part of the local match for a capital project, with prior FTA approval, *Chapter III, subsection 8.a*,
 - (b) Retaining the proceeds from the sale of federally funded assets that they no longer need for public transportation purposes, and reduce the gross project cost

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of subsequent federally funded public transportation capital projects, as provided in 49 U.S.C. § 5334(h), *Chapter III, subsection 8.d*,

- (c) Using deferred local share must receive FTA approval before the obligation of Federal funding for the Project, *Chapter III, section 9*,
 - (d) Sharing the use of Project property requires except when it involves coordinated public transit human services transportation, *Chapter III, subsection 12.d*, and
 - (e) Incurring costs for proposed budget revisions when:
 - 1 The Federal share of the Project exceeds \$100,000 and the change in the cumulative amount of funds allocated to each scope from the originally approved scope exceeds 20 percent of the net project cost, *Appendix B, subsection 3.a*,
 - 2 Federal funds are transferred between Activity Line Items (ALI) with different Federal matching ratios, such as moving funds from a capital activity with a match ratio of 80/20 to an operating activity with a match ratio of 50/50, *Appendix B, subsection 3.b*,
 - 3 Changing the Federal share of an existing ALI, such as changing an ALI from 80/20 to 85/15 to account for compliance with Americans with Disabilities Act of 1990 (ADA) or Clean Air Act (CAA) requirements, *Appendix B, subsection 3.c*,
 - 4 A budget revision changes the number of rolling stock to be purchased by more than two units, for Projects with less than ten vehicles, or more than 20 percent from the quantity identified in the original Project, *Appendix B, subsection 3.d*,
 - 5 A budget revision changes the size or physical characteristics of the ALIs and changes the project scope, *Appendix B, subsection 3.e*,
 - 6 An addition of an ALI to an existing scope included in the Project and the change would change the amount of Federal funds awarded in the original FTA award or change the scope of the Project contained in the Federal award, *Appendix B, subsection 3.f*, and
 - 7 An addition of an activity within an approved scope that is not consistent with the approved STIP or, if applicable, has not satisfied NEPA requirements, *Appendix B, subsection 3.g*,
- (3) *FTA Circular 9070.1G, "Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance and Application Instructions" June 6, 2014:*
- (a) Any change to a program of projects (POP) except advancing projects from Category B to Category A, or to re-allocations of funds among projects included in an approved POP, provided that any single change does not exceed 20 percent of the affected project and is consistent with the local coordinated plan from which the projects were selected, *Chapter IV, section 6*,

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- (b) When a revision would transfer funds between operating and capital categories, or between activity line items with different Federal matching ratios, *Chapter IV, paragraph 6(c)(2)*,
 - (c) When a budget revision would change the size or physical characteristics of the activities specified in the grant, *Chapter VI, paragraph 6(c)(3)*,
 - (d) When a budget revision would increase or decrease the number of revenue rolling stock vehicles to be purchased by more than two units, *Chapter IV, paragraph 6(c)(3)*, and
 - (e) When the Federal share of the grant exceeds \$100,000 and the cumulative amount of project funds to be transferred between or among activities, (including all budget revisions since the last one specifically approved by FTA) exceeds 20 percent, *Chapter IV, paragraph 6(c)(1)*,
- (4) *FTA Circular 6100.1D, "Research Technical Assistance, and Training Programs: Application Instructions and Program Management Guidelines" May 1, 2011:*
- (a) A change in key persons specified in the application or project agreement, *Chapter I, Section 5.x*,
 - (b) If the Recipient seeks to submit one quarterly narrative milestone progress report for the entire Project when that Project funded by multiple agreements, *Chapter IV, Section 4.d*,
 - (c) If the Recipient seeks to submit one quarterly narrative final or other major technical report for the entire Project when that Project funded by multiple agreements, *Chapter IV, Section 4.i*,
 - (d) A prior approval requirement of the applicable Federal Cost Principles, *Chapter IV, Section 5*, and
 - (e) Although the wording in 49 C.F.R. parts 18 and 19 is slightly different, the following actions require prior approval for all entities unless noted, *Chapter IV, Section 5.b*:
 - 1 A change in the scope or the objective of the project or program (even if there is no associated budget revision), *Chapter IV, Section 5.b(1)*,
 - 2 A change in a key person specified in the application or award document, *Chapter IV, Section 5.b(2)*,
 - 3 The need for additional Federal assistance, *Chapter IV, Section 5.b(3)*,
 - 4 The transfer of training allowances (direct payment to trainees) to other categories of expense, *Chapter IV, Section 5.b(4)*,
 - 5 Unless described in the application and specified in the Cooperative Agreement, Grant Agreement, or Other Agreement, the sub-award, transfer, or contracting out of any work under an award, except for the purchase of supplies, material, equipment or general support services, *Chapter IV, Section 5.b(5)*,
 - 6 If approved, all pre-award costs are incurred at the recipient's risks (e.g. the Federal awarding agency is under no obligation to reimburse such costs if

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- for any reason the recipient does not receive an award or if the award is less than anticipated and inadequate to cover such costs), *Chapter IV, Section 5.b(6)*,
- 7 To obtain an extension of the expiration date of the award, *Chapter IV, Section 5.b(7)*,
- 8 A transfer of financial assistance between direct cost categories Activity Line Items (ALIs). See “Project Budget,” Chapter III, paragraph 6.b(2) in which the Federal share of the project exceeds \$100,000 and the cumulative amount of such transfers exceeds or is expected to exceed 20 percent of the total budget as last approved, *Chapter IV, Section 5.b(8)*,
- 9 An absence for more than three months, or a 25 percent reduction in time devoted to the project, by the approved Project Manager or by the Principal Investigator (institutes of higher education, hospitals, nonprofits and for-profits), *Chapter IV, Section 5.b(9)*,
- 10 A transfer of amounts budgeted for indirect costs to absorb increases in direct costs, or vice versa (institutes of higher education, hospitals, nonprofits and for-profits only), *Chapter IV, Section 5.b(10)*, and
- 11 The inclusion of costs that require prior approval in accordance with applicable Federal Cost Principles, *Chapter IV, Section 5.b(11)*:
- a Capital expenditures, *Chapter IV, Section 5.b(11)(a)*,
 - b Costs of membership in civic, community and social organizations as a direct cost, *Chapter IV, Section 5.b(11)(b)*,
 - c Pre-award costs, *Chapter IV, Section 5.b(11)(c)*,
 - d Proposal costs as a direct charge, *Chapter IV, Section 5.b(11)(d)*,
 - e Travel costs of certain officials and foreign travel, *Chapter IV, Section 5.b(11)(e)*,
 - f Premiums for overtime, training, and education costs, *Chapter IV, Section 5.b(11)(f)*, and
 - g Travel costs higher than maximum per diem rates, *Chapter IV, Section 5.b(11)(g)*, and
- (f) Under certain other circumstances, the Recipient must obtain FTA approval before incurring costs for its proposed budget revisions, *Chapter IV, Section 6.a(3)*,
- (5) *FTA Circular 9300.1B, “Capital Investment Program Guidance and Application Instructions” November 1, 2008*:
- (a) Use of bond proceeds from the issuance of revenue bonds as part of the local share of a capital project, *Chapter II, Section 7c*, and
 - (b) Trading in or selling a vehicle before the end of its minimum useful life, *Chapter III, Section 7.d(3)*,

APPENDIX B

PRIOR FTA OR FEDERAL APPROVALS

- (6) *FTA Circular 9045.1, "New Freedom Program," May 1, 2007:*
Any change to the program of projects, except advancing projects from Category B to Category A, or re-allocating funds among projects included in the approved Program of Projects, provided that any single change does not exceed 20 percent of the affected project and is consistent with the competitive selection process and the local coordinated plan from which the project was derived, *Chapter IV, Section 9*, and
- (7) *FTA Circular 9050.1, "The Job Access and Reverse Commute (JARC) Program Guidance and Application Instructions," May 1, 2007:*
Any change to the program of projects, except advancing projects from Category B to Category A, or re-allocating funds among projects included in the approved Program of Projects, provided that any single change does not exceed 20 percent of the affected project and is consistent with the competitive selection process and the local coordinated plan from which the project was derived, *Chapter IV, Section 9*.