

**INTERLOCAL AGREEMENT  
SERVICE AGREEMENT FOR PROVISION OF TRANSPORTATION SERVICES**

This Interlocal Agreement (“Agreement”), is made and entered into this \_\_\_ day of **July, 2020**, by and between the Central Oklahoma Transportation and Parking Authority (“**COTPA**”) d/b/a **EMBARK**, public trust (“**EMBARK**”) and the City of Norman, a municipal corporation (“**Norman**”), for the provision of public transportation services, in accordance with 74 O.S. § 1008.

**WITNESSETH:**

**WHEREAS, Norman** has been approved by the Federal Transit Administration (“**FTA**”) to serve as an active grantee/direct recipient to receive federal funds and operate public transit in the City of Norman and surrounding areas; and

**WHEREAS, Norman** desires **EMBARK** to perform the public Transit Services as an independent contractor; and

**WHEREAS, EMBARK** desires to provide the public Transit Services as an independent contractor; and

**WHEREAS, EMBARK** and **Norman** (Parties) entered an initial Interlocal Agreement on August 2, 2019, and both **Parties** desire to continue this mutually beneficial Agreement by entering into this new Agreement for operating transportation services.

**NOW, THEREFORE**, for and in consideration of the mutual Agreements, covenants, and conditions herein set forth, the parties hereto agree as follows:

**1. PURPOSE.** The **Parties** agree and acknowledge that the purpose of this Agreement is to provide for the administration and operation of “Transit Services.”

A. “Transit Services” means the administrative, management, and operation of fixed-route and paratransit public transportation services identified in Exhibit A-1, using public transit vehicles provided and maintained by **Norman**.

**2. ENTIRE AGREEMENT/AMENDMENTS.** This Agreement, with attached Exhibits, as identified below and herein incorporated by reference, contains all the terms and conditions agreed upon by the parties hereto and supersedes all prior and/or contemporaneous discussions, representations, or agreements of the parties relating to the work to be performed, whether written or oral. This Agreement may only be modified by prior mutual written approval of the parties. Both parties acknowledge and agree that only the Norman City Council and COTPA Board can agree to any such amendment of this Agreement.

a. Exhibit A – SCOPE OF SERVICES

Exhibit A-1 – FY 2021 Norman Transit Service Profile

Exhibit A-2 – FY 2021 Norman Transit Routes

- b. Exhibit B – COMPENSATION
    - Exhibit B-1 – Estimated Additional Costs
  - c. Exhibit C – FTA TERMS AND CONDITIONS
  - d. Exhibit D – NORMAN TRANSIT FLEET DESCRIPTION AND INVENTORY
  - e. Exhibit E – FACILITY SHARING AGREEMENT
  - f. Exhibit F – EMBARK PLUS Norman ADA Guide
    - Exhibit F-1 – EMBARK Rider Conduct & Exclusion Policy
    - Exhibit F-2 – EMBARK Advertising Policy
  - g. Exhibit G – SAMPLE INVOICE
    - Exhibit G-1 – Sample EMBARK Norman Monthly Performance Summary Report
3. **TERM.** This Agreement shall take effect on July 1, 2020, and shall expire on June 30, 2021. This Agreement shall be auto renewable subject to the parties’ mutual agreement on the renewal year’s annual compensation amount and subject to annual appropriation of sufficient funding by the Norman City Council; however, this Agreement may be terminated as provided in Section 12 – Termination. The parties shall meet by April 1 every year to discuss any renewal year’s annual compensation amount and to present any other proposed amendments for the upcoming renewal year.
- A. **Norman’s** City Manager or his designee may provide written request to renew the Agreement at least ninety (90) days before the expiration date of June 30 of the respective year. Both **Parties** acknowledge and agree that any renewal must be formally approved by the respective governing bodies of both **Parties**.
  - B. In addition, this Agreement may be terminated as provided in Section 12 - Termination.
4. **SCOPE OF SERVICES.** **EMBARK** will provide public Transit Services within the City of Norman service area as specified in Section 18 A – EMBARK Responsibilities – and **Exhibit A**.
5. **COMPENSATION, INVOICING, and PAYMENT.** For the services provided by **EMBARK** pursuant to this Agreement, **Norman** agrees to pay to **EMBARK** the compensation as specified in **Exhibit B**. The **Parties** acknowledge and agree that the compensation for the operation of monthly Transit Services and up front public liability insurance premium (excluding Additional Costs and liability reimbursement funds as outlined below) during the Term of this Agreement **is not to exceed \$2,878,074.00** without both **Parties’** prior written approval. **Parties** acknowledge that this annual not-to-exceed amount is the actual costs of the yearly insurance premium and an estimate of anticipated operational costs.
- A. Compensation
    - 1. **EMBARK’s** estimated base cost to deliver fixed-route and paratransit services will be invoiced actual expenses related to the delivery of monthly Transit Services detailed in **Exhibit A**.
    - 2. Both Parties agree that such compensation outlined in **Exhibit B** is reasonable and necessary costs which will be incurred by **EMBARK** to provide the Transit Services outlined in **Exhibit A**.
    - 3. It is understood by the Parties that additional administrative and/or operational

costs for providing Transit Services under this Agreement and/or increased service levels may require a written modification of the compensation amounts to sustain the requested increased administrative, operational, and/or service levels. Failure to fund the additional costs may result in **EMBARK's** suspension of Transit Services or delay of requested increased service levels until such funding becomes available.

4. Additional Costs outlined in **Exhibit B-1** will be invoiced monthly as the expenses occur. Additional Costs will be approved by **Norman** in advance and invoiced based on actual cost without an administrative fee. **Norman's** City Manager or his designee is hereby authorized to approve Additional Costs requests from **EMBARK** as needed up to a maximum not to exceed amount of **\$80,000.00**. Should the parties anticipate Additional Costs exceeding this **\$80,000.00** total costs, an amendment to this Agreement in accordance with the provisions of Section 2 – Entire Agreement/Amendments, would be required.
5. **Norman** shall pay to **EMBARK** **\$42,000.00** upon receipt of an initial invoice for actual costs of the public liability insurance premium for coverage from July 1, 2020 – June 30, 2021. **Norman** shall reimburse **EMBARK** the actual cost of deductibles or other out-of-pocket actual costs relating to payment of liability claims up to a maximum amount of **\$166,000.00** for incidents occurring from July 1, 2020, through June 30, 2021.

B. Invoicing

1. **EMBARK** will submit an initial invoice to **Norman** on July 1, 2020, in the amount equal to one-and one-half months of estimated service and hold the monies in escrow to be applied as a credit(s) to the final invoice(s) for the term of the Agreement. The initial invoice will also include the full public liability insurance premium of **\$42,000.00** for one year. Should the insurance policy be cancelled prior to June 30, 2021, **EMBARK** shall refund to **Norman** the amount of any refunded premium.
2. Thereafter, **EMBARK** will submit a routine monthly invoice as depicted in **Exhibit G** for the previous month. The first routine invoice will be provided to **Norman** in August 2020, for services rendered in July, 2020. Invoicing will be for actual costs incurred, any approved Additional Costs, and the administrative fee. Monthly invoices shall also include any requests for reimbursement of the actual cost of deductibles or other out-of-pocket actual costs as outlined in Section 5(A)(5).

C. Payment

1. **Norman** will pay all invoices 30 days after receipt of a proper invoice. If payment is not received to **EMBARK** any later than sixty (60) days after receipt of a proper invoice, then **EMBARK** may, at its sole discretion, take action, which may include termination of all services provided according to this Agreement.

6. **LIABILITY AND INSURANCE.** **EMBARK** and **Norman** agree that each will be responsible for their own acts and omissions subject to the provisions and limitations of the Oklahoma Governmental Tort Claims Act, 51 O.S. § 151, *et seq.* **Norman** acknowledges that **COTPA** d/b/a **EMBARK** is a separate and distinct legal entity from the City of Oklahoma City and recognizes that the City of Oklahoma City is not responsible for the public Transit Services provided to

**Norman** by **EMBARK**.

- A. **EMBARK** agrees to maintain public liability insurance and to list **Norman** as an additional insured, insuring **Norman** and its agents against all legal liability for injury to persons (including wrongful death) and property damages resulting directly from **EMBARK**'s own negligent acts and omissions, including those of its officers, agents, representatives, or employees in performance of its obligations under this Agreement for Transit Services. The public liability insurance coverage shall have liability in amounts of not less than **EMBARK**'s maximum liability under the Governmental Tort Claims Act, 51 O.S. § 151 *et seq.*, as amended from time to time and currently set at \$1,000,000 per occurrence, \$125,000 per bodily injury, and \$25,000 for property damages. A certificate of insurance and a copy of the insurance policy shall be furnished to **Norman**. The parties agree and acknowledge that failure to obtain and maintain such public liability insurance shall be considered a material breach of this Agreement.
- B. **Norman** agrees to maintain either self-insurance or insurance coverage on **Norman**'s public transit fleet and any facility it owns for its own negligent acts or omissions, including those of its officers agents, representatives, or employees in performance of its obligations under this Agreement resulting in injury or property damage to third parties. The self-insurance coverage or policy of insurance shall have liability in amounts of not less than **Norman**'s maximum liability under the Governmental Tort Claims Act, 51 O.S. § 151 *et seq.*, as amended from time to time and currently set at \$1,000,000 per occurrence, \$125,000 per bodily injury, and \$25,000 for property damages. The parties agree and acknowledge that failure to obtain and maintain such self-insurance or policy of insurance shall be considered a material breach of this Agreement.
- C. Damage to **Norman**'s vehicles, equipment, or real or other property while under the care, custody, or operation of **EMBARK** and its employees or agents, if determined not to be the result of **Norman**'s or a third-party's negligence, shall be tracked and deducted from the total maximum **\$166,000.00** liability reimbursement costs amount identified in Section 5(A)(5), unless and until such amount is exhausted. All deductions must be agreed upon by both Parties. If any monies are remaining from the **\$166,000.00** total at the end of the contract term, those funds will be set aside and held in reserve by **Norman** until June 30, 2022. The **Parties** acknowledge and agree that in the normal course of business in operating a public transit service, minor damage, including, but not limited to, window, mirror, paint and rim damage, to the vehicles operating the service is a usual and customary expense and part of the day-to-day cost of operation. Minor damages to **Norman**'s property occurring as a result of normal daily public transit operations resulting in damage of up to **\$1,500.00** in any single occurrence shall be treated as a routine maintenance expense, and any corresponding repairs costs shall be born by **Norman** and not deducted from the **\$166,000.00** amount. If such damage costs to **Norman**'s vehicles, equipment, or real or other property exceed **\$15,000.00**, then the parties will meet to discuss an incident prevention plan. **Norman** and **EMBARK** agree to develop and implement reporting procedures and a tracking system.
- D. **Norman** agrees to maintain and record all applicable vehicle and equipment warranties.
- E. The **Parties** agree that each will provide worker's compensation insurance for its respective employees.
- F. The **Parties** agree that this Provision is solely for the benefit of the Parties and is not intended to create or grant any rights, contractual or otherwise, to any other person or

entity.

- G. **No Waiver of Immunity.** Each Party agrees that neither Party waives any governmental immunity available to the Party under Oklahoma and all other applicable law and without waiving any available defenses under Oklahoma and all other applicable law. Further, the Parties do not waive, and neither Party deems to have waived any other immunity or defense that would otherwise be available to each Party as a local governmental entity and or political subdivision of the State of Oklahoma.

7. **FORCE MAJEURE.** **EMBARK** will not be held in default of this Agreement if Transit Services are prevented from being performed hereunder by conditions beyond its control, such as, but not limited to, Acts of God, pandemic, strikes, war, terrorism, or other emergencies making performance impossible or illegal.

8. **COMPLIANCE WITH FEDERAL AND STATE LAWS AND REGULATIONS.** The parties agree that specific FTA Terms and Conditions apply to this Agreement. These FTA Terms and Conditions are attached hereto as **Exhibit C** and incorporated herein by reference. These Certifications and Assurances for Federal Transit Administration Assistance Programs are certified annually by **Norman** and will be included in this Agreement upon execution by **Norman**. Certain provisions of these FTA Terms and Conditions are applicable severally or jointly to the parties to this Agreement.

- A. **Norman** agrees to comply with the requirements, and execute all corresponding Assurances, in **Exhibit C** as applicable. **Norman** shall comply with all Federal and State laws and regulations, Executive Orders, FTA Circulars, FTA Terms and Conditions, and other applicable State and Federal requirements when carrying out Federally-funded projects, including, but not limited to, civil rights, environmental impact analyses, procurement, real property acquisition, planning, and the inclusion of Federally-funded projects in the metropolitan Transportation Improvement Program (TIP) and Statewide Transportation Improvement Program (STIP).
- B. **EMBARK**, as an independent contractor, will comply with all applicable Federal and State laws and regulations, Executive Orders, FTA Circulars, FTA Terms and Conditions, and other applicable State and Federal requirements pertaining to **Norman's** federally funded projects.
- C. The parties agree that any State or Federal term, condition, or requirement which conflicts with any provision of this Agreement and or local directive or requirement shall take precedence over any such stipulation or provision of this Agreement. **EMBARK** understands and acknowledges that **Norman** is relying on **EMBARK's** consultation based upon its particular expertise in public transit and corresponding State and Federal laws and regulations and is to provide consultation services accordingly. **Norman** agrees that it will implement the FTA's drug and alcohol rules and testing procedures, Management Information System, appropriation systems, and reporting for a small urban system to capture the financial and non-financial information required by the FTA's National Transit Database.
- D. In the event of either party's non-compliance with the applicable Federal and/or State Laws and Regulations or the FTA Grant contract, the other Party may, at its sole discretion, suspend, restrict, and/or terminate, of all services provided pursuant to this

Agreement.

9. **REPORTING. EMBARK** agrees to provide monthly performance reports as shown in **Exhibit G-1. EMBARK** shall provide certain operational and financial data, in relation to this Agreement to **Norman** as requested by advance written notice from **Norman** to complete the required FTA and National Transit Database (“NTD”).
10. **FACILITY SHARING AGREEMENT. EMBARK** acknowledges that until the construction of the **Norman** operations and maintenance facility is completed and ready for occupancy, the Parties will be utilizing the University of Oklahoma (“University”) Facility located at 510 Chesapeake St., **Norman**, OK 73019. **EMBARK** acknowledges that **Norman** has entered into a Facility Lease Agreement and corresponding Facility Sharing Agreement with the University, and **EMBARK** agrees to be bound by and abide by the terms of the Facility Sharing Agreement, attached hereto as **Exhibit E** and hereby incorporated by reference. In the event that University seeks compensation from **Norman** for damages allegedly caused by **EMBARK’S** employees or agents, **Norman** will provide **EMBARK** written notice of such claims, and **EMBARK** agrees that it will consult with **Norman** in good faith to make a determination about liability and, if appropriate, process such applicable claim to **EMBARK** as mutually agreed upon by **Norman** and **EMBARK**. Upon the termination of **Norman’s** Facility Lease Agreement and corresponding Facility Sharing Agreement with the University, **Norman** will utilize a facility which meets with State and Federal requirements, which include, but not limited to, transit specific features like bus maintenance bays and bus yard, and can accommodate bus operations including drug testing.
11. **FARE. Norman** is currently fare-free. **EMBARK** will not collect fare revenue for **Norman** during the term of this Agreement. It is understood by both Parties that fare collection will require a written modification of this Agreement.
12. **TERMINATION.** Either Party may terminate this Agreement by providing a ninety (90) day written notice to the other Party. The notification must be written and sent postage paid to the other Party’s business address by certified or registered mail and via e-mail in accordance with the Notification provision in Section 17 A. Termination by **EMBARK** shall be subject to **EMBARK’S** obligation to complete work in progress unless exigent circumstances beyond its control warrant otherwise. It is of utmost importance to **Norman** to maintain consistent continuity of services for the residents of the City of Norman and to ensure compliance with Federal and State requirements, and all reasonable efforts shall be made to ensure that no break in services occurs.
13. **FINANCING AND BUDGET ADMINISTRATION.** Financing of the public transportation system shall be through the use of Federal funding assistance received in accordance with certain grant contracts between **Norman** and the FTA, U.S. Department of Transportation and other Agreements with other public and private agencies. Financing shall include such other funds from **Norman** as approved by the **Norman** City Council. Budget preparation and administration shall be accomplished by each entity and approved by each entity’s separate and respective governing bodies.
14. **PROPERTY OWNERSHIP/LEASE OF VEHICLES.** The full title, legal and equitable, to the existing vehicles, equipment, and properties of **Norman** and any vehicles, equipment, and property, real or personal, to be acquired in the future or any existing or future grant shall be vested in and remain with **Norman**. **Norman** shall retain the exclusive management and control of such vehicles, equipment, and properties and may dispose of such properties only in accordance with the

provisions of the **Norman** procedures, Bond Indentures, or Federal grant contracts as applicable. Title to any **Norman** vehicle, equipment, and or properties incorporated and used in any way whatsoever in connection with the purposes of this Agreement shall be vested in **Norman** or as determined by **Norman**. Upon termination of this Agreement, any property used in the operation of this Agreement provided herein shall revert solely to **Norman**, or such party holding title. During this Agreement, it is expressly understood that **EMBARK** will have no right, claim, or title to any real or personal property used in this Agreement, other than property which **EMBARK** was granted the title, or property which is held by **EMBARK** as a matter of law. **Norman** hereby leases to **EMBARK** the vehicles identified in **Exhibit D**, which is attached and hereby incorporated by reference, and any additional vehicles added to the public transit fleet during the term of this agreement, to utilize the vehicles and associated accessories. The lease is for the term of the Agreement and any renewal terms. The lease is provided in consideration for the Transit Services to be provided in accordance with this Agreement. In accordance with this Agreement, **Norman** will continue to inspect, repair, maintain, fuel, clean, secure, and store the leased vehicles at **Norman's** sole cost.

**15. BRANDING AND TRADEMARKS.** Any **EMBARK**-provided public Transit Services will be branded and identified as “**EMBARK**,” “**EMBARK Plus**,” or “**EMBARK Norman**.” This identification includes any public service announcements, press releases, signage, websites, uniforms and apparel, and vehicle wraps. Any use of the terms “**EMBARK**,” “**EMBARK Plus**,” or “**EMBARK Norman**,” or any other **EMBARK** branding or trademarks must receive the prior written approval of the **COTPA** Administrator, who is authorized by **COTPA** to provide said approval in his sole discretion. Further, any use of any of **EMBARK's** other trademarks requires the prior written consent of the **COTPA** Administrator, who is authorized by **COTPA** to provide said approval in his sole discretion.

**16. TRANSITION.** The Parties agree that during the term of this Agreement, the parties will continue to transition and maintain **Norman's** public transit systems, software, and bus and facility technology to a common system for both parties, at **Norman's** sole expense.

**17. MISCELLANEOUS.**

- A. **Notice.** Any and all notices or other communications required or permitted to be given under any of the provisions of this Agreement shall be in writing and shall be deemed to have been duly given when received by electronic mail and also either personally delivered or when received if mailed by private courier or first-class certified mail, return receipt requested, addressed to the parties at the addresses set forth below (or at such other address as any party may specify by notice to all other parties given as aforesaid):

**Central Oklahoma Transportation and Parking Authority**

Attn: Administrator  
2000 S. May  
Oklahoma City, OK 73108  
embarkok@okc.gov

**City of Norman**

Attn: City Manager  
201 Gray, Building A, P.O. Box 370  
Norman, OK 73070  
Darrel.pyle@normanok.gov

Courtesy e-mail copies shall be simultaneously sent to **Norman**'s Public Works Director at shawn.oleary@normanok.gov and Public Transit Coordinator at taylor.johnson@normanok.gov.

- B. **Governing Law and Jurisdiction.** This Agreement shall be governed by the laws of the State of Oklahoma, without giving force and effect to its choice of law provisions, and the United States of America. Any legal action in connection with this Agreement shall be filed in the District Court of Cleveland County, State of Oklahoma, or the United States District Court for the Western District of Oklahoma.
- C. **Legal Recourse and Attorneys' Fees.** Should the parties to this Agreement be unable to resolve between themselves any dispute arising from any of the provisions within this Agreement, each Party shall have recourse under applicable law. If either Party commences an action in law or equity to enforce any provision of this Agreement, the parties shall be responsible for their own respective attorneys' fees.
- D. **No Waiver.** No waiver of any breach or default hereunder shall be considered valid unless in writing and signed by the authorized Party giving such waiver. No such waiver shall be deemed a waiver of any subsequent breach or default of the same or similar nature.
- E. **Nondiscrimination.** In connection with the public Transit Services under this Agreement, **EMBARK** shall not discriminate against any employees or applicants for employment on the basis of race, religion, color, sex, sexual orientation, gender identity, creed, ancestry, age, familial status, national origin, or disability as defined by the Americans with Disabilities Act of 1990. **EMBARK** agrees to include this nondiscrimination clause in any subcontracts connected with the performance of this Agreement. In the event of **EMBARK**'s non-compliance with the nondiscrimination provisions of this Agreement, **Norman** may cancel, terminate, or suspend the Agreement in whole or in part.
- F. **Equal Employment Opportunity.** **Norman** agrees to comply with the requirements of the FTA Equal Employment Opportunity (EEO) program in the operation of its transportation system.
- G. **Disadvantaged Business Enterprise.** Disadvantaged businesses, as defined in 49 CFR, Part 23, shall have the opportunity to participate in the performance of contracts financed with Federal funds under this Agreement. **EMBARK** shall notify contractors and bidders of this information, and any failure to carry out these requirements shall constitute a breach of contract and may result in termination of the Agreement.
- Norman** agrees to comply with the requirements of the FTA Disadvantaged Business Enterprise ("DBE") program in the operation of its transportation system.
- H. **Conflicts of Interest.** No members, employees, or agents of **EMBARK** or **Norman** who exercise any function of responsibility in the approval of this

Agreement shall have any personal interest, direct or indirect, in any corporation, firm, or association, which has an interest in this Agreement.

- I. **Assignability, Third-Party Beneficiary, and Use.** This Agreement may not be assigned by either Party in whole or in part without the prior written permission of the non-assigning Party. If such an assignment is authorized by the non-assigning Party, then this Agreement will be binding upon and inure to the benefit of the Parties and their legal representatives and permitted assigns.

There are no third-party beneficiaries to this Agreement. **Norman** agrees not to permit the use of this Agreement by any other party besides **Norman**, without the prior written approval of **EMBARK**. **EMBARK** shall not use any operational subcontractors to fulfill any of its obligations under this Agreement unless it has received prior written approval from **Norman's** City Manager or his designee for the use of the subcontractors. **EMBARK** may utilize administrative subcontractors with written notice to **Norman**.

- J. **Severability.** If any provision(s) of this Agreement, or the application thereof, is determined for any reason and to any extent to be invalid, illegal, or unenforceable, the validity, legality, and enforceability of the remaining provisions shall not in any way be affected or impaired thereby. The remainder of this **Agreement** and the application of such Provision (s) will be interpreted to reasonably effect the intent of the parties hereto.
- K. **Counterparts.** This **Agreement** may be executed in several counterparts, each of which shall be deemed the original, but all of which shall constitute the same instrument.
- L. **Effective Date.** The Effective Date of this Agreement is July 1, 2020.
- M. **Anti-collusion.** **EMBARK** warrants that it has not employed or retained any company or person other than a bona fide employee working solely for **EMBARK** to solicit or secure this Agreement. **EMBARK** further warrants that it has not paid or agreed to pay any person, company, corporation, individual, or firm, other than a bona fide employee working solely for **EMBARK**, any fee, commission, percentage, gift or any other consideration, contingent or resulting from the award of this Agreement.
- N. **Captions.** The captions, titles, and headings contained herein are for convenience of reference only and do not control the interpretation of any provision herein.
- O. **Separate Entities/Independent Contractor.** **Norman** and **EMBARK** shall remain separate legal entities, and no other or different legal or administrative entity is created by any cooperation and coordination of authority or responsibility of **Norman** or **EMBARK** by this Agreement. The employees of **EMBARK** are not considered employees of either **Norman** or The City of Oklahoma City, for any purpose. All employees and agents acting for **EMBARK** or **Norman** under this Agreement will, at the time of such action, be an employee or agent of their respective public agency.
- P. **Administrator.** Both parties agree that the Administrator of **COTPA** is authorized to administer this Agreement on behalf of **EMBARK**. **EMBARK** authorizes its

Administrator to effectuate Norman's service changes, by amending the Scope and Compensation, which are identified in this Agreement and its Exhibits, which are communicated in writing in **EMBARK**. **Norman's** City Manager or his designee is hereby authorized to administer this Agreement on behalf of **Norman**.

- Q. **Labor protection.** The parties recognize that **EMBARK** public transportation system employees enjoy certain protective arrangements as stipulated in the 49 U.S.C. 5301 et. seq., and other public laws, such protective arrangements being included in a collective bargaining agreement and agreements pursuant to 49 U.S.C. 5333(b) as amended, (formerly Section 13(c)) and implementation regulations. The **Parties** agree that such protective arrangements shall remain in full force and effect, as they may exist or as they may be modified in future Federal grant contracts, Agreements pursuant to 49 U.S.C. 5333(b), as amended, or collective bargaining Agreements, all of which are subject to the laws of the State of Oklahoma. The **Parties** acknowledge and agree that **Norman** is not a party to such collective bargaining agreements and shall have no obligations under them whatsoever.
- R. **Record Retention and Reporting.** **EMBARK** and **Norman** are required to retain and maintain any and all records which are created as a result of this Agreement and/or public transportation.
- S. **Audit and Access to Records.** **Norman** and **EMBARK** have the right to access, inspect, and examine any books, papers, policies, procedures, programs, grant fund expenditure programming and TIP, and records of the other party relative to this Agreement. Failure to provide the requested information may result in termination of the Agreement. This right to audit and access to records only applies to records pertaining to the Agreement and compliance with such Agreement and does not apply to vendor records beyond the scope of this Agreement. The right to audit and access records includes any and all records regarding **Norman's** public transportation services, including, but not limited to, operations, procurement, storage, safety, maintenance, FTA compliance, and funding.

18. **RESPONSIBILITIES.** It is recognized by the Parties that this Agreement cannot definitively specify every procedure or responsibility necessary to accomplish the purposes of this cooperative Agreement. Nothing in this section shall negate the provisions in the Section 2 - Entire Agreement/Amendments, and any and all subsequent amendments to this Agreement will be made in accordance with the provisions of that section.

- A. **EMBARK Responsibilities.** **Norman** acknowledges and agrees that during the term of this Agreement, **EMBARK** is not responsible for expanding the public transportation services provided within the **Norman** service area beyond what is outlined in **Exhibit A**. The **Parties** agree that the following general responsibilities, including the Scope of Services outlined in **Exhibit A** are to be accomplished by **EMBARK** and shall be performed in accordance with all rules, regulations, and laws applicable to **Norman**:
- **EMBARK** will be responsible for the overall management of operations for the **Norman** Transit Services program as outlined in **Exhibit A**.

- **EMBARK** will assign a Program Manager as a liaison to **Norman** and its stakeholders and provide administrative program management of **EMBARK Norman**. Responsibilities include, but are not limited to, contract compliance, invoicing, project and service coordination, operations and maintenance oversight, procurement and solicitations, spokesperson, and consultation.
- **EMBARK** will provide technical support to **Norman**, including but not limited to, transportation planning, policy development and review, budget development and review, market research, transit service and ridership analysis, federal guidance, and maintenance guidance. This Agreement allows **EMBARK** to engage private sector contractors to perform planning and management services for the public transportation systems as may be determined beneficial and upon the approval of **COTPA**. Such third-party contractors shall require approval or notice in accordance with Section 17(I) – Assignability, Third-Party Beneficiary, and Use.
- **EMBARK** will provide administrative support to **Norman** including, but not limited to, personnel administration and recruitment, marketing and public information, community and customer engagement, information technology, training, security, and risk management. Said functions will be performed by **EMBARK** personnel under the supervision of the **COTPA** Administrator.
- **EMBARK** will maintain separate records for **EMBARK Norman** services, including but not limited to, all records for public transportation functions, including revenue collection and control, accounting and financial reporting, and management reporting, budget analysis, administrative controls, contract administration, and staff support, and such records shall be maintained separately by **Norman** and **EMBARK** to the degree necessary to determine revenues and expenses by the system, facility, transit service route or program and otherwise as determined necessary by **Norman** or **COTPA**.
- **EMBARK** reserves the right to limit or modify Transit Services due to the Force Majeure provision, weekends, and holidays, including the following: New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, and Christmas Day. **EMBARK** shall provide all fixed-route and paratransit services outlined in **Exhibit A** and **Exhibit A-1** on **Martin Luther King, Jr., Day**.
- **EMBARK** will assist **Norman** to develop, implement, and enforce reasonable operating policies and procedures compliant with FTA and ADA, including, but not limited to, fixed-route and paratransit guidelines and requirements for the use of Transit Services and bus passenger facilities, transit advertising, rider conduct and exclusion, and temporary service modifications and detours.
- **Norman** vehicles providing Transit Services shall be operated by an **EMBARK** operator duly licensed by the State of Oklahoma and in current possession of said license to operate vehicles for the type and size required by this Agreement. **EMBARK** shall ensure all operators assigned to vehicles with a capacity of sixteen (16) or more passengers, including the operator, have a valid commercial drivers' license and shall further comply with the rules for employees with commercial driver's licenses as specified by Oklahoma law.

- **EMBARK** will procure administrative technology equipment including, but not limited to, computers, VOIP phones, network hardware, software, mobile devices, printers or copiers, televisions or digital displays, and time clocks, invoiced to **Norman** as required in Section 5 and outlined in **Exhibit B-1**.
- **EMBARK** will develop and maintain customer service materials including, but not limited to, fixed-route service schedules and maps, paratransit service materials, web pages, social media posts, news releases, photography, and promotional materials. This Agreement allows **EMBARK** to engage private sector contractors to perform creative services as may be determined beneficial and upon the approval of **COTPA** and **Norman**.
- **EMBARK** agrees to notify **Norman** promptly of any received customer or regulatory complaints, in whole, relating to the public Transit Services provided by **EMBARK** under this Agreement. A report of all regulatory, transportation system, and Transit Services shall be submitted to **Norman**'s Program Manager weekly.
- **EMBARK** shall provide office technology, including the hardware and software necessary to fulfill obligations described in **Exhibit A**, at its sole cost. Such costs are estimated as follows:

<b>EMBARK Office Technology</b>	Hardware and software necessary to fulfill obligations described in <b>Exhibit A</b>	
Computer Hardware		\$ 25,000.00
Network Hardware		\$ 25,000.00
Software & Licensing		\$ 16,000.00
Mobile Devices		\$ 3,500.00

**B. Norman's Responsibilities.** **Norman** is responsible for all financial obligations under this Agreement, which shall be solely the obligations of **Norman** and not the obligation of **EMBARK** regardless of how stated herein. **Norman** will provide such resources, to assist **EMBARK**, as follows:

- **Norman** will assign a Program Manager as a liaison to **EMBARK** and provide administrative program management of **Norman** Transit Services and Maintenance. Responsibilities include, but are not limited to, contract compliance, invoice processing, project coordination, State and Federal compliance, operations and maintenance oversight, procurement and solicitations, spokesperson, and consultation.
- **Norman** shall provide road worthy bus and fleet vehicles that are clean and safe to **EMBARK** to provide Transit Services. **Norman**'s inventory of fleet vehicles at the start of this Agreement is outlined in **Exhibit D**.
- **Norman** will supply **EMBARK** with a sufficient number of service vehicles in order to provide at least a twenty percent (20%) spare ratio.
- **Norman** shall provide **EMBARK** with, or the means, to use intelligent

transportation systems (ITS) products, which are designed to: improve system communications; to computerize ADA reservations, dispatch, and manifests; to promote and enhance overall system quality and efficiency through tracking schedule adherence and route adherence; to provide the technology and means for more accurate and reliable dispatching; to provide bus stop announcements; to provide automatic passenger counting; and to provide more accurate and timely information and data on system and **EMBARK's** performance.

- **Norman** shall make all reasonable efforts to ensure consistent display on all fixed-route vehicle destination signs. **EMBARK** shall be required from time to time to revise destination sign readings to reflect route changes or other relevant service information, as specified in writing by **Norman**. **EMBARK** shall be notified in writing if any vehicle will be placed into service without an operable electronic Destination Sign (front, side, dash and rear as equipped), or an inoperable Security Camera/System.
- **Norman** will provide the public transit fleet required to operate Transit Services as identified in **Exhibit A** for each day of scheduled service. **Norman** will fuel and have transit service vehicles road-ready every service day by 5:15 a.m., at **Norman's** sole cost.
- **Norman** shall maintain and keep the **Norman** transit fleet in good condition, in a state of good repair, and according to the vehicle manufacturers' recommendations. Vehicles will be maintained in compliance with all State and Federal laws and regulations, standard industry practices and applicable standard operating procedures (SOPs), including, but not limited to, preventive and corrective maintenance programs, inspection, repairs associated with the routine delivery of transit service, daily interior and exterior cleaning, sanitization, onboard electronics and technology, and bodywork including maintaining interior and exterior decals.
- **Norman** shall maintain records of all maintenance, repairs, and inspections performed on each vehicle.
- **Norman** shall maintain all property and equipment associated with the **Norman** Transit Services, including but not limited to, brightly lit and well-marked bus yard and facilities; bus stops, benches, and shelters are clean and free of graffiti; placement and maintenance of bus stop signage and street furniture all at **Norman's** sole cost.
- **Norman** will provide administrative support for functions required to help ensure the successful delivery of Transit Services. Support includes, but is not limited to, risk management, transportation planning, community engagement, security, GIS, information technology, event planning, legal, public information and marketing; and program management.
- Two separate networks will be maintained at **Norman**-owned Facilities, one to support **Norman**-owned computers and printers and a second to support **EMBARK**-owned computers, servers, and printers, in accordance with the following:

- **Norman** will supply the required network infrastructure for **EMBARK** to implement a local area network (LAN), separate from **Norman's** on-site network, for the purpose of conducting **EMBARK**-specific business functions. All **EMBARK**-owned computers, switches, and servers must be placed on this network. No equipment may be added to the **Norman** network by **EMBARK**. The network infrastructure will consist of Category 6 Unshielded Twisted Pair (UTP) cabling, wall jacks, and an **EMBARK** supplied Ethernet network switch(es) allowing connections within the provided facilities. No equipment may be added to the **EMBARK** network by **Norman**. **EMBARK** shall be provided a separate minimum 200 MB up down internet connection. **Norman** will provide rack space available for routers, switches, and servers.
  
- **Norman** shall provide operations facilities including, but not limited to, sufficient office space for operations with a meeting and training room, storage, secure IT equipment closet, uniform closet, break room with kitchen, driver's lounge, dispatch area, ADA accessible restrooms with lockers, and well-lit employee parking. The facility shall have temperature control systems, electricity, water, internet, cable television, and solid waste services at **Norman's** sole cost.
  
- **Norman** will fully furnish the operations facility with the exception of administrative technology equipment. Furnishings include, but are not limited to, kitchen appliances, lounge furniture, desks, filing cabinets, risk-rated task chairs, tables, ice machine, and shelving, at **Norman's** sole cost.
  
- **Norman** is responsible for all janitorial services and maintenance related to the daily maintenance of the facility. Services include, but not limited to, cleaning and sanitizing of operation facilities, and clearing snow and ice at **Norman's** sole cost.
  
- **Norman** is responsible for State and Federal compliance. Responsibilities include, but not limited to, monitoring, management, certification, and compliance with all Federal and State grant agreements, programs, requirements and assurances, and **Norman** covenants to ensure local, State and Federal compliance, at **Norman's** sole cost.
  
- **Norman** agrees to notify **EMBARK** promptly of any received customer or regulatory complaints, in whole, so that **EMBARK** can respond to and/or address promptly. A report of all regulatory, transportation system, Transit Services, and all other complaints shall be submitted to the **COTPA** Administrator and **EMBARK** Program Manager weekly.
  
- Public Information functions for all **EMBARK** Transit Services will be performed exclusively by **EMBARK** staff. **Norman** will assist in coordinating and providing information to support **EMBARK** Public Information Officer (PIO) functions. **EMBARK** acknowledges and agrees that **Norman's** CCO shall, from time to time, publish press releases on **Norman's** behalf in regard to the status of **Norman's** transportation system. Before any press releases, marketing, public

communication, or other use of or messaging which includes **EMBARK's** branding, **Norman** and/or the CCO will require **EMBARK's** review and approval. Prior to any press releases, marketing, public communication, or other use of or messaging which does not utilize **EMBARK's** branding, **Norman** and/or the CCO will notify **EMBARK's** PIO.

- **Norman** adopts **EMBARK's** Transit Service policies (ADA Guide, Rider Conduct and Exclusion Policy, and Advertising Policy), attached as **Exhibits F, F-1, and F-2**, as part of this Agreement. Should **EMBARK** amend any of these policies during the term of this agreement, **EMBARK** shall notify **Norman** in writing, and **Norman** may administratively approve or reject the changes in writing to **EMBARK**.

- **SERVICE CHANGES**

- General: Changes to Transit Services provided under this Agreement or the Scope of Work may only be made by advance written change notification from **Norman** to **EMBARK** in accordance with this Section, except in cases of a declared emergency. Orally dictated service change orders are not permitted.

- Process:

- Any service change proposed by **Norman** shall be communicated to **EMBARK** in writing, identifying the change, and specifying the effective date. **EMBARK** shall be given ten (10) business days after receipt of a written service change notice from **Norman**, to provide **Norman** a response identifying any impact of such change on operations, and by identifying any feasibility problems **EMBARK** believes will be created by the proposed change. The proposed amendment shall thereafter be accepted or modified through discussions between **EMBARK** and **Norman** or designee.
- Subsequent to any discussions on a service change notice, **Norman** will make a final decision and direct **EMBARK** to implement the service change. **Norman** will give at least four (4) weeks' notice before any service change unless circumstances do not allow for such a notification timeframe.
- All service changes will comply with FTA regulations and requirements for public notice and comments, as applicable.

- **SPECIAL SERVICE HOURS**

- **Norman**, in its discretion, may request **EMBARK** to operate Special Service Hours that are in addition to the routes outlined in **Exhibit A-1**. Any such request shall be made in writing and shall be made not less than (5) five days in advance of the date the Special Services will be needed.

Under this Agreement, **Norman** may request Special Services upon shorter notice or request period and **EMBARK** agrees it will make a good faith effort to provide such services within the timeframe requested, but not to the detriment of **Norman** Transit Services. **EMBARK** shall provide, if requested, up to twelve (12) hours quarterly (cumulative by fiscal year) of Special Service hours for Marketing and other services and activities at no additional cost to **Norman**.

The remainder of this page is intentionally blank.

IN WITNESS THEREOF, this **Agreement** is entered into this 23rd day of June, 2020.

**CITY OF NORMAN, OKAHOMA**

\_\_\_\_\_  
Mayor Breea Clark

Attest: \_\_\_\_\_  
Brenda Hall, City Clerk

APPROVED as to form and legality this 22<sup>ND</sup> day of June, 2020.

Kristina L. Bell  
\_\_\_\_\_  
Kristina L. Bell, Assistant City Attorney

**APPROVED** by the Trustees of the Central Oklahoma Transportation and Parking Authority and **SIGNED** by the Chairman this \_\_\_ the day of \_\_\_\_\_, 2020.

Attest:

CENTRAL OKLAHOMA TRANSPORTATION  
AND PARKING AUTHORITY

\_\_\_\_\_  
Secretary

\_\_\_\_\_  
Chairman

REVIEWED for form and legality

\_\_\_\_\_  
Assistant Municipal Counselor

**EXHIBIT A**

**Scope of Services**

During the term of this Agreement, **EMBARK** will operate public transportation services as defined as fixed-route and paratransit services to meet the transportation needs of **Norman**.

**Norman** grants to **EMBARK** such rights of access as are necessary for the operation of the public transportation services.

**1. MANAGEMENT**

- a. **EMBARK** shall coordinate, manage, and control all activities necessary to carry out its responsibilities under the subsequent Agreement, which include, but are not limited to, providing operators, and all other project personnel; training personnel; developing administrative procedures and financial records; and suggest methods to improve effectiveness and maximize service efficiency.

**2. OPERATING PERFORMANCE STANDARDS**

- a. **EMBARK** shall adhere to the following standards:
  - i. Vehicles shall be operated with due regard for the safety, comfort, and convenience of passengers and the general public.
  - ii. Service shall be provided as scheduled or according to any adjusted schedule mutually established by **EMBARK** and **Norman**, including route or service modifications required as a result of a declared emergency.
  - iii. **EMBARK** shall strive to maintain on-time performance in accordance with published schedules, and at no time is **EMBARK** allowed to run ahead of schedule.
  - iv. **EMBARK** shall train and motivate employees who interface with the public as if they were in the "Hospitality" industry. All **EMBARK** personnel are responsible for knowledge of the Norman service. **EMBARK** personnel must maintain a courteous attitude, answering to the best of their ability any questions from the public regarding the provision of service.

**3. FIXED-ROUTE OPERATIONS**

- a. **EMBARK** shall operate transportation service on a network of seven existing fixed-routes represented in **Exhibit A-2**.
- b. Effective Monday, August 10, 2020, **Norman** Route 124 will be eliminated, and in effect, all service will be transferred to **EMBARK** OKC Route 024.
- c. In operating services, emphasis will be placed on maintaining courtesy to passengers, adequate training, policies designed to minimize employee turnover and maximize on-time performance, and otherwise carrying out all contractual obligations safely and reliably.
- d. **EMBARK** shall provide an adequate number of qualified personnel to provide trip planning, route, and schedule information from incoming customer phone calls from 7:30 a.m. to 8 p.m. on weekdays and from 8 a.m. to 4 p.m. on Saturdays.
- e. **EMBARK** will provide operation of the seven fixed-routes, including, but not limited to, all aspects of service planning, training, scheduling, dispatching, supervising, driving, and customer engagement in accordance with the following **Route Profiles** detailed in **Exhibit A-1** and the **Route Maps** attached as **Exhibit A-2**.
- f. **EMBARK** will not operate fixed-route service on Independence Day, Saturday, July 4, 2020; Labor Day, Monday, September 7, 2020; Thanksgiving, Thursday,

November 27, 2020; Christmas Day, Friday, December 25, 2020; New Year's Day, Friday, January 1, 2021; Memorial Day, Monday, May 31, 2021. Route 144 will not operate on any days in which the Moore Social Security Office is closed. **EMBARK** shall operate fixed-route service on Martin Luther King, Jr., Day.

#### 4. ADA PARATRANSIT OPERATIONS

- a. **EMBARK** shall provide complementary paratransit service in accordance with the Americans with Disabilities Act of 1990 and any subsequent updates.
- b. All transportation services will be performed, our cause to be performed, as "EMBARK Norman" and "EMBARK Plus" using transportation vehicles provided by and maintained by **Norman**.
- c. **EMBARK** shall deliver paratransit services to eligible customers, as described in **Exhibit F**.
- d. **EMBARK** will operate federally mandated complementary paratransit service Zone 1 within  $\frac{3}{4}$  of a mile on either side of fixed routes - 110, 111, 112, 120, and 121. **EMBARK** will also provide additional paratransit service identified as Zone 2 and encompasses a service area starting  $\frac{3}{4}$  of a mile on either side of **Norman's** fixed-routes 110, 111, 112, 120, and 121 and extending to its city boundaries.
- e. **EMBARK** will operate paratransit service as a complement to **Norman's** regular fixed-route bus service and mirror the fixed route service hours and days. **EMBARK Plus** will operate in Zone 1 from 7:00 a.m. to 10:00 p.m. Monday to Friday. Zone 2 will not operate after 7 p.m. on weekdays.
- f. **EMBARK** shall be responsible for performing both stages of the eligibility evaluation process as necessary to determine the eligibility of each client for complementary ADA paratransit service; notifying the client of the determination within 21 calendar days of a completed application; and, in the event of eligibility, providing to the client an official notification. An applicant shall be certified as eligible if, and only if, a person's functional ability prevents the use or navigation of fixed-route services.
- g. **EMBARK** will notify all ADA clients at least 120 calendar days before their certification expiration date. Clients seeking recertification will need to complete a re-certification application.
- h. **EMBARK** shall provide adequate staff to receive and process reservations and provide service information, so that time on hold for customers is kept to a minimum.
- i. **EMBARK** will not operate paratransit service on the following holidays: Independence Day, Saturday, July 4, 2020; Labor Day, Monday, September 7, 2020; Thanksgiving, Thursday, November 27, 2020; Christmas Day, Friday, December 25, 2020; New Year's Day, Friday, January 1, 2021; Memorial Day, Monday, May 31, 2021. **EMBARK** shall operate paratransit service on Martin Luther King, Jr., Day.

#### 5. SATURDAY SERVICE

- a. **EMBARK** will operate Saturday service starting Saturday, August 15, 2020, on routes 110, 111, 112, and 121 as outlined in **Exhibit A-1**.
- b. **EMBARK** will operate paratransit service as a complement to **Norman's** Saturday fixed-route bus service and mirror the fixed-route service hours and days. **EMBARK Plus** will operate in Zone 1 from 10:00 a.m. to 7:00 p.m. Zone 2 will not be operated on Saturdays.

#### 6. GRANT ADMINISTRATION AND OTHER FTA REQUIREMENTS

- a. **EMBARK** will provide consultation and assistance, during regular business hours, to **Norman** for **Norman's** compliance with FTA requirements, other Federal and State grant applications and administration, and all Federal and State laws and

regulations.

**7. MANAGEMENT OF COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG) TRANSIT PROGRAM**

- a. Should **Norman** start charging fare, **EMBARK** will manage and operate **Norman's** CDBG Bus Pass Program, with such management to include, but not be limited to, responding to agencies that serve vulnerable populations, processing all applications, notifying and mailing passes to applicants, and monthly billing to **Norman** for reimbursement.

**8. MARKETING AND ADVERTISING**

- a. **EMBARK** will provide and coordinate with Norman, at Norman's sole cost, to provide all related marketing services and programs and/or advertising services and programs for **Norman's** public transportation services.

**9. BUDGET MANAGEMENT**

- a. **EMBARK** will track Transit Service costs identified in **Exhibit B** to ensure the budgeted funds will be sustainable over the allotted period.

**EXHIBIT A-1  
Fiscal Year 2021  
Norman Transit Service Profile**

<b>Route 110 - MainStreet</b>	<b>Frequency</b>	<b>Service Span (approximate)</b>	<b>Scheduled Vehicle Revenue Hours</b>	<b>Scheduled Vehicle Non-Revenue Hours</b>	<b>Scheduled Vehicle Recovery Hours</b>	<b>Daily Scheduled Service Hours</b>	<b>Annual Scheduled Service Hours</b>	<b>Buses Required</b>	<b>Operators Required</b>	<b>Service Days</b>
Sunday										
Monday	Every 60 min	07:00 - 22:00	11	0.33	3.73	15.06	737.94	1	2	49
Tuesday	Every 60 min	07:00 - 22:00	11	0.33	3.73	15.06	783.12	1	2	52
Wednesday	Every 60 min	07:00 - 22:00	11	0.33	3.73	15.06	798.18	1	2	53
Thursday	Every 60 min	07:00 - 22:00	11	0.33	3.73	15.06	768.06	1	2	51
Friday	Every 60 min	07:00 - 22:00	11	0.33	3.73	15.06	753.00	1	2	50
Saturday	Every 60 min	10:00 - 19:00	6.6	0.33	2.13	9.06	416.76	1	1	46
<b>Grand Total</b>			61.6	1.98	20.78	84.36	4,257.06			301
<b>Monday-Friday</b>			55	1.65	18.65	75.3	3,840.30	1	2	255
<b>Saturday</b>			6.6	0.33	2.13	9.06	416.76	1	1	46

<b>Route 111 - Lindsey East</b>	<b>Frequency</b>	<b>Service Span (approximate)</b>	<b>Scheduled Vehicle Revenue Hours</b>	<b>Scheduled Vehicle Non-Revenue Hours</b>	<b>Scheduled Vehicle Recovery Hours</b>	<b>Daily Scheduled Service Hours</b>	<b>Annual Scheduled Service Hours</b>	<b>Buses Required</b>	<b>Operators Required</b>	<b>Service Days</b>
Sunday										
Monday	Every 30 min	07:00 - 22:00	10.5	0.33	4.35	15.18	743.82	1	2	49
Tuesday	Every 30 min	07:00 - 22:00	10.5	0.33	4.35	15.18	789.36	1	2	52
Wednesday	Every 30 min	07:00 - 22:00	10.5	0.33	4.35	15.18	804.54	1	2	53
Thursday	Every 30 min	07:00 - 22:00	10.5	0.33	4.35	15.18	774.18	1	2	51
Friday	Every 30 min	07:00 - 22:00	10.5	0.33	4.35	15.18	759.00	1	2	50
Saturday	Every 60 min	10:00 - 19:00	6.6	0.33	2.55	9.48	436.08	1	1	46
<b>Grand Total</b>			59.1	1.98	24.3	85.38	4,306.98			301
<b>Monday-Friday</b>			52.5	1.65	21.75	75.9	3,870.90	1	2	255
<b>Saturday</b>			6.6	0.33	2.55	9.48	436.08	1	1	46

**EXHIBIT A-1  
Fiscal Year 2021  
Norman Transit Service Profile**

<b>Route 112 - Lindsey West</b>	<b>Frequency</b>	<b>Service Span (approximate)</b>	<b>Scheduled Vehicle Revenue Hours</b>	<b>Scheduled Vehicle Non-Revenue Hours</b>	<b>Scheduled Vehicle Recovery Hours</b>	<b>Daily Scheduled Service Hours</b>	<b>Annual Scheduled Service Hours</b>	<b>Buses Required</b>	<b>Operators Required</b>	<b>Service Days</b>
Sunday										
Monday	Every 30 min	07:00 - 22:00	10.5	0.33	4.35	15.18	743.82	1	2	49
Tuesday	Every 30 min	07:00 - 22:00	10.5	0.33	4.35	15.18	789.36	1	2	52
Wednesday	Every 30 min	07:00 - 22:00	10.5	0.33	4.35	15.18	804.54	1	2	53
Thursday	Every 30 min	07:00 - 22:00	10.5	0.33	4.35	15.18	774.18	1	2	51
Friday	Every 30 min	07:00 - 22:00	10.5	0.33	4.35	15.18	759.00	1	2	50
Saturday	Every 60 min	10:00 - 19:00	6.6	0.33	2.55	9.48	436.08	1	1	46
<b>Grand Total</b>			59.1	1.98	24.3	85.38	4,306.98			301
<b>Monday-Friday</b>			52.5	1.65	21.75	75.9	3,870.90	1	2	255
<b>Saturday</b>			6.6	0.33	2.55	9.48	436.08	1	1	46

<b>Route 120 - West Norman Link</b>	<b>Frequency</b>	<b>Service Span (approximate)</b>	<b>Scheduled Vehicle Revenue Hours</b>	<b>Scheduled Vehicle Non-Revenue Hours</b>	<b>Scheduled Vehicle Recovery Hours</b>	<b>Daily Scheduled Service Hours</b>	<b>Annual Scheduled Service Hours</b>	<b>Buses Required</b>	<b>Operators Required</b>	<b>Service Days</b>
Sunday										
Monday	Every 30 min	10:00-17:50	6.25	0.77	1.17	8.19	401.31	1	1	49
Tuesday	Every 30 min	10:00-17:50	6.25	0.77	1.17	8.19	425.88	1	1	52
Wednesday	Every 30 min	10:00-17:50	6.25	0.77	1.17	8.19	434.07	1	1	53
Thursday	Every 30 min	10:00-17:50	6.25	0.77	1.17	8.19	417.69	1	1	51
Friday	Every 30 min	10:00-17:50	6.25	0.77	1.17	8.19	409.50	1	1	50
Saturday										
<b>Grand Total</b>			31.25	3.85	5.85	40.95	2,088.45			255
<b>Monday-Friday</b>			31.25	3.85	5.85	40.95	2,088.45	1	2	255
<b>Saturday</b>			0	0	0	0	0.00	1	1	0

**EXHIBIT A-1  
Fiscal Year 2021  
Norman Transit Service Profile**

<b>Route 121 - Alameda/ E Norman</b>	<b>Frequency</b>	<b>Service Span (approximate)</b>	<b>Scheduled Vehicle Revenue Hours</b>	<b>Scheduled Vehicle Non- Revenue Hours</b>	<b>Scheduled Vehicle Recovery Hours</b>	<b>Daily Scheduled Service Hours</b>	<b>Annual Scheduled Service Hours</b>	<b>Buses Required</b>	<b>Operators Required</b>	<b>Service Days</b>
Sunday										
Monday	Every 60 min	07:00 - 22:00	12.5	0.33	2.33	15.16	742.84	1	2	49
Tuesday	Every 60 min	07:00 - 22:00	12.5	0.33	2.33	15.16	788.32	1	2	52
Wednesday	Every 60 min	07:00 - 22:00	12.5	0.33	2.33	15.16	803.48	1	2	53
Thursday	Every 60 min	07:00 - 22:00	12.5	0.33	2.33	15.16	773.16	1	2	51
Friday	Every 60 min	07:00 - 22:00	12.5	0.33	2.33	15.16	758.00	1	2	50
Saturday	Every 60 min	10:00 - 19:00	7.5	0.33	1.33	9.16	421.36	1	1	46
<b>Grand Total</b>			70	1.98	12.98	84.96	4,287.16			301
<b>Monday-Friday</b>			62.5	1.65	11.65	75.8	3,865.80	1	2	255
<b>Saturday</b>			7.5	0.33	1.33	9.16	421.36	1	1	46

<b>Route 124 - Sonner Express (July Only)</b>	<b>Frequency</b>	<b>Service Span (approximate)</b>	<b>Scheduled Vehicle Revenue Hours</b>	<b>Scheduled Vehicle Non- Revenue Hours</b>	<b>Scheduled Vehicle Recovery Hours</b>	<b>Daily Scheduled Service Hours</b>	<b>Annual Scheduled Service Hours</b>	<b>Buses Required</b>	<b>Operators Required</b>	<b>Service Days</b>
Sunday										
Monday	4 trips	06:15 - 18:30	7.98	0.67	0.55	9.2	9.20	1	1	1
Tuesday	4 trips	06:15 - 18:30	7.98	0.67	0.55	9.2	9.20	1	1	1
Wednesday	4 trips	06:15 - 18:30	7.98	0.67	0.55	9.2	9.20	1	1	1
Thursday	4 trips	06:15 - 18:30	7.98	0.67	0.55	9.2	9.20	1	1	1
Friday	4 trips	06:15 - 18:30	7.98	0.67	0.55	9.2	9.20	1	1	1
Saturday										
<b>Grand Total</b>			39.9	3.35	2.75	46	46.00			5
<b>Monday-Friday</b>			39.9	3.35	2.75	46	46.00	1	2	5
<b>Saturday</b>			0	0	0	0	0.00	1	1	0

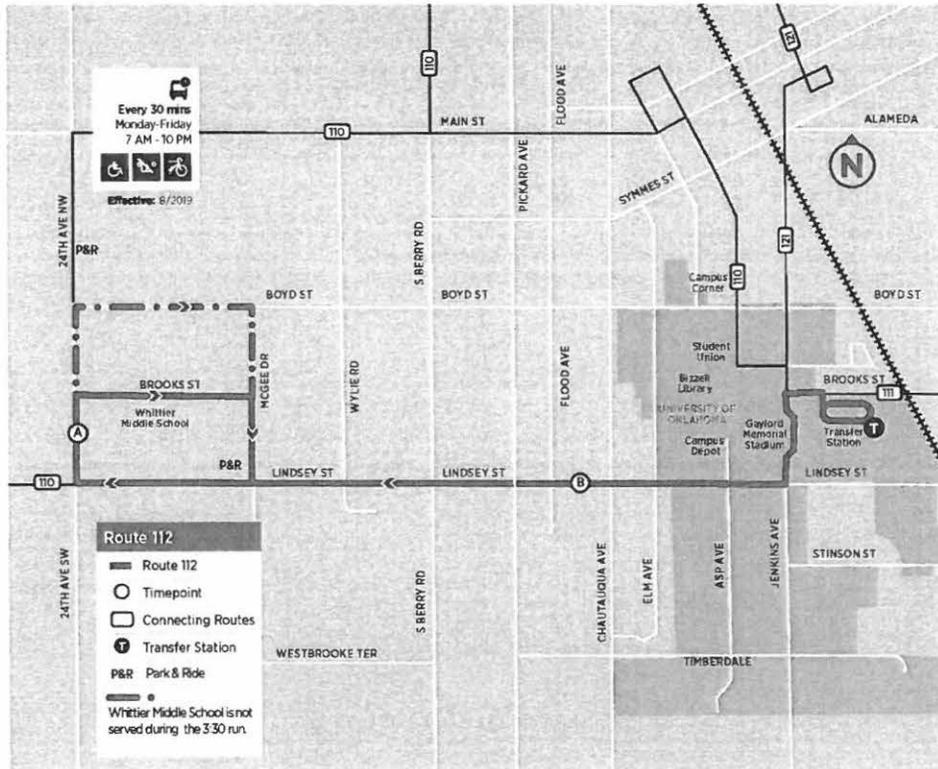
**EXHIBIT A-1**  
**Fiscal Year 2021**  
**Norman Transit Service Profile**

<b>Route 144 - Social Security Office</b>	<b>Frequency</b>	<b>Service Span (approximate)</b>	<b>Scheduled Vehicle Revenue Hours</b>	<b>Scheduled Vehicle Non- Revenue Hours</b>	<b>Scheduled Vehicle Recovery Hours</b>	<b>Daily Scheduled Service Hours</b>	<b>Annual Scheduled Service Hours</b>	<b>Buses Required</b>	<b>Operators Required</b>	<b>Service Days</b>
Sunday										
Monday										
Tuesday	2 trips	12:00 - 16:00	3	0.27	0	3.27	170.04	1	1	52
Wednesday										
Thursday										
Friday	2 trips	12:00 - 16:00	3	0.27	0	3.27	160.23	1	1	49
Saturday										
<b>Grand Total</b>			6	0.54	0	6.54	330.27			101
<b>Monday-Friday</b>			6	0.54	0	6.54	330.27	1	2	101
<b>Saturday</b>			0	0	0	0	0.00	1	1	0

<b>FY 21 Scheduled Annual Service Hours</b>						
<b>Fixed Route</b>			<b>Total</b>	<b>Paratransit</b>		
	<b>Weekday</b>	<b>Saturday</b>			<b>Weekday</b>	<b>Saturday</b>
110	3,840	417	<b>Fixed Route 19,890</b>	July	1,610	
111	3,876	423		<b>Paratransit 19,169</b>	August	1,470
112	3,871	436	<b>Cumulative 39,059</b>		September	1,540
120	2,088	-		October	1,540	116
121	3,866	421	November	1,400	92	
124	258	-	December	1,540	92	
144	330	-	January	1,400	116	
Total FR	18,129	1,697	February	1,400	92	
Saturday Gameday Tripper Bus		63	March	1,610	92	
		19,890	April	1,540	92	
			May	1,470	116	
			June	1,540	92	
				<b>18,060</b>	<b>1,109</b>	

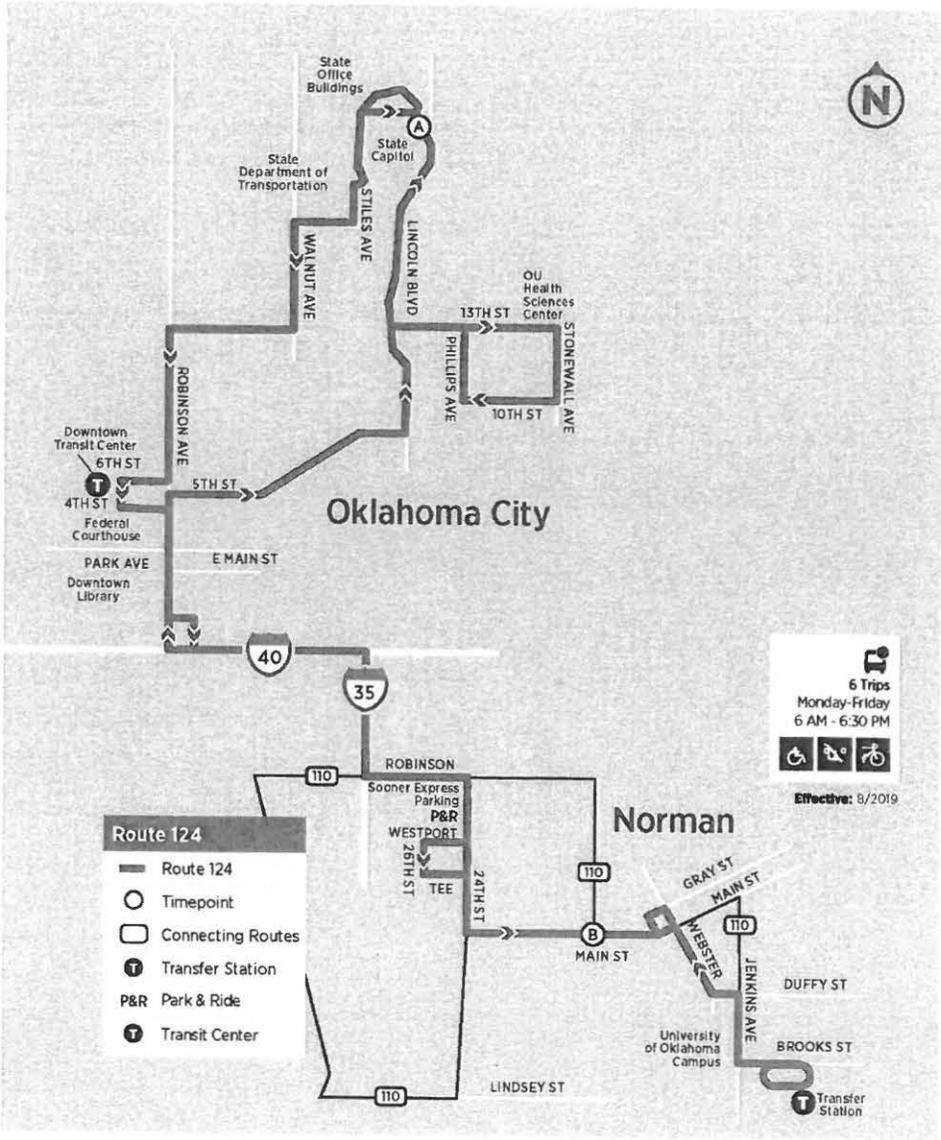


**EXHIBIT A-2**  
**Fiscal Year 2021**  
**Norman Transit Routes**

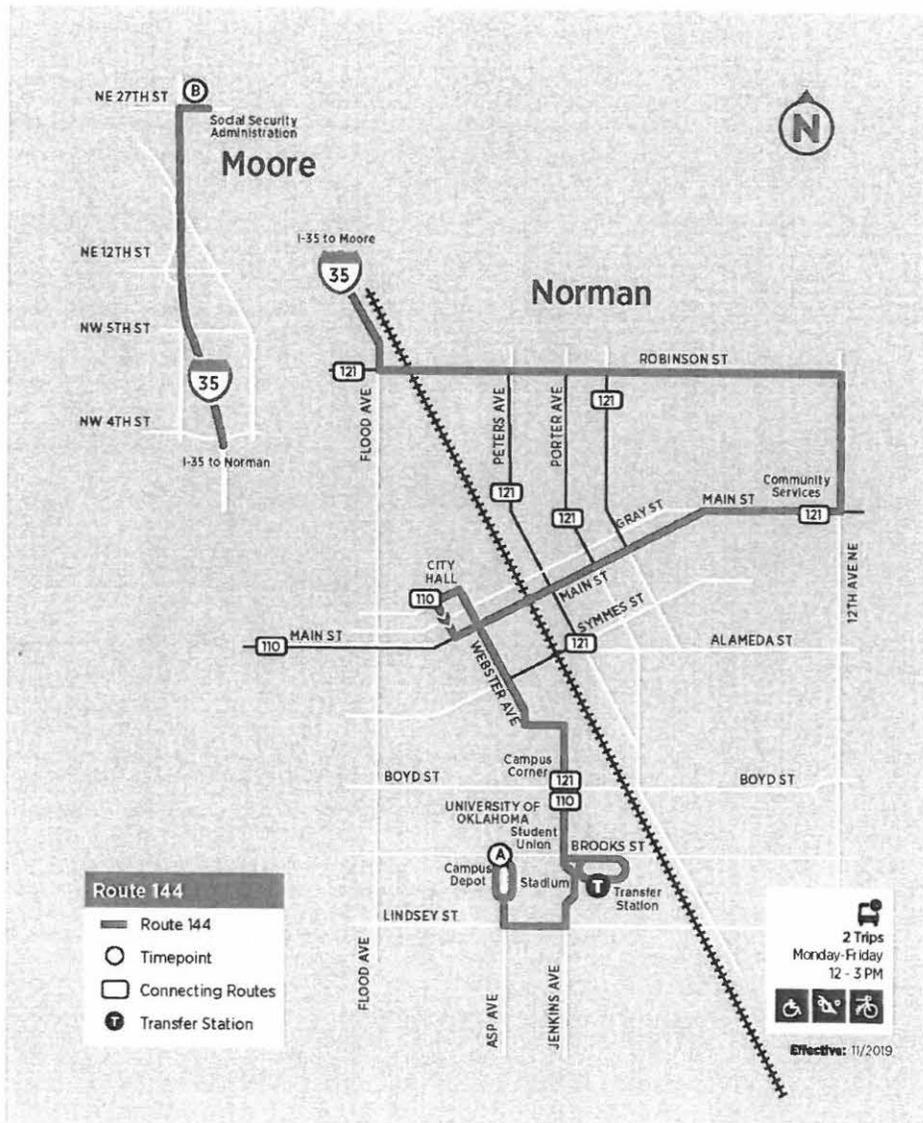




**EXHIBIT A-2**  
**Fiscal Year 2021**  
**Norman Transit Routes**



**EXHIBIT A-2**  
**Fiscal Year 2021**  
**Norman Transit Routes**



**EXHIBIT B**  
**Compensation**

**1. OPERATION OF TRANSIT SERVICES**

- a. **Norman** shall fully reimburse **EMBARK** for the reasonable and necessary costs of contracting for the delivery of Transit Services as detailed in **Exhibit A**.
- b. The total compensation for the operation of monthly Transit Services and up front public liability insurance premium during the term of this Agreement shall not exceed **\$2,878,074.00** without both Parties' prior written approval. **Norman** shall pay to **EMBARK** **\$42,000.00** upon receipt of an initial invoice for actual costs of the public liability insurance premium for coverage from July 1, 2020 – June 30, 2021. Should this insurance policy be cancelled during prior to June 30, 2021, **EMBARK** shall refund to **Norman** the amount of any refunded premium. The total compensation for the operation of monthly Transit Services shall not exceed **\$2,836,074.00** without both Parties' prior written approval. The estimated budgets for monthly Transit Services outlined in **Exhibit A** are as follows:

**Weekday Transit Services** **\$2,387,016.00**  
**11% Weekday Transit Services Administration Fee + \$ 262,572.00**

**Total Estimated Weekday Transit Services Budget \$2,649,588.00**

**Saturday Transit Services** **\$ 168,005.00**  
**11% Saturday Transit Services Administration Fee + \$ 18,481.00**

**Total Estimated Saturday Transit Services Budget \$ 186,486.00**

- c. **EMBARK** will invoice **Norman** monthly for the applicable Weekday, Saturday Transit Services costs incurred by delivering monthly Transit Services, including an 11% administrative fee for compensation to **EMBARK** for program management. Included in the Saturday services estimated budget are Advertising and Promotion costs for promotion and celebration of launching Saturday service and OU Game Day communications as well as Event Setup costs for moving the transfer station on OU game days to a temporary site needing some basic amenities, such as covered waiting areas, a health facility, and signage.
- d. **Norman** shall reimburse **EMBARK** the actual cost of deductibles or other out-of-pocket actual costs relating to payment of liability claims up to a maximum amount of **\$166,000.00** for incidents occurring from July 1, 2020, through June 30, 2021. Damage to **Norman**'s vehicles, equipment, or real or other property while under the care, custody, or operation of **EMBARK** and its employees or agents, if determined not to be the result of **Norman**'s or a third-party's negligence, shall be tracked and deducted from the total maximum **\$166,000.00** liability reimbursement costs amount identified in Section 5(A)(5), unless and until such amount is exhausted. All deductions must be agreed upon by both Parties. If any monies are remaining from the **\$166,000.00** total at the end of the contract term, those funds will be set aside and held in reserve by **Norman** until June 30, 2022. The **Parties** acknowledge and agree that in the normal course of business in operating a public transit service, minor damage, including, but not limited to, window, mirror, paint and rim damage, to the vehicles operating the service is a usual and customary expense and part of the day-

to-day cost of operation. Minor damages to **Norman's** property occurring as a result of normal daily public transit operations resulting in damage of up to **\$1,500.00** in any single occurrence shall be treated as a routine maintenance expense, and any corresponding repairs costs shall be born by Norman and not deducted from the **\$166,000.00** amount. If such damage costs to **Norman's** vehicles, equipment, or real or other property exceed **\$15,000.00**, then the parties will meet to discuss an incident prevention plan. **Norman** and **EMBARK** agree to develop and implement reporting procedures and a tracking system.

**2. ADDITIONAL COSTS**

- a.** **Norman's** City Manager or his designee is authorized to approve Additional Costs requests from **EMBARK** as needed up to a maximum not to exceed amount of **\$80,000.00**.
- b.** Approval of Additional Cost requests obligates **Norman** to reimburse **EMBARK** for actual expenses incurred up to the maximum not to exceed amount of **\$80,000.00**.
- c.** Parties agree that all expenses and costs may not be known at the approval of this Agreement. **EMBARK** will bring all cost requests to **Norman** in writing. Without Norman City Manager Approval, **EMBARK** may not authorize funds on behalf of **Norman**.
- d.** **Norman** and **EMBARK** have identified and agreed that Exhibit B-1 of additional costs are in the best interest of Norman, and the Transit Services **EMBARK** is tasked to deliver. **EMBARK** shall submit requests for items contained therein to **Norman** for approval.

**EXHIBIT B-1**

**Estimated Additional Costs**

<b>Demand Response AVL Equipment &amp; Licensing</b>	Hardware and software are necessary to deliver paratransit services, as described in Exhibit A. This will temporarily replace Routematch set to renew and or expire in September.	
Ranger Hardware		\$ 18,000.00
Installation		\$ 6,200.00
One-Time License Fee		\$ 27,000.00
Mobile Service		\$ 4,000.00
Data Plan		\$ 300.00
<b>Development</b>	Possible software migration assistance.	\$ 6,500.00
<b>Office Setup</b>	Unforeseen equipment and needs associated with moving to a new facility.	\$ 15,000.00

**Exhibit C**  
**FTA Terms and Conditions**

*Not every provision of every certification will apply to every applicant or award. If a provision of a certification does not apply to the applicant or its award, FTA will not enforce that provision. Refer to FTA's accompanying Instructions document for more information.*

*Text in italics is guidance to the public. It does not have the force and effect of law, and is not meant to bind the public in any way. It is intended only to provide clarity to the public regarding existing requirements under the law or agency policies.*

## **CATEGORY 1. CERTIFICATIONS AND ASSURANCES REQUIRED OF EVERY APPLICANT.**

*All applicants must make the certifications in this category.*

### **1.1. Standard Assurances.**

*The certifications in this subcategory appear as part of the applicant's registration or annual registration renewal in the System for Award Management (SAM.gov) and on the Office of Management and Budget's standard form 424B "Assurances—Non-Construction Programs". This certification has been modified in places to include analogous certifications required by U.S. DOT statutes or regulations.*

As the duly authorized representative of the applicant, you certify that the applicant:

- (a) Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
- (b) Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- (c) Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- (d) Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- (e) Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728–4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

- (f) Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to:
- (1) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin, as effectuated by U.S. DOT regulation 49 C.F.R. Part 21;
  - (2) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–1683, and 1685–1686), which prohibits discrimination on the basis of sex, as effectuated by U.S. DOT regulation 49 C.F.R. Part 25;
  - (3) Section 5332 of the Federal Transit Law (49 U.S.C. § 5332), which prohibits any person being excluded from participating in, denied a benefit of, or discriminated against under, a project, program, or activity receiving financial assistance from FTA because of race, color, religion, national origin, sex, disability, or age.
  - (4) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps, as effectuated by U.S. DOT regulation 49 C.F.R. Part 27;
  - (5) The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101–6107), which prohibits discrimination on the basis of age;
  - (6) The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse;
  - (7) The comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91–616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
  - (8) Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records;
  - (9) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental, or financing of housing;
  - (10) Any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and,
  - (11) the requirements of any other nondiscrimination statute(s) which may apply to the application.
- (g) Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (“Uniform Act”) (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases. The requirements of the Uniform Act are effectuated by U.S. DOT regulation 49 C.F.R. Part 24.

- (h) Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§ 1501–1508 and 7324–7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
- (i) Will comply, as applicable, with the provisions of the Davis–Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327–333), regarding labor standards for federally assisted construction subagreements.
- (j) Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
- (k) Will comply with environmental standards which may be prescribed pursuant to the following:
  - (1) Institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514;
  - (2) Notification of violating facilities pursuant to EO 11738;
  - (3) Protection of wetlands pursuant to EO 11990;
  - (4) Evaluation of flood hazards in floodplains in accordance with EO 11988;
  - (5) Assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.);
  - (6) Conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§ 7401 et seq.);
  - (7) Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and
  - (8) Protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93–205).
- (l) Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- (m) Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§ 469a-1 et seq.).
- (n) Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
- (o) Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§ 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded

animals held for research, teaching, or other activities supported by this award of assistance.

- (p) Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
- (q) Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and 2 C.F.R. Part 200, Subpart F, "Audit Requirements", as adopted and implemented by U.S. DOT at 2 C.F.R. Part 1201.
- (r) Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing the program under which it is applying for assistance.
- (s) Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. § 7104) which prohibits grant award recipients or a sub-recipient from:
  - (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect;
  - (2) Procuring a commercial sex act during the period of time that the award is in effect; or
  - (3) Using forced labor in the performance of the award or subawards under the award.

## **1.2. Standard Assurances: Additional Assurances for Construction Projects.**

*This certification appears on the Office of Management and Budget's standard form 424D "Assurances—Construction Programs" and applies specifically to federally assisted projects for construction. This certification has been modified in places to include analogous certifications required by U.S. DOT statutes or regulations.*

As the duly authorized representative of the applicant, you certify that the applicant:

- (a) Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency; will record the Federal awarding agency directives; and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project.
- (b) Will comply with the requirements of the assistance awarding agency with regard to the drafting, review, and approval of construction plans and specifications.
- (c) Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work confirms with the approved plans and specifications, and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.

**1.3. Procurement.**

*The Uniform Administrative Requirements, 2 C.F.R. 200.324, allow a recipient to self-certify that its procurement system complies with Federal requirements, in lieu of submitting to certain pre-procurement reviews.*

The applicant certifies that its procurement system complies with:

- (a) U.S. DOT regulations, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 C.F.R. Part 1201, which incorporates by reference U.S. OMB regulatory guidance, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 C.F.R. Part 200, particularly 2 C.F.R. §§ 200.317–200.326 “Procurement Standards;”
- (b) Federal laws, regulations, and requirements applicable to FTA procurements; and
- (c) The latest edition of FTA Circular 4220.1 and other applicable Federal guidance.

**1.4. Suspension and Debarment.**

*Pursuant to Executive Order 12549, as implemented at 2 C.F.R. Parts 180 and 1200, prior to entering into a covered transaction with an applicant, FTA must determine whether the applicant is excluded from participating in covered non-procurement transactions. For this purpose, FTA is authorized to collect a certification from each applicant regarding the applicant’s exclusion status. 2 C.F.R. § 180.300. Additionally, each applicant must disclose any information required by 2 C.F.R. § 180.335 about the applicant and the applicant’s principals prior to entering into an award agreement with FTA. This certification serves both purposes.*

The applicant certifies, to the best of its knowledge and belief, that the applicant and each of its principals:

- (a) Is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily or involuntarily excluded from covered transactions by any Federal department or agency;
- (b) Has not, within the preceding three years, been convicted of or had a civil judgment rendered against him or her for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; violation of Federal or State antitrust statutes, including those proscribing price fixing between competitors, allocation of customers between competitors, and bid rigging; commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or commission of any other offense indicating a lack of business integrity or business honesty;

- (c) Is not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any offense described in paragraph (b) of this certification;
- (d) Has not, within the preceding three years, had one or more public transactions (Federal, State, or local) terminated for cause or default.

**1.5. Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment.**

The applicant certifies that, consistent with Section 889 of the John S. McCain National Defense Authorization Act for Fiscal Year 2019, Pub. L. 115-232 (Aug. 13, 2018), beginning on and after August 13, 2020, it will not use assistance awarded by FTA to procure or obtain, extend or renew a contract to procure or obtain, or enter into a contract (or extend or renew a contract) to procure or obtain “covered telecommunications equipment or services” (as that term is defined in Section 889 of the Act) if such equipment or services will be used as a substantial or essential component of any system or as critical technology as part of any system.

**CATEGORY 2. PUBLIC TRANSPORTATION AGENCY SAFETY PLANS**

*Beginning on July 20, 2020, this certification is required of each applicant under the Urbanized Area Formula Grants Program (49 U.S.C. § 5307), each rail operator that is subject to FTA’s state safety oversight programs, and each State that is required to draft and certify a public transportation agency safety plan on behalf of a small public transportation provider pursuant to 49 C.F.R. § 673.11(d). This certification is required by 49 C.F.R. § 673.13.*

*This certification does not apply to any applicant that receives financial assistance from FTA exclusively under the Formula Grants for the Enhanced Mobility of Seniors Program (49 U.S.C. § 5310), the Formula Grants for Rural Areas Program (49 U.S.C. § 5311), or combination of these two programs.*

*An applicant may make this certification only after fulfilling its safety planning requirements under 49 C.F.R. Part 673. If an applicant is making its fiscal year 2020 certifications prior to completing its requirements under 49 C.F.R. Part 673, it will make all other applicable certifications except this certification; the applicant may add this certification after it has fulfilled its requirements under 49 C.F.R. Part 673. FTA’s regional offices and headquarters Office of Transit Safety and Oversight will provide support for incorporating this certification in 2020.*

*On and after July 20, 2020, FTA will not process an application from an applicant required to make this certification unless the applicant has made this certification.*

If the applicant is an operator, the applicant certifies that it has established a public transportation agency safety plan meeting the requirements of 49 C.F.R. Part 673.

If the applicant is a State, the applicant certifies that:

- (a) It has drafted a public transportation agency safety plan for each small public transportation provider within the State, unless the small public transportation provider provided notification to the State that it was opting-out of the State-drafted plan and drafting its own public transportation agency safety plan; and
- (b) Each small public transportation provider within the state has a public transportation agency safety plan that has been approved by the provider's Accountable Executive (as that term is defined at 49 C.F.R. § 673.5) and Board of Directors or Equivalent Authority (as that term is defined at 49 C.F.R. § 673.5).

### **CATEGORY 3. TAX LIABILITY AND FELONY CONVICTIONS.**

*If the applicant is a business association (regardless of for-profit, not for-profit, or tax exempt status), it must make this certification. Federal appropriations acts since at least 2014 have prohibited FTA from using funds to enter into an agreement with any corporation that has unpaid Federal tax liabilities or recent felony convictions without first considering the corporation for debarment. E.g., Consolidated Appropriations Act, 2020, Pub. L. 116-93, div. C, title VII, §§ 744–745. U.S. DOT Order 4200.6 defines a “corporation” as “any private corporation, partnership, trust, joint-stock company, sole proprietorship, or other business association”, and applies the restriction to all tiers of subawards. As prescribed by U.S. DOT Order 4200.6, FTA requires each business association applicant to certify as to its tax and felony status.*

If the applicant is a private corporation, partnership, trust, joint-stock company, sole proprietorship, or other business association, the applicant certifies that:

- (a) It has no unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and
- (b) It has not been convicted of a felony criminal violation under any Federal law within the preceding 24 months.

### **CATEGORY 4. LOBBYING.**

*If the applicant will apply for a grant or cooperative agreement exceeding \$100,000, or a loan, line of credit, loan guarantee, or loan insurance exceeding \$150,000, it must make the following*

*certification and, if applicable, make a disclosure regarding the applicant's lobbying activities. This certification is required by 49 C.F.R. § 20.110 and app. A to that part.*

*This certification does not apply to an applicant that is an Indian Tribe, Indian organization, or an Indian tribal organization exempt from the requirements of 49 C.F.R. Part 20.*

#### **4.1. Certification for Contracts, Grants, Loans, and Cooperative Agreements.**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### **4.2. Statement for Loan Guarantees and Loan Insurance.**

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and

submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### **CATEGORY 5. PRIVATE SECTOR PROTECTIONS.**

*If the applicant will apply for funds that it will use to acquire or operate public transportation facilities or equipment, the applicant must make the following certification regarding protections for the private sector.*

#### **5.1. Charter Service Agreement.**

*To enforce the provisions of 49 U.S.C. § 5323(d), FTA's charter service regulation requires each applicant seeking assistance from FTA for the purpose of acquiring or operating any public transportation equipment or facilities to make the following Charter Service Agreement. 49 C.F.R. § 604.4.*

The applicant agrees that it, and each of its subrecipients, and third party contractors at any level who use FTA-funded vehicles, may provide charter service using equipment or facilities acquired with Federal assistance authorized under the Federal Transit Laws only in compliance with the regulations set out in 49 C.F.R. Part 604, the terms and conditions of which are incorporated herein by reference.

#### **5.2. School Bus Agreement.**

*To enforce the provisions of 49 U.S.C. § 5323(f), FTA's school bus regulation requires each applicant seeking assistance from FTA for the purpose of acquiring or operating any public transportation equipment or facilities to make the following agreement regarding the provision of school bus services. 49 C.F.R. § 605.15.*

- (a) If the applicant is not authorized by the FTA Administrator under 49 C.F.R. § 605.11 to engage in school bus operations, the applicant agrees and certifies as follows:
- (1) The applicant and any operator of project equipment agrees that it will not engage in school bus operations in competition with private school bus operators.
  - (2) The applicant agrees that it will not engage in any practice which constitutes a means of avoiding the requirements of this agreement, part 605 of the Federal Mass Transit Regulations, or section 164(b) of the Federal-Aid Highway Act of 1973 (49 U.S.C. 1602a(b)).

- (b) If the applicant is authorized or obtains authorization from the FTA Administrator to engage in school bus operations under 49 C.F.R. § 605.11, the applicant agrees as follows:
- (1) The applicant agrees that neither it nor any operator of project equipment will engage in school bus operations in competition with private school bus operators except as provided herein.
  - (2) The applicant, or any operator of project equipment, agrees to promptly notify the FTA Administrator of any changes in its operations which might jeopardize the continuation of an exemption under § 605.11.
  - (3) The applicant agrees that it will not engage in any practice which constitutes a means of avoiding the requirements of this agreement, part 605 of the Federal Transit Administration regulations or section 164(b) of the Federal-Aid Highway Act of 1973 (49 U.S.C. 1602a(b)).
  - (4) The applicant agrees that the project facilities and equipment shall be used for the provision of mass transportation services within its urban area and that any other use of project facilities and equipment will be incidental to and shall not interfere with the use of such facilities and equipment in mass transportation service to the public.

#### **CATEGORY 6. TRANSIT ASSET MANAGEMENT PLAN.**

*If the applicant owns, operates, or manages capital assets used to provide public transportation, the following certification is required by 49 U.S.C. § 5326(a).*

The applicant certifies that it is in compliance with 49 C.F.R. Part 625.

#### **CATEGORY 7. ROLLING STOCK BUY AMERICA REVIEWS AND BUS TESTING.**

##### **7.1. Rolling Stock Buy America Reviews.**

*If the applicant will apply for an award to acquire rolling stock for use in revenue service, it must make this certification. This certification is required by 49 C.F.R. § 663.7.*

The applicant certifies that it will conduct or cause to be conducted the pre-award and post-delivery audits prescribed by 49 C.F.R. Part 663 and will maintain on file the certifications required by Subparts B, C, and D of 49 C.F.R. Part 663.

##### **7.2. Bus Testing.**

*If the applicant will apply for funds for the purchase or lease of any new bus model, or any bus model with a major change in configuration or components, the applicant must make this certification. This certification is required by 49 C.F.R. § 665.7.*

The applicant certifies that the bus was tested at the Bus Testing Facility and that the bus received a passing test score as required by 49 C.F.R. Part 665. The applicant has received or will receive the appropriate full Bus Testing Report and any applicable partial testing reports before final acceptance of the first vehicle.

#### **CATEGORY 8. URBANIZED AREA FORMULA GRANTS PROGRAM.**

*If the applicant will apply for an award under the Urbanized Area Formula Grants Program (49 U.S.C. § 5307), or any other program or award that is subject to the requirements of 49 U.S.C. § 5307, including the Formula Grants for the Enhanced Mobility of Seniors Program (49 U.S.C. § 5310); "flex funds" from infrastructure programs administered by the Federal Highways Administration (see 49 U.S.C. § 5334(i)); projects that will receive an award authorized by the Transportation Infrastructure Finance and Innovation Act ("TIFIA") (23 U.S.C. §§ 601–609) or State Infrastructure Bank Program (23 U.S.C. § 610) (see 49 U.S.C. § 5323(o)); formula awards or competitive awards to urbanized areas under the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339(a) and (b)); or low or no emission awards to any area under the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339(c)), the applicant must make the following certification. This certification is required by 49 U.S.C. § 5307(c)(1).*

The applicant certifies that it:

- (a) Has or will have the legal, financial, and technical capacity to carry out the program of projects (developed pursuant 49 U.S.C. § 5307(b)), including safety and security aspects of the program;
- (b) Has or will have satisfactory continuing control over the use of equipment and facilities;
- (c) Will maintain equipment and facilities in accordance with the applicant's transit asset management plan;
- (d) Will ensure that, during non-peak hours for transportation using or involving a facility or equipment of a project financed under this section, a fare that is not more than 50 percent of the peak hour fare will be charged for any—
  - (1) Senior;
  - (2) Individual who, because of illness, injury, age, congenital malfunction, or any 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; and
  - (3) Individual presenting a Medicare card issued to that individual under title II or XVIII of the Social Security Act (42 U.S.C. §§ 401 et seq., and 1395 et seq.);
- (e) In carrying out a procurement under 49 U.S.C. § 5307, will comply with 49 U.S.C. §§ 5323 (general provisions) and 5325 (contract requirements);

- (f) Has complied with 49 U.S.C. § 5307(b) (program of projects requirements);
- (g) Has available and will provide the required amounts as provided by 49 U.S.C. § 5307(d) (cost sharing);
- (h) Will comply with 49 U.S.C. §§ 5303 (metropolitan transportation planning) and 5304 (statewide and nonmetropolitan transportation planning);
- (i) Has a locally developed process to solicit and consider public comment before raising a fare or carrying out a major reduction of transportation;
- (j) Either—
  - (1) Will expend for each fiscal year for public transportation security projects, including increased lighting in or adjacent to a public transportation system (including bus stops, subway stations, parking lots, and garages), increased camera surveillance of an area in or adjacent to that system, providing an emergency telephone line to contact law enforcement or security personnel in an area in or adjacent to that system, and any other project intended to increase the security and safety of an existing or planned public transportation system, at least 1 percent of the amount the recipient receives for each fiscal year under 49 U.S.C. § 5336; or
  - (2) Has decided that the expenditure for security projects is not necessary;
- (k) In the case of an applicant for an urbanized area with a population of not fewer than 200,000 individuals, as determined by the Bureau of the Census, will submit an annual report listing projects carried out in the preceding fiscal year under 49 U.S.C. § 5307 for associated transit improvements as defined in 49 U.S.C. § 5302; and
- (l) Will comply with 49 U.S.C. § 5329(d) (public transportation agency safety plan).

#### **CATEGORY 9. FORMULA GRANTS FOR RURAL AREAS.**

*If the applicant will apply for funds made available to it under the Formula Grants for Rural Areas Program (49 U.S.C. § 5311), it must make this certification. Paragraph (a) of this certification helps FTA make the determinations required by 49 U.S.C. § 5310(b)(2)(C). Paragraph (b) of this certification is required by 49 U.S.C. § 5311(f)(2). Paragraph (c) of this certification, which applies to funds apportioned for the Appalachian Development Public Transportation Assistance Program, is necessary to enforce the conditions of 49 U.S.C. § 5311(c)(2)(D).*

- (a) The applicant certifies that its State program for public transportation service projects, including agreements with private providers for public transportation service—
  - (1) Provides a fair distribution of amounts in the State, including Indian reservations; and
  - (2) Provides the maximum feasible coordination of public transportation service assisted under 49 U.S.C. § 5311 with transportation service assisted by other Federal sources; and

- (b) If the applicant will in any fiscal year expend less than 15% of the total amount made available to it under 49 U.S.C. § 5311 to carry out a program to develop and support intercity bus transportation, the applicant certifies that it has consulted with affected intercity bus service providers, and the intercity bus service needs of the State are being met adequately.
- (c) If the applicant will use for a highway project amounts that cannot be used for operating expenses authorized under 49 U.S.C. § 5311(c)(2) (Appalachian Development Public Transportation Assistance Program), the applicant certifies that—
  - (1) It has approved the use in writing only after providing appropriate notice and an opportunity for comment and appeal to affected public transportation providers; and
  - (2) It has determined that otherwise eligible local transit needs are being addressed.

**CATEGORY 10. FIXED GUIDEWAY CAPITAL INVESTMENT GRANTS AND THE EXPEDITED PROJECT DELIVERY FOR CAPITAL INVESTMENT GRANTS PILOT PROGRAM.**

*If the applicant will apply for an award under any subsection of the Fixed Guideway Capital Investment Program (49 U.S.C. § 5309), including an award made pursuant to the FAST Act's Expedited Project Delivery for Capital Investment Grants Pilot Program (Pub. L. 114-94, div. A, title III, § 3005(b)), the applicant must make the following certification. This certification is required by 49 U.S.C. § 5309(c)(2) and Pub. L. 114-94, div. A, title III, § 3005(b)(3)(B).*

The applicant certifies that it:

- (a) Has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award,
- (b) Has or will have satisfactory continuing control over the use of equipment and facilities acquired or improved under its Award.
- (c) Will maintain equipment and facilities acquired or improved under its Award in accordance with its transit asset management plan; and
- (d) Will comply with 49 U.S.C. §§ 5303 (metropolitan transportation planning) and 5304 (statewide and nonmetropolitan transportation planning).

**CATEGORY 11. GRANTS FOR BUSES AND BUS FACILITIES AND LOW OR NO EMISSION VEHICLE DEPLOYMENT GRANT PROGRAMS.**

*If the applicant is in an urbanized area and will apply for an award under subsection (a) (formula grants) or subsection (b) (competitive grants) of the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339), the applicant must make the certification in Category 7 for Urbanized Area Formula Grants (49 U.S.C. § 5307). This certification is required by 49 U.S.C. § 5339(a)(3) and (b)(6), respectively.*

*If the applicant is in a rural area and will apply for an award under subsection (a) (formula grants) or subsection (b) (competitive grants) of the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339), the applicant must make the certification in Category 8 for Formula Grants for Rural Areas (49 U.S.C. § 5311). This certification is required by 49 U.S.C. § 5339(a)(3) and (b)(6), respectively.*

*If the applicant, regardless of whether it is in an urbanized or rural area, will apply for an award under subsection (c) (low or no emission vehicle grants) of the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339), the applicant must make the certification in Category 7 for Urbanized Area Formula Grants (49 U.S.C. § 5307). This certification is required by 49 U.S.C. § 5339(c)(3).*

*Making this certification will incorporate by reference the applicable certifications in Category 7 or Category 8.*

#### **CATEGORY 12. ENHANCED MOBILITY OF SENIORS AND INDIVIDUALS WITH DISABILITIES PROGRAMS.**

*If the applicant will apply for an award under the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program (49 U.S.C. § 5310), it must make the certification in Category 7 for Urbanized Area Formula Grants (49 U.S.C. § 5307). This certification is required by 49 U.S.C. § 5310(e)(1). Making this certification will incorporate by reference the certification in Category 7, except that FTA has determined that (d), (f), (i), (j), and (k) of Category 7 do not apply to awards made under 49 U.S.C. § 5310 and will not be enforced.*

*In addition to the certification in Category 7, the applicant must make the following certification that is specific to the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program. This certification is required by 49 U.S.C. § 5310(e)(2).*

The applicant certifies that:

- (a) The projects selected by the applicant are included in a locally developed, coordinated public transit-human services transportation plan;
- (b) The plan described in clause (a) was developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and nonprofit transportation and human services providers, and other members of the public;
- (c) To the maximum extent feasible, the services funded under 49 U.S.C. § 5310 will be coordinated with transportation services assisted by other Federal departments and agencies, including any transportation activities carried out by a recipient of a grant from the Department of Health and Human Services; and

- (d) If the applicant will allocate funds received under 49 U.S.C. § 5310 to subrecipients, it will do so on a fair and equitable basis.

#### **CATEGORY 13. STATE OF GOOD REPAIR GRANTS.**

*If the applicant will apply for an award under FTA's State of Good Repair Grants Program (49 U.S.C. § 5337), it must make the following certification. Because FTA generally does not review the transit asset management plans of public transportation providers, this certification is necessary to enforce the provisions of 49 U.S.C. § 5337(a)(4).*

The applicant certifies that the projects it will carry out using assistance authorized by the State of Good Repair Grants Program, 49 U.S.C. § 5337, are aligned with the applicant's most recent transit asset management plan and are identified in the investment and prioritization section of such plan, consistent with the requirements of 49 C.F.R. Part 625.

#### **CATEGORY 14. INFRASTRUCTURE FINANCE PROGRAMS.**

*If the applicant will apply for an award for a project that will include assistance under the Transportation Infrastructure Finance and Innovation Act ("TIFIA") Program (23 U.S.C. §§ 601–609) or the State Infrastructure Banks ("SIB") Program (23 U.S.C. § 610), it must make the certifications in Category 7 for the Urbanized Area Formula Grants Program, Category 9 for the Fixed Guideway Capital Investment Grants program, and Category 12 for the State of Good Repair Grants program. These certifications are required by 49 U.S.C. § 5323(o).*

*Making this certification will incorporate the certifications in Categories 7, 9, and 12 by reference.*

#### **CATEGORY 15. ALCOHOL AND CONTROLLED SUBSTANCES TESTING.**

*If the applicant will apply for an award under FTA's Urbanized Area Formula Grants Program (49 U.S.C. § 5307), Fixed Guideway Capital Investment Program (49 U.S.C. § 5309), Formula Grants for Rural Areas Program (49 U.S.C. § 5311), or Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339) programs, the applicant must make the following certification. The applicant must make this certification on its own behalf and on behalf of its subrecipients and contractors. This certification is required by 49 C.F.R. § 655.83.*

The applicant certifies that it, its subrecipients, and its contractors are compliant with FTA's regulation for the Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations, 49 C.F.R. Part 655.

### **CATEGORY 16. RAIL SAFETY TRAINING AND OVERSIGHT.**

*If the applicant is a State with at least one rail fixed guideway system, or is a State Safety Oversight Agency, or operates a rail fixed guideway system, it must make the following certification. The elements of this certification are required by 49 C.F.R. §§ 659.43, 672.31, and 674.39.*

The applicant certifies that the rail fixed guideway public transportation system and the State Safety Oversight Agency for the State are:

- (a) Compliant with the requirements of 49 C.F.R. part 659, "Rail Fixed Guideway Systems; State Safety Oversight";
- (b) Compliant with the requirements of 49 C.F.R. part 672, "Public Transportation Safety Certification Training Program"; and
- (c) Compliant with the requirements of 49 C.F.R. part 674, "State Safety Oversight".

### **CATEGORY 17. DEMAND RESPONSIVE SERVICE.**

*If the applicant operates demand responsive service and will apply for an award to purchase a non-rail vehicle that is not accessible within the meaning of 49 C.F.R. Part 37, it must make the following certification. This certification is required by 49 C.F.R. § 37.77.*

The applicant certifies that the service it provides to individuals with disabilities is equivalent to that provided to other persons. A demand responsive system, when viewed in its entirety, is deemed to provide equivalent service if the service available to individuals with disabilities, including individuals who use wheelchairs, is provided in the most integrated setting appropriate to the needs of the individual and is equivalent to the service provided other individuals with respect to the following service characteristics:

- (a) Response time;
- (b) Fares;
- (c) Geographic area of service;
- (d) Hours and days of service;
- (e) Restrictions or priorities based on trip purpose;
- (f) Availability of information and reservation capability; and
- (g) Any constraints on capacity or service availability.

### **CATEGORY 18. INTEREST AND FINANCING COSTS.**

*If the applicant will pay for interest or other financing costs of a project using assistance awarded under the Urbanized Area Formula Grants Program (49 U.S.C. § 5307), the Fixed Guideway Capital Investment Grants Program (49 U.S.C. § 5309), or any program that must comply with the requirements of 49 U.S.C. § 5307, including the Formula Grants for the*

*Enhanced Mobility of Seniors Program (49 U.S.C. § 5310), “flex funds” from infrastructure programs administered by the Federal Highways Administration (see 49 U.S.C. § 5334(i)), or awards to urbanized areas under the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339), the applicant must make the following certification. This certification is required by 49 U.S.C. §§ 5307(e)(3) and 5309(k)(2)(D).*

The applicant certifies that:

- (a) Its application includes the cost of interest earned and payable on bonds issued by the applicant only to the extent proceeds of the bonds were or will be expended in carrying out the project identified in its application; and
- (b) The applicant has shown or will show reasonable diligence in seeking the most favorable financing terms available to the project at the time of borrowing.

#### **CATEGORY 19. CONSTRUCTION HIRING PREFERENCES.**

*If the applicant will ask FTA to approve the use of geographic, economic, or any other hiring preference not otherwise authorized by law on any contract or construction project to be assisted with an award from FTA, it must make the following certification. This certification is required by the Further Consolidated Appropriations Act, 2020, Pub. L. 116-94, div. H, title I, § 191.*

The applicant certifies the following:

- (a) That except with respect to apprentices or trainees, a pool of readily available but unemployed individuals possessing the knowledge, skill, and ability to perform the work that the contract requires resides in the jurisdiction;
- (b) That the grant recipient will include appropriate provisions in its bid document ensuring that the contractor does not displace any of its existing employees in order to satisfy such hiring preference; and
- (c) That any increase in the cost of labor, training, or delays resulting from the use of such hiring preference does not delay or displace any transportation project in the applicable Statewide Transportation Improvement Program or Transportation Improvement Program.

#### **CATEGORY 20. CYBERSECURITY CERTIFICATION FOR RAIL ROLLING STOCK AND OPERATIONS.**

*If the applicant operates a rail fixed guideway public transportation system, it must make this certification. This certification is required by 49 U.S.C. § 5323(v), a new subsection added by the National Defense Authorization Act for Fiscal Year 2020, Pub. L. 116-92, § 7613 (Dec. 20, 2019). For information about standards or practices that may apply to a rail fixed guideway*

*public transportation system, visit <https://www.nist.gov/cyberframework> and <https://www.cisa.gov/>.*

The applicant certifies that it has established a process to develop, maintain, and execute a written plan for identifying and reducing cybersecurity risks that complies with the requirements of 49 U.S.C. § 5323(v)(2).

**FEDERAL FISCAL YEAR 2020 CERTIFICATIONS AND ASSURANCES FOR FTA ASSISTANCE PROGRAMS**

(Signature pages alternate to providing Certifications and Assurances in TrAMS.)

Name of Applicant: \_\_\_\_\_

The Applicant certifies to the applicable provisions of categories 01-20. \_\_\_\_\_

*Or,*

The Applicant certifies to the applicable provisions of the categories it has selected:

<b>Category</b>	<b>Certification</b>
01 Certifications and Assurances Required of Every Applicant	_____
02 Public Transportation Agency Safety Plans	_____
03 Tax Liability and Felony Convictions	_____
04 Lobbying	_____
05 Private Sector Protections	_____
06 Transit Asset Management Plan	_____
07 Rolling Stock Buy America Reviews and Bus Testing	_____
08 Urbanized Area Formula Grants Program	_____
09 Formula Grants for Rural Areas	_____
10 Fixed Guideway Capital Investment Grants and the Expedited Project Delivery for Capital Investment Grants Pilot Program	_____
11 Grants for Buses and Bus Facilities and Low or No Emission Vehicle Deployment Grant Programs	_____

Certifications and Assurances

Fiscal Year 2020

12 Enhanced Mobility of Seniors and Individuals with Disabilities Programs

\_\_\_\_\_

13 State of Good Repair Grants

\_\_\_\_\_

14 Infrastructure Finance Programs

\_\_\_\_\_

15 Alcohol and Controlled Substances Testing

\_\_\_\_\_

16 Rail Safety Training and Oversight

\_\_\_\_\_

17 Demand Responsive Service

\_\_\_\_\_

18 Interest and Financing Costs

\_\_\_\_\_

19 Construction Hiring Preferences

\_\_\_\_\_

20 Cybersecurity Certification for Rail Rolling Stock and Operations

\_\_\_\_\_

\_\_\_\_\_

**FEDERAL FISCAL YEAR 2020 FTA CERTIFICATIONS AND ASSURANCES SIGNATURE**

**PAGE**

(Required of all Applicants for federal assistance to be awarded by FTA in FY 2020)

**AFFIRMATION OF APPLICANT**

Name of the Applicant: \_\_\_\_\_

BY SIGNING BELOW, on behalf of the Applicant, I declare that it has duly authorized me to make these Certifications and Assurances and bind its compliance. Thus, it agrees to comply with all federal laws, regulations, and requirements, follow applicable federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative makes to the Federal Transit Administration (FTA) in federal fiscal year 2020, irrespective of whether the individual that acted on his or her Applicant's behalf continues to represent it.

FTA intends that the Certifications and Assurances the Applicant selects on the other side of this document should apply to each Award for which it now seeks, or may later seek federal assistance to be awarded during federal fiscal year 2020.

The Applicant affirms the truthfulness and accuracy of the Certifications and Assurances it has selected in the statements submitted with this document and any other submission made to FTA, and acknowledges that the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. § 3801 *et seq.*, and implementing U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 31, apply to any certification, assurance or submission made to FTA. The criminal provisions of 18 U.S.C. § 1001 apply to any certification, assurance, or submission made in connection with a federal public transportation program authorized by 49 U.S.C. chapter 53 or any other statute

In signing this document, I declare under penalties of perjury that the foregoing Certifications and Assurances, and any other statements made by me on behalf of the Applicant are true and accurate.

Signature \_\_\_\_\_ Date: \_\_\_\_\_

Name \_\_\_\_\_ Authorized Representative of Applicant

AFFIRMATION OF APPLICANT'S ATTORNEY

For (Name of Applicant): \_\_\_\_\_

As the undersigned Attorney for the above-named Applicant, I hereby affirm to the Applicant that it has authority under state, local, or tribal government law, as applicable, to make and comply with the Certifications and Assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the Certifications and Assurances have been legally made and constitute legal and binding obligations on it.

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these Certifications and Assurances, or of the performance of its FTA assisted Award.

Signature \_\_\_\_\_ Date: \_\_\_\_\_

Name \_\_\_\_\_ Attorney for Applicant

*Each Applicant for federal assistance to be awarded by FTA must provide an Affirmation of Applicant's Attorney pertaining to the Applicant's legal capacity. The Applicant may enter its electronic signature in lieu of the Attorney's signature within TrAMS, provided the Applicant has on file and uploaded to TrAMS this hard-copy Affirmation, signed by the attorney and dated this federal fiscal year.*

**Exhibit D**  
**Norman Transit Fleet Description and Inventory**

## EQUIPMENT MASTER LIST

City of Norman Fleet Management  
3114.rp

PAGE: 1  
DATE: 06/11/2020 11:31

This report displays meter information for the fuel meter only.

EQUIPMENT	EQ DESCRIPTION	SERIAL NUMBER	LICENSE	EMPLOYEE	DEPT	CLASS	TYP E	METER	ACQ
								READING	DATE
5-0314	2003 New Flyer D40LF	5FYD2LN193U025071	CI39316		27550276	TRANS	M	445,305	01/01/2003
5-0319	2003 New Flyer D40LF	5FYD2LN193U025068	CI39315		27550276	TRANS	M	80,551	01/01/2003
5-0703	2007 Gillig G29E102R2	15GGE291571091335	CI38949		27550276	TRANS	M	773,414	04/23/2007
5-0704	2007 Gillig MB	15GGE291771091336	CI38948		27550276	TRANS	M	909,425	04/25/2007
5-0705	2007 Gillig MB	15GGE291971091340	CI38950		27550276	TRANS	M	166,386	04/25/2007
5-0864	2008 Ford/Glaval E450	1FDXE45PX8DB59346	CI33198		27550276	TRANS	M	193,044	12/23/2008
5-0930	2009 Chevy/Glaval C4500/Titan	1GBE4V1G09F413215	CI38951		27550276	TRANS	M	253,343	10/21/2010
5-0931	2009 Chevy/Glaval C4500/Titan	1GBE4V1G79F413258	CI38952		27550276	TRANS	M	233,624	11/23/2010
5-0932	2009 Chevy/Glaval C4500/Titan	1GBE4V1G49F413167	CI39314		27550276	TRANS	M	225,280	11/30/2010
5-0967	2009 Chevy/Glaval C4500/Titan	1GBE4V1G79F413311	CI33197		27550276	TRANS	M	165,139	01/07/2011
5-0968	2009 Chevy/Glaval C4500/Titan	1GBE4V1G39F413306	CI39313		27550276	TRANS	M	177,729	01/07/2011
5-1028	2010 Daimler-New Fly ISL G280	1VHGF3W27A6706893	CI40157		27550276	TRANS	M	344,695	08/23/2010
5-1029	2010 Daimler-New Fly LF 07.502	1VHGF3W24A6706897	CI40156		27550276	TRANS	M	154,473	08/21/2010
5-1041	2010 DODGE Caravan	2D4RN4DE6AR144958	CI40153		27550276	TRANS	M	54,286	01/01/2010
5-1048	2010 DODGE Caravan	2D4RN4DE7AR292813	CI40152		27550276	TRANS	M	56,690	01/01/2010
5-1055	2010 DODGE Caravan	2D4RN4DE3AR343286	CI40154		27550276	TRANS	M	27,019	01/01/2010
5-1069	2020 FORD Transit E350	1GBE4V1GX9F413318	NEED		27550276	TRANS	N	0	NEW
5-1308	2013 CHEVY G4500 EXPRESS	1GB6G5CL3D1188803	CI23191		27550276	TRANS	M	183,169	02/27/2020
5-1370	2013 Ford/Glaval E450	15FDXE4FS5DDA56932	CI40151		27550276	TRANS	M	109,036	06/11/2013
5-1371	2013 Ford/Glaval E450	1FDXE4FS7DDA56933	CI40150		27550276	TRANS	M	108,551	06/12/2013
5-1472	2014 Ford/Glaval E450	1FDXE4FS5EDB10263	CI37064		27550276	TRANS	M	120,602	10/08/2014
5-1473	2014 Ford/Glaval E450	1FDXE4FS8EDB10273	CI37063		27550276	TRANS	M	124,384	10/14/2014
5-1474	2014 Ford/Glaval E450	1FDXE4FS1EDB10275	CI37062		27550276	TRANS	M	110,455	10/08/2014
5-1475	2014 Ford/Glaval E450	1FDXE4FS3EDB10276	CI37061		27550276	TRANS	M	114,857	10/09/2014
5-1533	2015 CHEVY G4500 EXPRESS	1GB6G5BG3F1281358	CI40155		27550276	TRANS	M	100,852	04/21/2016
5-1580	2015 DODGE ADA Caravan	2C4RDGBG3FR686354	CI37060		27550276	TRANS	M	56,683	01/27/2016
5-1581	2015 DODGE ADA Caravan	2C4RDGBG3FR686368	CI33199		27550276	TRANS	M	70,506	01/30/2016
5-1906	2019 Gillig G31B	15GGB311XK3193155	CI40161		27550276	TRANS	M	33,030	08/01/2019
5-1907	2019 Gillig G31B	15GGB3111K3193156	CI40160		27550276	TRANS	M	29,924	08/01/2019

Distinct Count of Equipment: 29

Total Distinct Count of Equipment: 29

**Exhibit E**  
**Facility Sharing Agreement**

## FACILITY SHARING AGREEMENT

This Facility Sharing Agreement ("Agreement") is made as of the \_\_\_\_ day of \_\_\_\_\_, 2019, by the Board of Regents of the University of Oklahoma ("University"), a constitutionally created entity of the State of Oklahoma, and the City of Norman, Oklahoma ("City"), an Oklahoma municipality.

### RECITALS

Whereas, University and City are parties to a lease agreement ("Lease") executed contemporaneously with this Agreement;

Whereas, pursuant to the Lease, City rents and takes certain office space for its exclusive use, and has the option to take certain warehouse/garage space for its dedicated but nonexclusive use, and also has non-exclusive use of public, common, and parking areas which are shared with University; and

Whereas, subject to and in accordance with the terms and conditions of this Agreement, City and University desire to share and co-occupy those non-exclusive portions of the Premises in a manner that furthers the City's purpose of providing public transportation services to the City of Norman and surrounding areas, and the University's purpose of providing campus transportation and fleet services;

Now, therefore, in consideration of the mutual promises, covenants, and agreements set forth herein, the sufficiency of which is acknowledged, the parties hereby agree as follows:

1. Term. This Agreement shall automatically terminate upon the expiration or termination of the Lease.
2. Premises. The OU Transportation Operations Center and its immediately surrounding areas shall constitute the Premises.
3. Third Party Operator. The parties acknowledge that the City of Norman may choose to engage a third party to operate all or a portion of its public transportation services. Such third party shall be permitted to use the facility in accordance with the terms of this Agreement on the same basis as City; provided, City shall be responsible for requiring such third party's compliance with the terms of this Agreement relating to the use and sharing of the Premises and shall only be responsible for damages caused by the Third Party Operator in accordance with the provisions of Section 9.1 of the parties' Facility Lease Agreement.
4. Taxes. City agrees not to take any tax position that is inconsistent with being a service provider with respect to the property (e.g., agrees not to take depreciation or amortization, tax credit or deduction for rent); and further, will prohibit any third-party operator from the same.

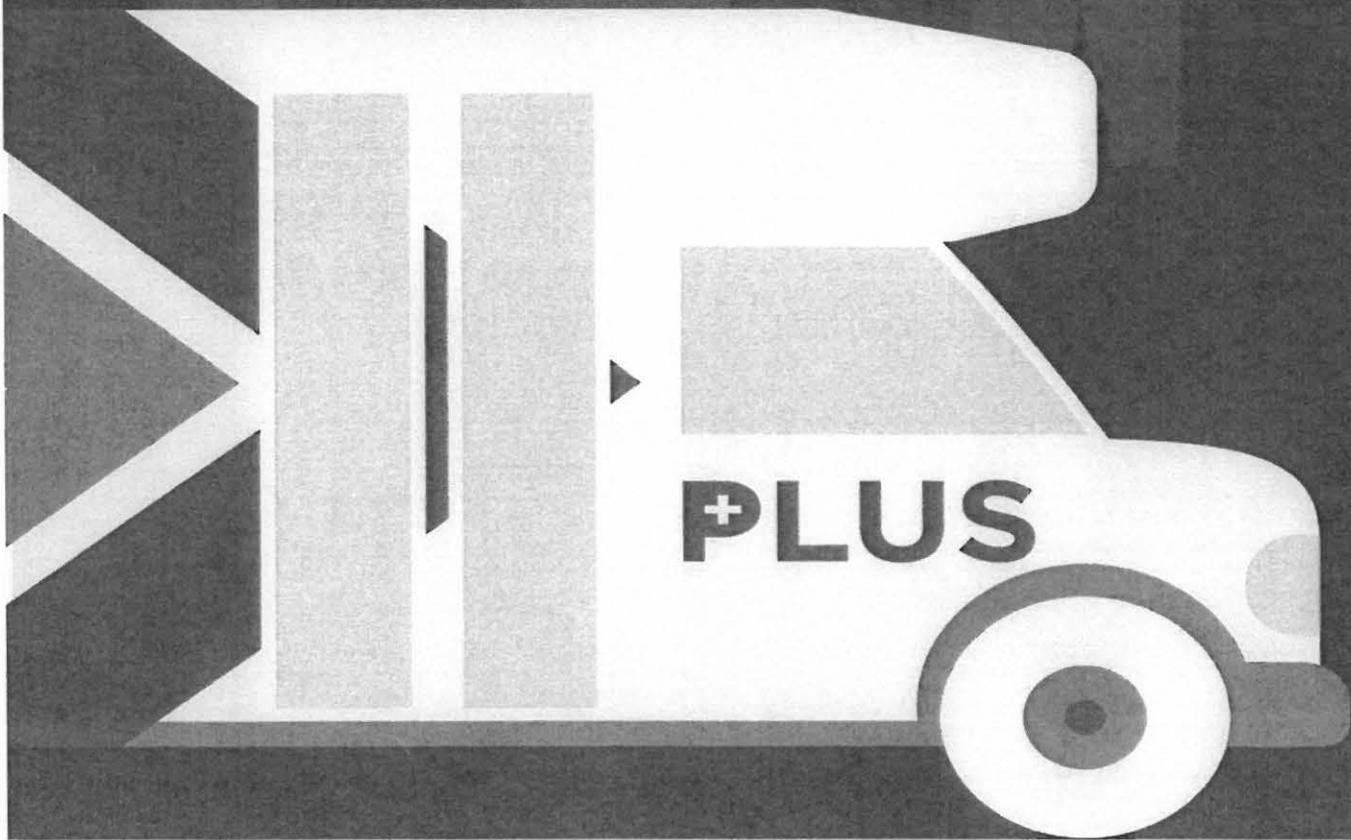
5. Access and Identification. City's employees, agents, and contractors shall have Sooner Card Credentials when on the Premises that also provide access to Premises. In addition, staff shall display clearly visible photo identification (such as an employer-issued nametag or lanyard) while on Premises. City is responsible for securing all exits when leaving Premises unoccupied.
6. No Co-employment. City's employees, agents, and contractors may not direct the work of University employees, and University may not direct the work conducted on City's behalf.
7. Office Premises. Office lights should be turned off when the office is not in use. City shall not exceed the weight of the live load square foot of the floor area with equipment, furniture or any other item.
8. Employee/Guest Parking. University agrees to provide dedicated parking for City's employees, agents, contractors, and guests. Other parking is unauthorized and shall be subject to University parking enforcement protocol.
9. Breakroom. A break room is available and will be shared by City and University. The breakroom should be used only by employees on duty.
10. Meeting room. A meeting room is available for use, upon request. University's liaison maintains a calendar to manage reservations of the meeting room.
11. Lockers. A shared locker room is available for use. University issues locks only for University employees.
12. Warehouse/Garage. Access to Warehouse/Garage will be available to City's employees, agents, and contractors during University business hours.
13. Tools. City is responsible for providing its own tools for mechanics. Tools shall be secured safely when not in use.
14. Warehouse/Garage Conditions. City shall be responsible for maintaining a tidy and clean work area for its dedicated space. University does not provide custodial service for garage bays. Music is not permitted in the warehouse/garage.
15. Warehouse/Garage Solo Rule. It is prohibited for any person to work in the warehouse/garage alone.
16. Ordering parts. Parts must be ordered at the appropriate service window. No person should enter the parts room without the express invitation of the manager.
17. Cameras. Tampering of cameras on the Premises is forbidden.
18. Equipment. City shall notify the University's designated liaison immediately if affixed equipment or large equipment needs to be serviced. City's employees,

agents, and contractors shall follow rules for use of affixed equipment and large equipment on the Premises. City will require staff to complete all necessary training or certification prior to using affixed or large equipment. All equipment is to be used in a manner according to and/or consistent with manufacturer recommendations.

19. Exterior Premises. City fleet vehicles shall be parked in the northern portion of the designated bus parking zone. City shall have access to fueling via the covered fueling station located on the Premises. City's employees, agents, and contractors shall use their designated fuel-key when fueling vehicles. City will not have access to slow fuel stations. City will have access to the exterior bus wash on a mutually agreed-upon basis.
20. Disputes. Each party shall designate a liaison to receive complaints or concerns about facilities use. The liaisons shall work together to resolve complaints.
21. Worker's compensation. Responsibility for injuries incurred by employees during the scope of their employment shall be borne by each respective employer in accordance with the Worker's Compensation laws of the state of Oklahoma.
22. Policies. All applicable University of Oklahoma policies should be adhered to. An example which is not meant to be all inclusive is, no smoking allowed on state property. University reserves the right to rescind any of the foregoing regulations or policies and to make such other regulations as are needed from time to time in University's reasonable judgment to promote safety, protection, care, and cleanliness of the Premises.

**Exhibit F**  
**EMBARK Plus Norman ADA Guide**

# ΣMBARK PLUS



NORMAN

# ΣMBARK

# **WELCOME** TO EMBARK PLUS

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EMBARK Plus Norman is an origin-to-destination, shared-ride transportation service for individuals with disabilities who are unable to independently use the EMBARK fixed-route bus system.

You will find all the information you need to use EMBARK Plus Norman within this guide. Please review the service information carefully and call 405-235-RIDE (7433) with any questions.

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## CONTACT INFORMATION

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EMBARK Plus Norman  
2000 S. May Avenue, Oklahoma City, OK 73108  
405-235-RIDE (7433).  
[mobilitymanagement@okc.gov](mailto:mobilitymanagement@okc.gov)

# ELIGIBILITY & ENROLLMENT

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## Certification

Paratransit eligibility is based on the person's functional ability to independently use fixed-route transportation. Eligibility is not based solely on a medical diagnosis. We will utilize information provided on your application and medical information provided by your physician to make an eligibility determination. Once a complete application and physician information are received, EMBARK will provide you with an eligibility determination within twenty-one (21) days.

Documents and applications will be made available in one or more accessible formats, on request. Plus applications may be obtained on our website at [embarkok.com](http://embarkok.com) or by calling 405-235-RIDE (7433).

## Recertification

Approved EMBARK Plus Norman customers are required to recertify their eligibility every three (3) years. Customers will be notified approximately forty-five (45) days prior to the expiration date of their Plus eligibility of the need to recertify. Customers who do not recertify prior to their expiration date risk service disruption. In addition, EMBARK reserves the right to review a customer's eligibility at any time. In such cases, additional or corroborating information may be required to maintain eligibility.

Customers are responsible for keeping EMBARK informed of any changes in functionality that may affect their eligibility status including: changes in residential address; home or work telephone numbers; and emergency contact person(s); significant improvement or deterioration of mobility skills; the presence of a communicable or contagious disease; or, the use of adaptive devices or mobility aids. If a person designated to act on a customer's behalf is added or changed from the first eligibility certification, that information must be submitted to EMBARK.

## ELIGIBILITY & ENROLLMENT

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### Appeals Process

You have the right to appeal any decision concerning your eligibility status. The details of your right to appeal and the appeal process are outlined in the eligibility determination letter you receive. Upon receipt of the applicant's written notice of appeal, management will conduct a review of the initial determination and provide you a written review decision within thirty (30) days. You have the right to appeal the management review decision through the EMBARK Appeals Review Committee (ARC). Information on the ARC appeal process will be provided with your written review decision. You have the right to appear before the ARC and provide additional information or testimony. You may bring additional witnesses to the ARC meeting, and you will receive ARC's final decision in writing.

Plus customers who are determined to no longer be eligible during the recertification process and who appeal before their service expires may continue to use Plus until a final decision is made. Applicants who do not appeal within sixty (60) days of their recertification notice may be required to complete a new application.

## FARES & SERVICE

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### Service Zones and Fares

EMBARK Plus Norman has two service zones. Fares will be free in Norman through October 31, 2019.

A Personal Care Attendant (PCA) or children under the age of 6 can accompany a Plus customer for no additional cost. Other companions, or guests may ride for the same price as the customer, if space is available.

# HOW TO USE PLUS

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## Mobility Device Requirements

EMBARC will accept any wheelchair or mobility device on its vehicle, provided that the combined weight of the wheelchair and passenger does not exceed the maximum specifications provided by the lift manufacturer. Lifts will accommodate chairs 30 inches wide and 48 inches in length measured 2 inches above the ground, and if the combined weight of chair and passenger does not exceed 600 pounds. If you are concerned that your mobility device may exceed these limits, please call us at 405-235-RIDE (7433). EMBARK may require an in-home assessment of an oversize mobility device prior to providing transportation services to ensure the safety of all customers and our employees.

## Customer Safety

Customers traveling with children aged 5 or less will be required to provide an approved car safety seat. The customer will be responsible for securing the car safety seat and EMBARK Plus Norman operators are NOT PERMITTED to provide car seat securement assistance. Children cannot be transported in strollers, ride on a lap, and two or more children are not allowed to occupy one seat. All Plus customers and their mobility devices must be safely and appropriately secured using available lap belt and floor securements. Vehicle operators will appropriately secure wheelchairs and scooters. All passengers in a Plus Norman paratransit vehicle not secured in a mobility device are required to wear seatbelts. Plus drivers are not medically trained.

## Plus Service Hours

Plus Norman Paratransit service is provided as a complement to EMBARK's regular fixed-route bus service, and mirrors the fixed route service hours and days. Plus operates in Zone 1 from 7:00 a.m. to 10:00 p.m. Monday to Friday and in Zone 2 from 7:00 a.m. to 7:00 p.m. Monday to Friday. No weekend service.

## How to Contact EMBARK Plus Norman

	Day of The Week	Time of Day	Number to Call
<b>To Schedule a Trip</b>	Monday - Friday	8 AM - 5 PM*	405-325-5438
<b>To Cancel a Trip</b>	Seven Days A Week	8 AM - 5 PM with voicemail available 24 hours a day	405-325-5438
<b>EMBARK Information</b>	Monday - Saturday	8 AM - 5 PM	405-235-RIDE (7433)

\*If calling on Sunday for a Monday trip, please use voicemail to request your trip by providing your name, requested pick-up time, and a phone number. A staff member will return your call early Monday morning to confirm your trip. You may also use voicemail 24-hours a day to cancel a trip if an operator is not available.

## Holidays

Plus service is NOT available on the following holidays:

New Year's Day	Labor Day
Memorial Day	Thanksgiving Day
Independence Day	Christmas Day

In addition, Plus service is not provided when EMBARK's fixed-route service is not operating due to weather or other circumstances.

# HOW TO USE PLUS

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## Scheduling a Ride

EMBARC makes every effort to schedule your trip for the time requested. In the event the specified time requested is not available, you may be asked to consider an alternate time within one hour before or after your requested time. Trip reservations are accepted from one (1) to seven (7) days in advance of the desired travel date. EMBARK Plus does not provide same day reservations.

Before calling to schedule a ride, please have the following information available for each trip:

- Travel date(s) and time(s)
- Trip origin and destination addresses
- Gate or security code, and any other special instructions
- Mobility device and service animal information
- Personal Care Attendant (PCA), companion or child traveling with you

## Ready Window & Customer Responsibilities

Plus operates within a thirty-minute ready window and vehicles arriving during the window are considered on-time. The ready window is fifteen (15) minutes before and fifteen (15) minutes after your scheduled pick-up time. For example, if your pick-up time is 10:30 a.m. you should be ready for the Plus vehicle to arrive between 10:15 a.m. and 10:45 a.m. Customers are expected to be prepared to board the Plus vehicle anytime within the ready window. A Plus vehicle arriving within the ready window will wait five (5) minutes for you to board the vehicle.

## Changing or Canceling a Reservation

Please notify us immediately if your plans change or you need to cancel a scheduled trip. Trip cancellations must be done at least one (1) hour in advance. Plus customers are subject to the EMBARK Plus No-Show and Late Cancellation Policy, which was provided to you with your eligibility determination letter. A scheduled trip is recorded as a no-show if the customer is not at the pick-up location within five (5) minutes after the vehicle arrives within the ready window. A Late Cancellation occurs when a customer does not call Plus to cancel their trip reservation at least one (1) hour before the agreed upon pick-up time. To cancel a trip reservation, call 405-325-5438. You may leave a message to cancel your trip.

## **HOW TO USE PLUS**

### **Personal Care Attendants, Guests, and Companions**

A Personal Care Attendant (PCA) may travel with any Plus customer who, without the assistance of such an attendant, would be unable to complete the trip successfully or safely. It is the customer's decision if they will need a PCA for a particular trip. Please let reservation staff know if you will be traveling with a PCA, guest or companion.

Your PCA may accompany the customer at no cost and is responsible for providing any medical and/or personal care for the patron before, during, and after Plus travel. PCA's must board and disembark at the same location(s) as the Plus customer and complete the trip with the Plus customer.

Guests/Companions may accompany the customer on any trip subject to space availability and will pay the same fare as the customer. PCA's, guests, and companions are subject to the EMBARK Rider Conduct & Exclusion Policy.

### **Visitor Eligibility & Travel**

For PLUS customers, your paratransit eligibility is valid at other transit agencies throughout the country with some limitations. You will need to contact the transit authority in the city you plan to visit to clarify their paratransit visitor policy. EMBARK is happy to provide the agency with documentation of PLUS eligibility. Should you require assistance in determining paratransit services at your travel destination, please contact us at 405-235-RIDE (7433) for assistance.

Visitors to Oklahoma City or Norman can receive complementary EMBARK PLUS paratransit service for 21 days of service (days of service availability, days may be non-consecutive) out of any 365-day period. Visitor eligibility is granted immediately upon request receipt; however, we suggest advanced planning to facilitate a worry-free travel experience. If paratransit is available in your home city, please contact EMBARK Plus at 405-235-RIDE (7433) for assistance in documenting your eligibility. Visitors without documented eligibility from another transit service provider can self-certify the disability verbally with EMBARK staff. Receiving PLUS paratransit service beyond 21 days requires an application and an eligibility determination.

# HOW TO USE PLUS

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## Customer Conduct

EMBARK has established the Rider Conduct & Exclusion Policy to promote the safety and comfort of its customers, to facilitate the proper use of transit facilities and services, to protect transit facilities and employees, to assure the payment of fares and to ensure that transit vehicles and facilities are safe, welcoming and provide equitable access for transit customers.

Failure to follow Plus Paratransit service policies or an operator's safety instructions, or engaging in violent, seriously disruptive, or illegal conduct by PLUS customers or persons associated with Plus customers is prohibited. In response to prohibited conduct, EMBARK shall take appropriate and immediate action as outlined in the Rider Conduct & Exclusion Policy, up to and including the temporary suspension or possible termination of Plus services. All customers receive a copy of the Rider Conduct & Exclusion Policy with their eligibility determination letter, and all service suspensions are subject to an appeals process. The policy is available for download at [embarkok.com](http://embarkok.com), by calling 405-235-RIDE (7433), or upon request at the EMBARK Norman Offices.

## Traveling with Animals

Service animals trained to assist with activities of daily living or to perform tasks for persons with disabilities may ride on any EMBARK vehicle when aiding customers with disabilities. The customer is responsible for ensuring the animal has received appropriate vaccinations and for the animals' conduct while on board. Please let staff know when scheduling your trip that you will be traveling with a service animal. Small pets not classified as working or service animals must be small enough to be held on the lap of the customer, must be under full control of the passenger, and must be in a cage or pet carrier small enough to fit on the customer's lap.

*Note: If the Plus operator determines that an animal is not under the owner's control, or that the animal may pose a direct threat to any passengers, Plus has the right to refuse service to that animal.*

# HOW TO USE PLUS

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## Carry-On Items

While our goal at EMBARK is to provide accessible transit service, the safety and comfort of our passengers is our primary concern. Passengers should restrict carry-on items to those that will neatly fit in the space either on the floor between their feet or on their lap. Carry-on items must not be allowed to intrude into the seating or floor area of other passengers and they must remain under the control of the passenger or PCA who brought them on board.

### ***Grocery Bags***

No more than three medium sized grocery bags and no more than 20 pounds for each bag or package. Customers are responsible for loading/unloading packages. *Limit to 3 medium size bags.*

### ***Shopping Carts or Baskets***

37" high from floor to top of handle. Basket area 13" side to side, 11 1/2" front to back, 20 1/2 " top to bottom. Metal or plastic grocery store-style shopping carts are not permitted. *Limit to 1 medium size cart or basket.*

### ***Strollers***

We recommend using small, folding, umbrella type strollers on EMBARK Plus vehicles. All strollers must be folded and stowed securely during the trip. *Limit to one (1).*

### ***Luggage***

Luggage that can be stowed in front of or on the lap of the passenger is allowed. This luggage must comply with the same guidelines used by commercial airlines. *Limit to 1 carry-on size 22"x9"x14".*

# HOW TO USE PLUS

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## Subscription Service

Subscription service may be available for trips taken in our Zone 1 service area from the same place, to the same location, at the same time, on the same day(s) of the week at least three (3) days a week for at least six (6) months duration. If you are interested in requesting subscription service, call 405-235-RIDE (7433) and request a paratransit subscription service application. Once approved for subscription services, the subscription trips are fixed and automatically scheduled each week. Additional reservation calls are not necessary.

Subscription service is considered a premium service and is offered only in our Zone 1 service area. Any changes to an approved subscription trip such as a new trip address or time change will require a new subscription application. Customers are responsible for following the No-Show and Late Cancellation Policy for all trips on EMBARK Plus, including subscription trips. **Plus will cancel subscription trips to any center/agency that reports to us they will be closed for one or more holidays or due to weather.**

## Reasonable Modification

EMBARK will make all reasonable modifications to policies and procedures to ensure that people with disabilities have an equal opportunity to enjoy its programs, services, and activities. Anyone who requires a modification of policies or procedures to participate in a program, service, or activity of EMBARK, should submit a request via [embarkok.com](http://embarkok.com), by email to [mobilitymanagment@okc.gov](mailto:mobilitymanagment@okc.gov), by phone at (405) 235- RIDE (7433) or TTY 711, or by mail to:

ADA/Reasonable Modification Coordinator  
2000 S. May Avenue, Oklahoma City, OK 73108

**Exhibit F-1**  
**EMBARK Rider Conduct and Exclusion Policy**



**Rules of Conduct and Transit Exclusion  
Policy and Procedures  
First Adopted November 15, 2013**

**I. Mission**

The mission of the Central Oklahoma Transportation & Parking Authority (COTPA) is to provide public transportation to the citizens and visitors of the greater Oklahoma City metropolitan area so they can safely and affordably travel in a customer-friendly environment.

**II. Policy**

COTPA has established this Policy to promote the safety and comfort of its patrons, to facilitate the proper use of transit facilities and services, to protect transit facilities and employees, to assure the payment of fares and to ensure that transit vehicles and facilities are safe, welcoming and provide equitable access for transit passengers. Responses to inappropriate and/or illegal conduct are outlined within this Policy.

**III. Overview and Definitions**

No individual may engage in inappropriate conduct on, at or in COTPA facilities, including boarding and waiting areas of public transit systems, including bus, ferry, train, trolley, streetcar, stops and/or shelters and at administrative, operational, and maintenance facilities, or on vehicles used to provide fixed-route or para transit, transit and/or parking services.

Inappropriate conduct includes any individual or group activity which is seriously disruptive, harassing, threatening or injurious to individuals lawfully using transit facilities or services. Inappropriate conduct may also constitute a violation of an ordinance or criminal law. The fact that an individual is or is not charged or convicted of an incident of inappropriate conduct does not bar investigation and/or exclusion under this Policy.

The term *COTPA* means Central Oklahoma Transportation and Parking Authority and any of its business units including but not limited to EMBARK, METRO Transit, ParkingOKC, Spokies and or Oklahoma River Cruises.

"Public transportation services" shall be in accordance with the definition of public transportation in 69 O.S. § 4005 (4), 2010 together with vanpools, fixed-route, paratransit, ferry or other transit services, whether operated by COTPA or any governmental agency, private person, firm or corporation contracting with COTPA or its agents.

"Employee" shall mean any part-time or full-time, temporary or regular, exempt or non-exempt,

represented or non-represented person, including an intern, contracted party or agent who is compensated to provide COTPA services by wages, salary or other remuneration.

“Facilities and Properties” means all property and equipment of COTPA, including, without limitation, park-and-ride lots, transit centers, bus shelters, street furniture, public streets, parking facilities and sidewalks inside and outside areas of COTPA property, lands, interest in lands, air rights over lands and rights-of-way of all kinds that are owned, leased, held or used by COTPA for the purpose of providing public transportation and parking services.

“Smoking” means the carrying by a person of a lighted cigar, cigarette, pipe, or other smoking devices such as vaping and e-cigs for tobacco or other weed, plant or substance.

“Tobacco product” means any product made or derived from tobacco that is intended for human consumption, including any component, part or accessory of a tobacco product. This includes, among other products, cigarettes, cigarette tobacco, roll-your-own tobacco and smokeless tobacco.

#### **IV. Level I - Inappropriate Conduct using Transit Services, Facilities and Properties**

For any of the following inappropriate conduct on buses, persons will be given a first warning not to engage in the conduct. If the customer does not comply with the warning, an Employee is authorized and may elect to ask the patron to leave the vehicle. Any individual, who declines to leave a bus after being ordered to do so by the Employee, may be subject to arrest and prosecution for trespassing and or disorderly conduct. Continuous repeat infractions may result in exclusion from all Transit Services, Facilities and Properties for not less than 45 days or more than 6 months. See Section VII, Exclusion Procedure. Level I violations include, but are not limited to:

- Boarding unattended minors: children eight (8) years of age and under must be closely accompanied at all times by an older responsible individual;
- Standing in front of the yellow line at the front of the bus near the driver’s seat;
- Having distracting conversations with Bus Operators;
- Roller-skating, roller-blading, or skateboarding while using Transit Services, Facilities and Properties;
- Hanging or swinging from stanchions or other bus equipment with feet off the floor;
- Hanging out, reaching out, or putting anything out of bus windows;
- Refusal to present valid ID to authorized staff when requesting Special Patron privileges;
- Willfully refusing to present valid, un-expired pass or otherwise failing to pay the appropriate fare;
- Eating on transit vehicles or in prohibited areas of Facilities and Properties;

transportation and consumption of beverages on transit vehicles is permitted when the beverage is in a reusable, leak-proof container with a resealing lid; no glass containers;

- Using a media playing device (e.g. portable radio, laptop, tablet, CD player, TV, etc.), unless such equipment is used with earphones so that sound is limited to person's self and not disturbing others;
- Engaging in indecent, profane, boisterous, unreasonably loud or otherwise disorderly conduct under circumstances in which such conduct tends to cause or provoke a disturbance. This is not intended to prohibit ordinary conversation between passengers in normal conversational tones;
- Exhibiting inappropriate personal hygiene (i.e., an individual whose bodily hygiene is so offensive as to constitute a nuisance to other passengers);
- Engaging in unauthorized canvassing, selling, soliciting or distributing any material on Transit Services, Facilities and Properties;
- Changing a diaper on Transit Services, Facilities and Properties, with the exception of public restroom facilities;
- Soliciting or panhandling at or on Transit Services, Facilities and Properties;
- Loitering on Transit Services, Facilities and Properties;
- Entering or remaining upon any non-public areas of Facilities and Properties, including, but not limited to, staging areas, work areas and equipment rooms, except when authorized by an Employee;
- Not wearing shoes or shirt, with the exception of non-ambulatory passengers or infants that are being carried;
- Bringing any un-caged animal on Transit Services, Facilities and Properties, except service animals that assist those with disabilities. Caged animals must fit on customer's lap;
- Bringing on-board any large articles, packages, baggage, non-collapsible strollers or baby buggies which block the aisle and restrict the free movement of passengers;
- Otherwise disorderly or inappropriate conduct at or on Facilities and Properties which is inconsistent with the orderly and comfortable use of their intended purpose.

**V. Level II - Inappropriate Conduct using Transit Services, Facilities and Properties**

The following conduct is prohibited in all Facilities and Properties, including but not limited to, buses, transfer points, park and ride lots, bus stops and bus shelters except as specifically limited below. Any individual observed engaging in the conduct may be told by an Employee to leave the facilities immediately and may be subject to arrest by proper authorities. Any Employee is authorized to request police assistance, if necessary. These offenses may cause an individual to be excluded from all Transit Services, Facilities and Properties for not less than 6 months or more than 12 months. See Section VII, Exclusion Procedure; further legal action may be taken

as applicable and appropriate. Level II violations include, but are not limited to:

- Defacing, destroying or otherwise vandalizing Transit Services, Facilities and Properties;
- Misuse of fare media;
- Missing scheduled paratransit trips by not showing and/or failing to cancel three or more trips, no later than one (1) hour before the scheduled trip, during any 30 day period provided that, trips missed for reasons beyond his or her control shall not be a basis for determining that such a pattern or practice exists;
- Drinking alcoholic beverages or possessing open containers of alcoholic beverages;
- Smoking or any tobacco use is prohibited within 25 feet of service waiting areas, which are defined as any area designed to be or regularly used by one or more persons to receive or wait to receive a service, enter a public place or make a transaction, whether or not such service includes the exchange of money, such as ticket lines, including the ticketing, boarding and waiting areas of public transit systems, including bus, ferry, train, trolley, streetcar, stops and/or shelters, as well as on or in any COTPA Facilities and Properties.
- Bringing any items of a dangerous nature on transit facilities and properties including: flammable liquids, explosives, acid, toxic or poisonous substances; a vessel containing caustic materials, chemicals, alkalis or other article or material likely to cause harm to others; fishing rods which are not broken down or have unsecured or exposed hooks or lures; lawn or yard equipment; sheet glass and sharp objects;
- Refusing to use personal restraints/seatbelts on transit vehicles providing paratransit services;
- Refusing to use appropriate safety restraints (when applicable) on transit vehicles; or refusal to secure mobility device on fixed-route service;
- Committing any act which is disorderly or may create or incite to provoke a violent reaction of fear, anger or apprehension. Acts included but not limited to: (a) fighting, disorderly, inebriated or drunken, or under the influence of narcotics; (b) use of epithets, abusive or profane language; (c) conduct that is indecent, profane, or obscene; and (d) otherwise disorderly or inappropriate conduct which is inconsistent with the safe and orderly use of transit facilities for their intended purpose;
- Causing sounds that are unreasonable and highly disruptive of other individuals using COTPA Facilities and Properties, including but not limited to, prolonged loud, abusive, indecent or profane;
- Otherwise disorderly or inappropriate conduct which is inconsistent with the safe and orderly use of transit facilities for their intended purpose.

## **VI. Level III - Inappropriate Conduct/Emergency Situations**

The following conduct in or at COTPA Facilities and Properties, may be cause for police intervention, arrest and/or prosecution. An emergency situation can be defined as any situation in which an individual's actions present an imminent danger to the life or safety of himself/herself or others or to COTPA Facilities and Properties. Employees are authorized to request police assistance. An individual found to have engaged in any of the following activities will be excluded from all Transit Services, Facilities and Properties for a minimum of 12 months pursuant to Section VII, Exclusion Procedure. Level III violations include, but are not limited to:

- Use of counterfeit or stolen fare media;
- Falsely representing oneself as eligible for a special or reduced fare or obtaining any permit or pass related to the transit system by making a false representation;
- Manufacturing, selling, delivering or possessing with the intent to manufacture, sell or deliver a controlled substance or who sells or distributes any controlled substance or counterfeit substance on Facilities or Properties;
- Violating any federal, state or municipal civil and criminal laws;
- Engaging in or soliciting sexual activity on Facilities or Properties;
- Assault and battery or threat of assault;
- Indecent exposure;
- Spitting, urinating or defecating on Facilities and Properties, with the exception of proper use of public restroom facilities;
- Stealing or willfully damaging, defacing or destroying Facilities and Properties will be prosecuted;
- Entering or remaining on Facilities and Properties after having been notified by an Employee to leave, or boarding or remaining on Facilities and Properties during the period when an individual has been banned from the premises;
- Obstructing or interfering with the safe operation of the transit vehicles, Facilities or Properties;
- Lighting an incendiary device (e.g. match, lighter, torch) except that nothing herein shall prevent a person from carrying a cigarette, cigar or pipe lighter or carrying a firearm or ammunition in a way that is not otherwise prohibited by law.

## **VII. Exclusion Procedures**

Once it has been determined that there have been serious incidents of inappropriate conduct by an individual, as described in Levels II and III, or repeated Level I violations, and it is determined that the individual involved should be excluded from Transit Services, Facilities and Properties or that conditions should be placed on the individual's continued use thereof, the Administrator or assigned designee or other assigned designee will issue, or cause to be issued, to the individual involved a written exclusion letter from COTPA Facilities and Properties. The letter shall indicate the reasons for the exclusion, the time period of the exclusion and the facilities and/or services to

which the exclusion order applies. If continued use of transit Facilities and or Properties is made subject to safety conditions or restrictions (e.g. presence of a parent or guardian in the case of a juvenile; accompaniment by a personal care attendant or aide), a conditional exclusion letter may be issued specifying that the individual will be subject to exclusion unless the imposed restrictions are complied with. The letter shall also advise the individual of his/her right to appeal the decision and include a copy of the appeal procedure.

**Level 1** - minimum 45 days but no more than 6 months from all Transit Services and Facilities

**Level 2** - minimum 6 months but no more than 12 months from all Transit Services and Facilities

**Level 3** - minimum 12 months from all Transit Services and Facilities

**Non-Compliance with Exclusion Order: Trespassing**

If an individual subject to an exclusion order enters the specified facilities or services before the return date listed in the exclusion letter, police may be called and individual may be subject to further action up to and including arrest for trespassing.

**VIII. Appeal Procedures**

Any appeal by or on behalf of the party subject to an exclusion order shall be submitted in writing to the Transit Exclusion Appeals Board within ten (10) calendar days after notice to:

COTPA  
Transit Exclusion Appeals Board  
2000 S May Ave  
Oklahoma City, OK 73108

The communication shall state with specificity the grounds for the appeal. The Appeals Board shall hold a hearing within 30 calendar days after the notice has been filed. Notice of the hearing including a statement of the time, place and nature of the hearing shall be mailed to the aggrieved party at least ten (10) business days prior to the hearing. Exclusion orders and violations shall not be stayed pending an appeal, unless the Appeals Board finds that a stay is warranted and necessary under the particular circumstances. A request for stay shall be made in writing by the aggrieved party stating the specific reasons for the request. The Appeals Board consists of individuals appointed by the Administrator of COTPA.

Hearing - At the hearing, the appellant may be represented by counsel, present evidence and call and examine witnesses and cross-examine witnesses of the other party. The Appeals Board shall review any evidence deemed necessary or relevant to the violation at the hearing. The Appeals Board may be recorded.

Decision - Within 30 calendar days of the completion of the hearing, the Appeals Board shall issue a written decision stating the reasons therefore. The Board shall make a finding on whether it is more probable than not, that the excluded individual engaged in the conduct which was the basis for the exclusion. Based on testimony and the evidence in the record, the Board shall have the power to affirm or reverse the written determination or to remand it to the Transit Operation's Manager with instructions for reconsideration consistent with its decision. The decision, except for remand, shall be a final determination for the purpose of judicial review.

**Exhibit F-2**  
**EMBARK Advertising Policy**

TO: Chairman and Board of Trustees

FROM: Administrator

Resolution Establishing an Advertising Policy that Creates Standards for Displaying Advertising In and On Property of the Central Oklahoma Transportation and Parking Authority

**Background** EMBARK's mission is to provide dependable multimodal public transportation and downtown Oklahoma City parking services to the residents and visitors of the greater Oklahoma City metropolitan area so they can experience friendly, convenient, safe and affordable transit and parking services.

EMBARK's operations are funded by a combination of federal, state, and local funds, including grants and taxes, as well as, fares and fees. Staff seeks to establish a formal advertising, sponsorship and naming rights program (together "Advertising"), to strengthen EMBARK's fiscal sustainability.

EMBARK's acceptance of Advertising through contractors is not intended to create a public forum, but rather to make use of its assets held in a proprietary capacity in order to generate revenue. To that end, staff proposes the adoption of the attached policy on advertising, in order that, EMBARK may retain control over the Advertising allowed by subjecting all proposed Advertising content, messages, and agreements to the standards established by this policy.

The policy advances the advertising program's revenue-generating objective while establishing uniform, reasonable, and viewpoint-neutral standards for the display of Advertising in and on the facilities, transit and fleet vehicles and other property of the Central Oklahoma Transportation and Parking Authority (COTPA) and its family of services.

Review Public Transportation and Parking Department and Municipal Counselor's Office

Recommendation: Adopt Resolution



Jason Ferbrache  
Administrator

**RESOLUTION ESTABLISHING AN ADVERTISING POLICY THAT CREATES STANDARDS FOR  
DISPLAYING ADVERTISING IN AND ON PROPERTY OF THE CENTRAL OKLAHOMA  
TRANSPORTATION AND PARKING AUTHORITY**

**WITNESSETH**

**WHEREAS**, the Central Oklahoma Transportation and Parking Authority (COTPA, a.k.a. "EMBARK") is tasked with owning and/or operating buses, modern streetcar vehicles, parking facilities, bus shelters, streetcar platforms, parking garages and other properties (together "Properties") through its operation of public transportation and parking services (together "Services"); and

**WHEREAS**, EMBARK is funded by a combination of federal, state, and local funds, including grants and taxes, as well as, fares and fees; and

**WHEREAS**, an advertising, sponsorship and naming rights (together "Advertising") program will supplement existing funding sources that support the operation and maintenance of EMBARK Properties and Services; and

**WHEREAS**, acceptance of Advertising through contractors is not intended to create a public forum; and

**WHEREAS**, EMBARK retains control over the Advertising allowed by subjecting all proposed Advertising content, messages, and agreements to the standards established by this policy;

**NOW, THEREFORE BE IT RESOLVED** by the COTPA Board of Trustees that they do hereby establish an Advertising Program; and adopt the Advertising Policy declaring EMBARK as a non-public forum; and establishes uniform, reasonable, and viewpoint-neutral standards for the display of Advertising on EMBARK Properties.

**CENTRAL OKLAHOMA TRANSPORTATION  
AND PARKING AUTHORITY**



Chairman

**ATTEST:**

  
Secretary

**Reviewed** for form and legality.

  
Assistant Municipal Counselor

# CENTRAL OKLAHOMA TRANSPORTATION AND PARKING AUTHORITY

## POLICY ON ADVERTISING

Board Approved February 2, 2018

### I. PURPOSE

- A. To establish uniform, reasonable, and viewpoint-neutral standards for the display of advertising, and sponsorship and or naming-rights (together "Advertising") in and on the facilities, transit and fleet vehicles and other property (together "Property") of the Central Oklahoma Transportation and Parking Authority (COTPA) and its family of services (together "EMBARK").
- B. To establish EMBARK as a non-public forum.

### II. OBJECTIVE

EMBARK's mission is to provide dependable multimodal public transportation and downtown Oklahoma City parking services to the residents and visitors of the greater Oklahoma City metropolitan area so they can experience friendly, convenient, safe and affordable transit and parking services.

EMBARK's operations are funded by a combination of federal, state, and local funds, including grants and taxes, as well as, fares and fees. Revenue from advertising is an important supplemental funding source that supports the operation of EMBARK's family of services.

EMBARK's acceptance of advertising through contractors is not intended to create a public forum, but rather to make use of EMBARK's assets held in a proprietary capacity in order to generate revenue. EMBARK retains control over the advertising allowed by subjecting all proposed advertising content, messages, and agreements to the standards established herein.

In establishing and enforcing this policy, EMBARK seeks to fulfill the following objectives:

- Maximize advertising revenue opportunities
- Clarify EMBARK's position as a non-public forum
- Maximize customer and service growth
- Maintain secure and orderly property and operating environment
- Minimize confusion related to permitted and prohibited advertising
- Maintain a safe and welcoming environment for all EMBARK employees, representatives, and customers
- Avoid the appearance of endorsement by EMBARK displayed in or on property, including the associated messages, products, services, or events being proposed or promoted

### III. **ENDORSEMENT**

Acceptance of an advertisement does not constitute express or implied endorsement of the content or message of the advertisement, including any person, organization, product, service information and viewpoint contained therein, or of the advertisement sponsor(s) itself. This endorsement disclaimer extends to and includes, but not limited to, content that may be found via internet addresses, quick response (QR) codes, and phone numbers that may appear in posted advertisements and that direct viewers to external sources of information.

### IV. **ADVERTISING STANDARDS**

Placing reasonable limits on permitted advertising displayed on EMBARK Properties will enable EMBARK to realize the maximum benefit from the sale of advertising space. Further, EMBARK retains control over the type of display and location/placement of approved advertising.

#### **A. Permitted Advertising**

The following classes of advertising are authorized on EMBARK property if the advertising does not include any content or message that qualifies as Prohibited Advertising as described in subsection B:

1. **Commercial Advertising**

Paid advertisements that propose, promote, or solicit the sale, rent, lease, license, distribution, or availability of some other commercial transaction concerning goods, products, services, or events for the advertiser's commercial or proprietary interest, or more generally promote an entity that engages in such activities.

2. **Governmental Advertising**

Notices or messages from EMBARK that promote its services or any of its functions or programs, and also paid notices or messages of the United States government, the State of Oklahoma and its agencies, the City of Oklahoma City and its departments, or a State of Oklahoma County government within the EMBARK service area that advance specific governmental purposes.

3. **Public Service Announcements**

Public service announcements not otherwise prohibited under Section IV of this policy, which are sponsored by either a government entity or a nonprofit corporation that is exempt from taxation under Section 501 (c)(3) of the Internal Revenue Code and which are directed to the general public and relate directly to:

- Prevention or treatment of illnesses;
- Promotion of safety or personal well-being;
- Education or training;

- Art or culture;
- Provision of children and family services;
- Provision of services and programs that provide support to residents, seniors, or people with disabilities; or
- Solicitation by broad-based contribution campaigns that provide funds to multiple charitable organizations active in the above-listed areas.

## **B. Prohibited Advertising**

Advertising is prohibited on EMBARK property if it includes any content that falls under one or more of the following categories:

### 1. *Political and Public Issue*

Any material that:

- a. Promotes or opposes a political party, promotes or opposes any state or local ballot measure or the election of any candidate or group of candidates for federal, state, judicial or local government offices;
- b. Is political in nature or contains political messages, including advertisements involving political or judicial figures and/or advertisements involving an issue that is political in nature in that it directly or indirectly implicates the action, inaction, prospective action or policies of a governmental entity; or
- c. Expresses or advocates an opinion, position or viewpoint on a matter of public debate about economic, political, religious or social issues.

### 2. *False or Misleading*

Any material that is, or the sponsor reasonably should have known is, false, fraudulent, misleading, deceptive, or would constitute a tort of defamation or invasion of privacy.

### 3. *Copyright, Trademark or Otherwise Unlawful Infringement*

Any material that infringes on any copyright, trade or service mark, title or slogan.

### 4. *Obscene or Pornographic*

Any material that is obscene or pornographic.

### 5. *Defamation or Lawless Action*

Any material that is clearly defamatory or advocates imminent lawlessness or violent action.

### 6. *Smoking Products, Tobacco, or Weapons*

Any material that constitutes commercial advertising of the sale of weapons, smoking products, tobacco-related products, or electronic cigarettes.

7. *Profane and Violent*

Advertisement that contains any of the following:

- a. any profane language
- b. any images portraying or describing graphic violence, including death, mutilation, disfigurement or intentional infliction of pain or violent action; or
- c. depictions of weapons or devices that appear to be aimed or pointed at the viewer or observer in a menacing manner.

8. *Insulting, Degrading, Disparaging, Demeaning or Offensive*

Any material directed at a person or group that is intended to be (or reasonably could be interpreted as being):

- a. Insulting, degrading, disparaging, demeaning or offensive so as to be reasonably foreseeable to incite or produce lawless action in the form of retaliation, vandalism or other breach of public safety, peace and order; or
- b. Disparaging or disrespectful to persons, groups, governments, businesses or organizations, including advertisements that portray individuals as inferior, evil or contemptible.

9. *Harmful or Disruptive to EMBARK.*

Any material that is reasonably likely to cause harm to, disruption of or interference with EMBARK property and its family of services.

10. *Unsafe Behavior*

Any advertisement that encourages or depicts unsafe behavior including, but not limited to, EMBARK-related activities, such as non-use of normal safety precautions in awaiting, boarding, riding upon or disembarking from EMBARK property.

11. *Adverse to EMBARK*

Advertising, or any material contained in it, that is directly adverse to the commercial or administrative interests of EMBARK, or that tends to disparage the quality of service provided by EMBARK, or that tends to disparage EMBARK generally.

12. *EMBARK Graphics and References*

Advertising that contains EMBARK graphics, logos or representations without the express written consent of EMBARK.

**V. TRANSIT SYSTEM INFORMATION AND PROMOTION**

EMBARK reserves the right to display advertising and information that pertain to EMBARK's operations, programs and promotions, including the distribution of materials, leaflets and literature within EMBARK facilities and vehicles consistent with the standards herein.

EMBARK Administrator or designee may authorize independent contractor (s) to self-promote for the purpose of selling the available inventory of advertising at the contractor's expense and is consistent with the standards herein.

## **VI. IN-KIND TRADE AND PARTNERSHIP ADVERTISING**

In-kind trade and partnership advertising resulting in an equal exchange of value from a third party may be executed at the discretion of the EMBARK Administrator or designee. The EMBARK Administrator or designee is authorized to grant use of the EMBARK logo for in-kind and partnership advertising purposes.

## **VII. PRODUCT DISTRIBUTION & LEAFLETING**

EMBARK Properties are not public forums for public discourse or expressive activity. Literature or product distributions, leafleting and similar activities can disrupt or delay customers, cause maintenance issues, and otherwise create safety issues for customers, operations, and surrounding environment. Accordingly, petition initiatives, political campaign activities, distribution of political or issues campaign literature, leafleting, and other information or campaign activities are prohibited on or within EMBARK properties.

On a limited basis and in conjunction with a "partnering" opportunity approved by the Administrator or designee, EMBARK may allow an advertiser to distribute items on or within EMBARK properties. Any distribution of literature, leaflets, coupons, products, samples or other items must be pre-approved by the EMBARK Administrator or designee and must strictly comply with this policy and any terms and conditions established by EMBARK.

## **VII. APPROVAL**

EMBARK and or its independent contractor shall reject advertising that does not comply with this policy.

EMBARK and or its independent contractor will work with advertisers to resolve issues regarding advertisements that do not comply with this policy. Resolution may include modification of the art, copy, or both, solely at the advertiser's expense.

## **VIII. APPEALS**

An advertiser may appeal a decision to reject or remove a paid advertisement by filing a written request with the EMBARK Administrator or designee within ten (10) calendar days after the rejection or removal decision. The advertiser's request must state why the advertiser

disagrees with the decision in light of EMBARK's Policy on Advertising.

The EMBARK Administrator or designee will review the basis for the rejected or removed advertisement and will consider the advertiser's reasons for filing the request.

The EMBARK Administrator or designee will make a decision on the request and will notify the advertiser of his/her decision in writing within ten (10) business days after receiving the advertiser's appeal request. The EMBARK Administrator or designee's decision is final and not subject to appeal.

**IX. COMPLAINTS**

Complaints regarding any advertisement shall be directed to the Administrator or designee.

**X. EMBARK'S RIGHTS**

EMBARK reserves the right to modify these policies as it deems necessary to comply with legal mandates, or to facilitate its primary function, or to fulfill the purpose of the advertising program, or to achieve the objectives of the advertising program.

**Exhibit G**  
**Sample Invoice**

Please Remit To:  
COTPA  
2000 S May Avenue  
Oklahoma City, OK 73108

**Exhibit "G"**  
**Sample Invoice**



Bill To:  
CITY OF NORMAN  
ATTN: CITY MANAGER  
P.O. BOX 370  
NORMAN OK 73070

INVOICE

Page: 1  
Invoice No: 0000100563  
Invoice Date: 04/20/2020  
Customer Number: 22  
Payment Terms: Net 30  
Due Date: 05/20/2020  
AMOUNT DUE: 165,558.32 USD



Amount Remitted

For billing questions, please call (405) 297-3702

Line	Adj	Identifier	Description	Quantity	UOM	Unit Amt	Net Amount
1			FYTD EXP 3/31 LESS PREV INVS	1.00	EA		149,172.44
2			ADMIN OVERHEAD AT 11%	1.00	EA		16,385.88

TOTAL AMOUNT DUE : 165,558.32

Sample

Original

**Exhibit G**  
**Sample Invoice**

**Please Remit To:**

COTPA  
2000 S May Avenue  
Oklahoma City, OK 73108

**Exhibit "G"**  
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CENTRAL OKLAHOMA  
TRANSPORTATION & PARKING  
AUTHORITY

**Bill To:**

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TOTAL AMOUNT DUE :

165,558.32

Sample

Original



Fiscal Year 2020  
August, 2019 - June, 2020

Last Updated 5/5/2020, 11:45 PM

Exhibit G-1  
Sample EMBARK Norman Performance Summary Report

EMBARK Norman - Fixed Route	2019	2019	2019	2019	2019	2020	2020	2020	2020	Fiscal Year 20 (Aug-June)					
	Aug	Sept	Oct	Nov	Dec	Jan	Feb	March	April	Grand Sum	Average Monthly PAX	Average Daily PAX	Ann. RPSH	Avg WC Carried Monthly	Avg Bikes Carried Monthly
<b>Operating Days</b>	20	20	23	20	21	22	20	22	22	<b>190</b>					
110 - Main Street	5,888	6,791	6,839	5,484	5,745	6,380	5,898	5,180	2,376	50,539	5,615	266	18	92	205
111 - Lindsey East	10,481	12,717	13,941	11,738	9,823	12,184	11,398	8,456	3,646	94,284	10,476	496	34	128	266
112 - Lindsey West	2,005	3,326	3,621	3,028	2,792	3,369	3,493	2,659	1,115	25,408	2,823	134	9	10	76
120 - West Norman Link	186	259	340	256	274	279	219	149	104	2,066	230	11	1	12	2
121 - Alameda / E. Norman	3,458	4,626	4,487	3,844	4,505	5,563	5,768	4,291	1,646	38,188	4,243	201	14	63	127
124 - Sooner Express	970	1,444	1,827	1,311	1,206	1,327	1,177	890	395	10,347	1,150	54	6	14	47
144 - Social Security	76	57	35	25	34	62	53	28	-	370	48	6	2	1	1
<b>Total Monthly PAX</b>	<b>23,064</b>	<b>29,220</b>	<b>30,890</b>	<b>25,666</b>	<b>24,379</b>	<b>29,184</b>	<b>28,004</b>	<b>21,833</b>	<b>9,182</b>	<b>221,202</b>	<b>24,578</b>	<b>1,164</b>	<b>15.53</b>	<b>320</b>	<b>724</b>
<b>Total Average Daily PAX</b>	<b>1,153</b>	<b>1,461</b>	<b>1,343</b>	<b>1,283</b>	<b>1,161</b>	<b>1,326</b>	<b>1,400</b>	<b>983</b>	<b>417</b>				<b>1,170</b>		
<b>Total Average Monthly PAX</b>	<b>3,295</b>	<b>4,174</b>	<b>4,413</b>	<b>3,667</b>	<b>3,483</b>	<b>4,166</b>	<b>4,001</b>	<b>3,090</b>	<b>1,170</b>		<b>3,535</b>				
<b>Revenue Hours Provided</b>	<b>1,527</b>	<b>1,526</b>	<b>1,755</b>	<b>1,530</b>	<b>1,605</b>	<b>1,680</b>	<b>1,524</b>	<b>1,669</b>	<b>425</b>	<b>4,243</b>					
<b>Monthly RPSH</b>	<b>15.10</b>	<b>19.14</b>	<b>17.60</b>	<b>16.78</b>	<b>15.19</b>	<b>17.36</b>	<b>18.38</b>	<b>2.96</b>	<b>6.44</b>	<b>17.44</b>					
<b>On-time Performance</b>	-	-	-	-	-	-	-	-	-						

	2019	2019	2019	2019	2019	2020	2020	2020	2020
	Aug	Sept	Oct	Nov	Dec	Jan	Feb	March	April
<b>Plus Applications</b>									
Plus New Applications Received								5	1
Plus Renewals Received								12	10
Plus Applications Approved								14	19
Plus Applications Denied								0	0
<b>Staffing</b>									
Budgeted Positions	36	36	36	36	36	36	36	36	36
EMBARK Norman Operators	15	13	14	14	14	14	14	14	14
EMBARK Norman Plus Operators	1	8	5	10	10	11	11	11	10
EMBARK Norman Support Staff	4	10	10	10	10	9	9	8	7
Vacancies	16	7	4	2	2	1	2	3	3
COVID Related Leave							0	2	2
<b>Total Filled Positions</b>							<b>34</b>	<b>33</b>	<b>33</b>
<b>Safety</b>									
Fixed Route Incidents - Preventable	0	0	1	0	0	1	0	1	0
Fixed Route Incidents - Non-Preventable	0	0	0	0	0	0	1	0	0
Paratransit Incidents - Preventable	0	0	0	0	1	1	0	0	0
Paratransit Incidents - Non Preventable	0	0	0	1	0	0	0	0	0
Claims Received	0	0	0	0	0	0	0	0	0