SECTION 5310: ENHANCED MOBILITY OF SENIORS AND INDIVIDUALS WITH DISABILITIES FY2018 & FY2019 APPLICATION

Application Due: May 2, 2019 at Noon -- Submit to: Section5310@rtachicago.org

DATE: 5/1/19

PROJECT TITLE: Ride Lake County West

APPLICANT INFORMATION

<table>
<thead>
<tr>
<th>Applicant’s Legal Name:</th>
<th>Lake County Division of Transportation (on behalf of the Lake County Coordinated Transportation Services Committee (LCCTSC))</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contact Person/Title</td>
<td>Emily Karry, Manager of Planning</td>
</tr>
<tr>
<td>Address</td>
<td>600 W. Winchester Road</td>
</tr>
<tr>
<td>City</td>
<td>Libertyville</td>
</tr>
<tr>
<td>State</td>
<td>IL</td>
</tr>
<tr>
<td>Zip code</td>
<td>60048</td>
</tr>
<tr>
<td>Telephone #</td>
<td>847-377-7400</td>
</tr>
<tr>
<td>Email Address</td>
<td><a href="mailto:ekarry@lakecountyil.gov">ekarry@lakecountyil.gov</a></td>
</tr>
<tr>
<td>DUNS #</td>
<td>175689330</td>
</tr>
<tr>
<td>Applicant Fiscal Year</td>
<td>December 1 to November 30</td>
</tr>
</tbody>
</table>

REQUEST TYPE (check all that apply)

- Operating
- Capital
- Mobility Management
- Administration
- New Project
- Continuation of an Existing Project

ORGANIZATION TYPE (check all that apply)

- Local Government Authority
- Private Non-Profit Organization
- Public Operator of Public Transportation Services
- Private Operator of Public Transportation Services

CERTIFICATIONS AND BOARD RESOLUTION See Appendix A.

Please provide an explanation for any documentation not submitted.

- Certifying Authority
- Local Share Certification
- Title VI Plan Certification (New Applicants Only)
- EEO Certification
- Single Agency Audit Certification
- Traditional Project Certification Eligibility-Units of Local Government (New Applicants Only)
- Private Non-Profit Organizations-Certification Eligibility
- Approved Board Resolution (authorizing application submittal and name of authorized official) see attached letter
SECTION 1: APPLICANT QUESTIONS

The following questions should be answered for all projects, unless otherwise noted. If you need additional space, attached separate document.

1. Describe the project (500 words)

The Ride Lake County West service is an existing project that has been operating since January of 2010. This service is currently in place for seniors 60+, individuals with disabilities and general public in Antioch, Avon, Fremont, Grant, Lake Villa and Wauconda Townships. The service also provides trips to and from set destinations outside of the six townships which include: Advocate Condell Hospital Campus (Libertyville), Fresenius Medical Care (Mundelein), Greenleaf Street Medical Destinations (Gurnee), Gurnee Mills shopping area (Gurnee), Lake County Center for Independent Living (Mundelein), Libertyville Sports Complex (Libertyville) and the Mundelein Metra Station (Mundelein). Without the Ride Lake County West service, there would be very limited paratransit and bus service in the western part of Lake County. In the six township area, bus service is currently limited to Pace On Demand Service in the Round Lake area (Route 590) and Pace Fixed Route 570 that runs from Fox Lake to the College of Lake County. Pace does not have plans to expand bus service in the western area of Lake County at this time. The Ride Lake County West program is the only dial-a-ride service in the area for seniors, individuals with disabilities and general public. General public is supported by funding from the townships only.
1a. Estimated number of individuals to be served by your project annually.

<table>
<thead>
<tr>
<th>Seniors 60 years of Age and Over (Projects Serving Seniors)</th>
<th>Unduplicated Number of Riders/Users Annually</th>
<th>Total Number of Trips/Users Annually</th>
</tr>
</thead>
<tbody>
<tr>
<td>Existing (Current Operations Only)</td>
<td>Projected*</td>
<td>Existing (Current Operations Only)</td>
</tr>
<tr>
<td>Projected*</td>
<td></td>
<td>Projected*</td>
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<tr>
<td>1443</td>
<td>1660</td>
<td>3777</td>
</tr>
<tr>
<td>3777</td>
<td>4344</td>
<td>6867</td>
</tr>
</tbody>
</table>

**Definition of Unduplicated Users/Riders:** Unduplicated Users/Riders are counted based on an annual basis. Each user/rider is counted only once annually, no matter how many times he/she utilizes the service or facility. If records are unavailable to accurately count the number of unduplicated users/riders, an estimate is acceptable.

*1b. Explain how you derived your projections (200 words)*

Existing users annually is the actual registered riders of the Ride Lake County West service from Pace Trapeze registered rider reports. Total number of existing trips annually is the actual number of one-way trips provided for the Ride Lake County West service from Pace Trapeze ridership reports for 2018. Understanding that this service has been in place for several years, the ridership and number of riders are somewhat developed. However, we may still increase in ridership and riders over the next few years given the aging population and as additional people move to the area and life circumstances change. For this application, an assumption of registered riders increasing by 15% and annual trips increasing by 15% was used.

1c. Provide the temporal and geographic scope of activities in the table.

<table>
<thead>
<tr>
<th>Day of Week</th>
<th>Operating Hours</th>
<th>Geographic Coverage</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Core Service Area</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Specify Municipal and County Areas Covered</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Special Destination Trips Outside of Core Service Area (if applicable)</td>
</tr>
<tr>
<td>Monday</td>
<td>5:30am-6:45pm</td>
<td>see attached document</td>
</tr>
<tr>
<td>Tuesday</td>
<td>5:30am-6:45pm</td>
<td>see attached document</td>
</tr>
<tr>
<td>Wednesday</td>
<td>5:30am-6:45pm</td>
<td>see attached document</td>
</tr>
<tr>
<td>Thursday</td>
<td>5:30am-6:45pm</td>
<td>see attached document</td>
</tr>
<tr>
<td>Friday</td>
<td>5:30am-6:45pm</td>
<td>see attached document</td>
</tr>
<tr>
<td>Saturday</td>
<td>N/A</td>
<td>see attached document</td>
</tr>
<tr>
<td>Sunday</td>
<td>N/A</td>
<td>see attached document</td>
</tr>
<tr>
<td>Day of Week</td>
<td>Operating Hours</td>
<td>Geographic Coverage</td>
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<tr>
<td>-------------</td>
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<tr>
<td></td>
<td></td>
<td><strong>Core Service Area</strong></td>
</tr>
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<tr>
<td><strong>Monday</strong></td>
<td>5:30am-6:45pm</td>
<td>Antioch, Avon, Fremont, Grant, Lake Villa and Wauconda Townships</td>
</tr>
<tr>
<td><strong>Tuesday</strong></td>
<td>5:30am-6:45pm</td>
<td>Antioch, Avon, Fremont, Grant, Lake Villa and Wauconda Townships</td>
</tr>
<tr>
<td><strong>Wednesday</strong></td>
<td>5:30am-6:45pm</td>
<td>Antioch, Avon, Fremont, Grant, Lake Villa and Wauconda Townships</td>
</tr>
<tr>
<td><strong>Thursday</strong></td>
<td>5:30am-6:45pm</td>
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<tr>
<td><strong>Saturday</strong></td>
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<td></td>
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<tr>
<td><strong>Sunday</strong></td>
<td>N/A</td>
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</tbody>
</table>
2. **What is your plan for assessing project performance?** *(200 words)*

Pace and the Lake County Division of Transportation provide ridership reports to partners on a regular basis with information on trip details, reservations, and denials that can assist LCCTSC, the service partners, the county and Pace in monitoring and evaluating service expansions and assessing future service improvements. Further, the ridership reports are detailed with information on trip purpose, user type, and average miles traveled. The LCCTSC and service partners work closely with Lake County and Pace to review the service performance and ridership to help ensure the service is being operated as productively as possible. This information also enables the county and LCCTSC to work towards future potential connections to the service. Service area maps can be prepared by the county on an as-needed basis utilizing data from Pace Trapeze for service planning purposes and discussions. Improvements to access, mobility, and operations are considered and evaluated from time to time by Lake County, the LCCTSC, service partners and Pace to ensure that improvements reflect a strategic investment. Monitoring service monthly ridership is the key to evaluating the service success and need.

3. **What entity is currently or will operate the service (operating projects only)?** *(200 words)*

Pace Suburban Bus

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4. **Specify what unmet needs this project is designed to meet and what strategies will be used to address those needs by checking all applicable boxes below.**

<table>
<thead>
<tr>
<th>HSTP UNMET NEEDS</th>
<th>HSTP STRATEGIES</th>
<th>Select Regional Strategies in CMAP ON TO 2050</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>MORE DETAILS: <a href="https://www.rtachicago.org/sites/default/files/documents/Exhibit%20A_HSTP.pdf">https://www.rtachicago.org/sites/default/files/documents/Exhibit%20A_HSTP.pdf</a></td>
<td>MORE DETAILS: ON TO 2050 Plan</td>
</tr>
<tr>
<td>Centralized Information</td>
<td>Improve Service Integration</td>
<td>Facilitate Partnerships for Service Sharing and Consolidation (pg 208)</td>
</tr>
<tr>
<td>Spatial Limitations</td>
<td>Improve Accessibility</td>
<td>Make Transit More Competitive (pg 255)</td>
</tr>
<tr>
<td>Temporal Limitations</td>
<td>Tools that Improve Productivity</td>
<td>Ensure Equitable Transit Access (pg 261)</td>
</tr>
<tr>
<td>Program Eligibility and Trip Purpose Limitations</td>
<td>Flexible Transit Services</td>
<td>Improve Access to Public Rights of Way for Pedestrians, Cyclists, Seniors, and People with Disabilities (pg 282)</td>
</tr>
<tr>
<td>Service Redundancies</td>
<td></td>
<td>Improve the effectiveness and accessibility of demand response services (pg 265)</td>
</tr>
<tr>
<td>Service Quality and Miscellaneous Issues</td>
<td></td>
<td>Transit providers, local governments, and the private sector should work together to explore new ways to provide targeted, flexible and/or on-demand service in EDAs, low density areas, and for seniors and people with disabilities (pg 266)</td>
</tr>
<tr>
<td>Sustainability</td>
<td></td>
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</tbody>
</table>

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1 The assessment could be based on any number of factors, for example: number of trips; seniors served; individuals with disabilities served; quality of service; on-time performance; outreach; coordination; etc. The RTA will require detailed project status reports with performance information from all projects. Beyond that, subrecipients will be asked to provide additional performance metrics specific to their projects in status reports.
5. How will you utilize the strategies you identified in Question 4 to address your unmet needs?

(Sample response)

Several existing spatial and temporal limitations were addressed with the launch of this coordinated service across the four initial township boundaries in 2010 (Antioch, Avon, Grant and Lake Villa) and further addressed with the expansion of service area to include Wauconda and Fremont Townships in 2012. Beginning January 1, 2014, the hours of service and days of service were increased in these Wauconda and Fremont townships to reflect the same levels of service as the initial four townships. Ey destinations outside of the six townships are also a part of the Ride Lake County West service area and include Gurnee Mills, Greenleaf Medical Offices, Advocate Condell Medical Campus, downtown Mundelein, and Metra stations is Mundelein and Libertyville. Lake County, the project partners and the LCCTSC continue to monitor, evaluate, and assess future service improvements as well as future potential connections and destinations. Service sustainability is also important to the project steering committee and is addressed by multiple partners contributing to cover the cost of the service with funding provided by Pace, Lake County, the six Townships and Section 5310 funds through the RTA.

Integrating and improving access to other transit services via the Ride Lake County West dial-a-ride service is an important component of service implementation. Eligible passengers can use the Ride Lake County West service to connect with other available transit services operating in Lake County, including Metra, Pace fixed route, other Pace dial-a-ride services, and Pace's On Demand services in the Vernon Hills-Mundelein area and the Round Lake area. Also, the Pace pulse point at the College of Lake County in Grayslake is located within the Ride Lake County West service area allowing for more seamless connections to various Pace services. Passengers can also travel to McHenry County locations such as the cities of McHenry and Crystal Lake via transfer to the McHenry County “MCRide” dial-a-ride service. Passengers can travel toward Cook County with a transfer at the College of Lake County onto other Pace services. Additionally, residents can use the Ride Lake County West to connect to Metra service operating on the North Central Line and the Milwaukee District – North Line. Ride Lake County West seeks to expand its reach via integration and coordination with other providers and services, including services provided by human service agencies. Sharing information and coordinating with other services allows the LCCTSC, the project partners, Lake County and Pace to more effectively manage demand for the service while improving access. In addition, the Ride Lake County West Steering Committee worked with Pace to merge the Ride Lake County West and Pace’s Northwest Lake Dial-a-Ride service in 2016 as a public-facing in integrated and coordinated system in Lake County.

The Ride Lake County West Service also aligns with several goals of CMAP’s On to 2050 regional plan. The project facilitates partnerships for service sharing among local governments and improves effectiveness and accessibility of demand response services, as several entities are pooling resources together in a common service rather than each of them running their own separate services to cover the same large six township area for their own respective residents. The service also makes transit more competitive in that the mileage-based fare to take the service is fairly modest and allows for travel across the six township area and to set service destinations. The service also ensures equitable transit access in that the service is provided for seniors and people with disabilities and also allows general public/low-income riders, with the cost of the general public trips covered by township contributions. Service information is published in both English and Spanish to address the largest language populations in Lake County, which also supports equitable access for non-English speakers. Finally, the project is an example of the area transit provider (Pace) working with local governments (Lake County and Townships) and the LCCTSC (other local governments and non-profits) to provide demand response transportation in EDAs and low density areas for people with disabilities, seniors and general public/low-income riders. There is an identified EDA area in the center of the Ride Lake County West service area and another toward the south end of the service area.

In late 2016, the Lake County Division of Transportation initiated the Lake County Paratransit Market Analysis Study to help further the initiative of coordinated paratransit service in Lake County. This study’s main goals are to assess existing services, identify current and unmet needs that limit mobility and to develop a sustainable implementation plan to improve mobility for the Lake County region. The study is expected to be completed in the spring of 2019 and will be used to guide further coordination and service improvements for Ride Lake County West.
The Ride Lake County West Service is one element of the transportation system for residents in Lake County and relies on the coordination with other agencies and providers. The 2011 Ride Lake County West survey indicated that many of its passengers use other services such as Metra, Pace Route 570, Round Lake On Demand (formerly Call-n-Ride), taxi services, Pace ADA Paratransit, and services provided by human service agencies. The LCCTSC Ride Lake County West Steering Committee was established to oversee the implementation of the Ride Lake County West Service in 2009 and has continued to be in place over the years. This Steering Committee includes representatives from the six townships, two human service agencies, Pace and Lake County. As such, planning efforts are on-going in Lake County that involve human service agencies, township/municipal staff and officials, Lake County staff, Pace, and Metra and the potential coordination of services. Not only does the Ride Lake County West service require the coordination and cooperation of public transportation providers like Pace and Metra, but it also requires coordination with human service transportation (HST) agencies and private, non-profit organizations. These human service organizations provide an important role in providing transportation and input on transportation throughout Lake County and also help disseminate information about the various services. Although HST agencies provide services throughout the county, their service is typically limited to specific rider groups and typically comes with program eligibility and trip purpose restrictions. Information and notifications about the Ride Lake County West service and connections to other services is provided via websites, printed and/or electronic newsletters, human service agencies, townships, Lake County, the LCCTSC, and Pace.

As previously mentioned, eligible Ride Lake County West passengers can use the service to connect with other available transit services operating in Lake County, including Metra, Pace fixed route, Pace dial-a-ride service, and Pace On Demand services. The Pace pulse point at the College of Lake County is located within the Ride Lake County West service area allowing for more seamless connections to various Pace services. Key destinations outside of the six townships service area have been included as part of the Ride Lake County West service area, including Gurnee Mills, Greenleaf Medical Offices, Advocate Condell Medical Center, downtown Mundelein, and Metra stations in Mundelein and Libertyville, which also allow riders to connect to various Pace and Metra services that also serve these destinations.

Passengers can also travel to McHenry County locations such as the cities of McHenry and Crystal Lake via transfer onto the McHenry County “MCRide” dial-a-ride service. Passengers can travel toward Cook County with a transfer at the College of Lake County. Additionally, residents can use the Ride Lake County West service to connect to Metra service operating on the North Central Line and the Milwaukee District – North Line as several Metra stations are located within the service area. By enabling trips to and from the Fox Lake Metra station and other transfer points, the MCRide service also enable riders to ride on the Ride Lake County West service. In 2016, the Ride Lake County West Steering Committee and the McHenry County Division of Transportation worked together to create seamless transfers between the dial-a-ride services in each county to promote borderless transportation for users.

Priority has always been given to seniors (60+) and people with disabilities. Rides are offered on a first come, first served basis with a one-day advance reservation. Passengers may make reservations 7 days in advance for work, medical appointments and College of Lake County trips. All other trips are considered secondary.
9. How will the project be marketed to the target population? Include information on how populations with Limited English Proficiency will be apprised of the project and whether marketing materials will be available in other languages. (200 words)

The LCCTSC has been proactive in promoting and marketing the Ride Lake County West service through the development of outreach materials and coordination with the townships and Pace. The Ride Lake County West Riders Guide was updated in 2016, produced in English and Spanish, and includes information on how to register, fares, how to schedule a trip, where and when service can be used, and how to transfer to other services. Information and notification about the Ride Lake County West service is provided via websites, published and/or electronic newsletters, human service agencies, townships, Lake County, the LCCTSC, and Pace. Further, the use of human service agencies, churches, senior centers, private non-profit organizations, the Lake County Center for Independent Living and word of mouth, are also envisioned as potential tools that can be used to engage the target population and people with limited English proficiency or who speak another language primarily. Additionally, information about the service is posted on the LCCTSC's website, which is hosted at the Lake County Division of Transportation's website: http://www.lakecountyil.gov/194/Paratransit.

10. Provide a list of federal grants that your agency has administered within the last three years. (200 words)

The Lake County Division of Transportation has experience administering many federal grants for various project types that include roadway improvements, non-motorized transportation, transportation studies and public transportation. Examples of such grants are the Surface Transportation Program (STP), Congestion Mitigation and Air Quality Improvement Program (CMAQ), Unified Work Program (UWP), Illinois Transportation Enhancement Program (ITEP), Transportation Community and System Preservation Program (TCSP), and New Freedom and Section 5310 FTA grants.

11. During the course of the project, do you expect to provide an overmatch? (All operating projects in the traditional category provide an overmatch). If yes, provide the source of the overmatch. (200 words)

Yes, the Ride Lake County West township partners currently contribute a total of $40,000 a year to the program from township funds. This overmatch pays for general public rides that are not covered by the Section 5310 funding and also helps prolong grant funding. Overmatch is used within each calendar year based on the service provided within that calendar year and is somewhat fluid as the amount of overmatch used per month varies based on the service trips provided in each respective month.

Further in early 2016, the Lake County Public Works and Transportation Committee (PWT) of the Lake County Board endorsed the Lake County Division of Transportation Paratransit Coordination with LCCTSC Policy. This policy further aims to create sustainability of grant funding where partners agree to developing a sustainability plan within 2 years of the date that grant funded pilot project service is initiated. In year 3 of the grant cycle, county funding decreases and partner funding increases thus creating a local match beyond the county match to grants.
SECTION 2: BUDGET REQUEST

OPERATING BUDGET REQUEST
The project operating budget estimate should be based on actual annual expenditures for existing services. Budgets for New Services without an operating history should detail the sources of their estimated budgets. Applicants who are operating their own services shall fill out Items A-D in the Budget Details. Applicants who are contracting for service should only fill out Item E.

Budget Detail Year 1

<table>
<thead>
<tr>
<th>Estimated Operating Expenses</th>
<th>$</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Wages, Salaries &amp; Benefit</td>
<td>$</td>
</tr>
<tr>
<td>b. Maintenance &amp; Repair</td>
<td>$</td>
</tr>
<tr>
<td>c. Fuel</td>
<td>$</td>
</tr>
<tr>
<td>d. Insurance</td>
<td>$</td>
</tr>
<tr>
<td>e. Contract Services (specify):</td>
<td>$</td>
</tr>
</tbody>
</table>

Total Operating Expenses: $326,000
Less Estimated Revenue: $ (37,100)
Net Operating Cost: $288,900
Total Section 5310 funding request: $144,450
Local Share (50% of net operating cost): $144,450

Budget Detail Year 2

<table>
<thead>
<tr>
<th>Estimated Operating Expenses</th>
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<tbody>
<tr>
<td>a. Wages, Salaries &amp; Benefit</td>
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<tr>
<td>b. Maintenance &amp; Repair</td>
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<td>c. Fuel</td>
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<tr>
<td>d. Insurance</td>
<td>$</td>
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<tr>
<td>e. Contract Services (specify):</td>
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</table>

Total Operating Expenses: $326,000
Less Estimated Revenue: $ (37,100)
Net Operating Cost: $288,900
Total Section 5310 funding request: $144,450
Local Share (50% of net operating cost): $144,450

CAPITAL BUDGET REQUEST

<table>
<thead>
<tr>
<th></th>
<th>Federal Request 80% of Total Cost</th>
<th>Local Share 20% of Total Cost</th>
<th>Total Cost</th>
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<tbody>
<tr>
<td>Facility Improvement</td>
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<tr>
<td>Computer Software Hardware/Technology</td>
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<td>$</td>
<td>$</td>
</tr>
<tr>
<td>Total Capital Request</td>
<td>$</td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

Rolling Stock is not eligible.
MOBILITY MANAGEMENT BUDGET REQUEST

<table>
<thead>
<tr>
<th>Major Activities</th>
<th>Federal Request 80% of Total Cost</th>
<th>Local Share 20% of Total Cost</th>
<th>Total Cost</th>
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<tr>
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<tr>
<td><strong>TOTALS</strong></td>
<td>$</td>
<td>$</td>
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</tr>
</tbody>
</table>

Mobility management consists of short-range planning and management activities and projects for improving coordination among public transportation and other transportation service providers carried out by a recipient or subrecipient through an agreement entered into with a person, including a government entity, under 49 U.S.C. Chapter 53 (other than Section 5309). Mobility management does not include operating public transportation services.

ADMINISTRATION BUDGET REQUEST (ITEMIZE)

<table>
<thead>
<tr>
<th>Item</th>
<th>Cost</th>
<th>Federal Request 100% of Total Cost</th>
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</tr>
<tr>
<td><strong>TOTALS</strong></td>
<td>$</td>
<td>$</td>
</tr>
</tbody>
</table>

All administration expenses must directly support the project and may not exceed 10% of the total federal share requested. Only direct costs are eligible for reimbursement, unless your organization has a cost allocation plan approved by your federal cognizant agency.

1. **Describe the methodology used to develop the budget.** (200 words)

   The budget request is based on the 2018 service cost provided on Pace’s monthly cost summary for the year and includes the operating and call center cost for the service.
Appendix A

CERTIFICATIONS AND BOARD RESOLUTION
CERTIFYING AUTHORITY

I am duly authorized to make the following certification on behalf of the Applicant Organization and based on my position, knowledge and experience with the Applicant Organization:

1) the information contained in the Application, including attachments, is true and correct;

2) the Applicant has the requisite fiscal, managerial, and legal capabilities to carry out the operations and maintenance of the Project in accordance with 49 U.S.C. Section 5310; and

3) the Applicant shall adhere to the federal, state and local requirements related to the Project.

Note: Authorized Official should be that of the official named in the Governing Board Resolution unless other documentation is provided.

Signature of Authorized Official  
4/24/19  
Date  

Director of Transportation/County Engineer  
Title
LOCAL SHARE CERTIFICATION FORM

I, the undersigned representing the Lake County Division of Transportation, Shane Schneider, do hereby certify to the Regional Transportation Authority, that the required $288,900 in local match funds are available and that the source of the funds are from 1/4% Sales Tax for Transportation Funds and comply with local share requirements in FTA Circular 9030.1E, which are:

a. Cash from non-governmental sources other than revenues from providing public transportation services;
b. Non-farebox revenues from the operation of public transportation service, such as the sale of advertising and concession revenues. A voluntary or mandatory fee that a college, university, or similar institution imposes on all its students for free or discounted transit service is not farebox revenue;
c. Amounts received under a service agreement with a State or local social service agency or private social service organization;
d. Undistributed cash surpluses, replacement or depreciation cash funds, reserves available in cash, or new capital;
e. Amounts appropriated or otherwise made available to a department or agency of the Government (other than the Department of Transportation); and
f. In-kind contribution such as the market value of in-kind contributions integral to the project may be counted as a contribution toward local share.

Note: Authorized Official should be that of the official named in the Governing Board Resolution unless other documentation is provided.

Signature of Authorized Official
Date
Director of Transportation/County Engineer

Title
EQUAL EMPLOYMENT OPPORTUNITY (EEO)
CERTIFICATION FORM

Agencies that have 50 or more transit-related employees are required to prepare and maintain an EEO Program. Transit-related employees are defined as all part-time employees and employees with collateral duties that support the transit program. For example, anyone who processes payments for a 5310-funded project would be considered a transit-related employee.

I, the undersigned representing the Lake County Division of Transportation, Shane Schneider

(Insert Legal Name of Applicant)  (Insert Name of Authorized Official)

do hereby certify to the Regional Transportation Authority,

☐ This organization will not have 50 or more transit-related employees even if awarded this project.
☐ This organization has 50 or more transit-related employees and attached is our EEO Program.
☐ This organization will develop and submit an EEO Program should we be awarded a 5310 project and have more than 50 transit-related employees.

[Signature]
Signature of Authorized Official

4/26/19
Date

Director of Transportation/County Engineer

Title
Section II
Employment With Lake County

2.1 Equal Employment Opportunity

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2.16 Temporary Supplemental Hiring Procedures
2.1 Equal Employment Opportunity

*Effective Date: June 15, 1992*
*Revision Date: November 10, 1992*

**Policy**
The policy of Lake County in regard to equal employment opportunity continues to require employment, promotions and all employee actions to be based solely on individual merit and personal capabilities without regard to race, religion, color, national origin, age, disability or sex; except where sex is a bona fide occupational qualification. This policy requires the full cooperation of all Lake County employees in this regard. We are obligated to follow this policy on the basis of common decency rather than on the basis of our legal requirements.

In reaffirmation of the aforementioned policy, the Lake County Board adopted the Affirmative Action Plan Ordinance.

Responsibility for correlating and implementation of the plan and related activities throughout the County has been assigned to Human Resources.

Your cooperation and support in Affirmative Action Plan efforts is essential in assuring equal employment opportunities in all County operating facilities.*

*Passed as Statement of Policy on Lake County Affirmative Action Plan Ordinance adopted by the Lake County Board, September 9, 1975.*
2.2 Affirmative Action Program Summary

Effective Date: Original
Revision Date: November 10, 1992

Policy
To implement our Equal Employment Opportunity policy, the Lake County Affirmative Action Plan has been adopted. The Affirmative Action Plan shall affect employee actions and shall be implemented by the Director of Human Resources. Each Department Head is charged with conforming to the action plan in administering these policies.

Procedures
(1) **Recruitment:** We will consider qualified minority group and female applicants for vacancies in all job classifications in conjunction with our established policy of advancement and promotion from within on the basis of individual qualifications, potential and job performance.

   a. Public employment offices used by the County will be advised of our equal employment policy and will be urged to refer qualified minority group and female applicants to us as the need arise.
   b. When advertising in newspapers, we will use the term "Equal Opportunity Employer" in all such employment advertisements.
   c. When recruiting is necessary at schools and colleges, we will notify minority group and women member organizations.

(2) **Job Placement and Promotions:** We will provide promotional and upgrading opportunities to all qualified minority group and female employees by the following action:

   a. Communicate policy of promotion from within of qualified employees to minority group and female employees during performance reviews.
   b. Brief supervisors at all levels of management that the County intends to insure utilization of all candidates for promotions from within.
   c. Review objectively all qualifications of all candidates for promotions from within.

(3) **Training and Development**

   a. All training and educational programs conducted on the job will be reviewed periodically to be certain that all employees, including minority group and female employees, are given equal employment opportunity to participate in these programs.
   b. All County supported or sponsored training seminars for supervision will be available for minority group and female supervisors and they will be encouraged to participate.
(4) **Compensation and Employee Benefits:** We will pay all employees fairly according to their job classification. County supported benefit programs for employees will be made equally available to minority group and female employees without discrimination.

(5) **Working Conditions and Facilities:** None of our facilities will be segregated.

(6) **Reduction in Force and Terminations:** Whenever necessary to reduce our work force, recall to work will be made without regard to race, creed, color, sex, age, national origin, or religion. When it becomes necessary to terminate any employee, such termination will be for cause without discrimination due to race, creed, color, sex, age, national origin or religion.

(7) **Communication of EEO Policies:** The County will take appropriate steps to insure that all employees know of our sincere desire to support and take affirmative action toward providing equal employment opportunity such as the following:
a. Bulletin board showing official EEOC Poster and EEOC policy  
b. Employee Handbook  
c. Policy Manual  
d. Employee Newsletter  
e. Supervisory-employee meetings  
f. Supervisory staff meetings

(8) **Affirmative Action Program Coordinator:** The Director of Human Resources or his/her designated representative will act as the County Equal Employment Opportunity Policy Coordinator(s). He or she will be given appropriate authority and responsibility to administer and coordinate this program. This official will coordinate the efforts of all managerial and supervisory employees. He or she will advise and assist top management of our County and will make periodic reports of progress under this Affirmative Action Program to the County Administrator and the Financial and Administrative Committee with recommendations whenever appropriate.

**Purpose**
The Affirmative Action Plan has been developed because the County is legally required to establish and promote it. The 1964 Civil Rights Act has been interpreted in Federal administrative regulations and in court cases as mandating the system and actions outlined above. Management in the County has a responsibility of being aware of the County's responsibilities in this critical area and in working with Human Resources in its successful completion of this program.
2.3 Qualifications of Applicants

*Effective Date:* Original  
*Revision Date:* November 10, 1992  
*Revision Date:* February 12, 2002

**Policy**

Applicants hired for employment with Lake County must meet the minimum qualifications established in the approved job description. Only when no applicants can be found who meet the minimum established position qualifications, will individuals possessing lower qualifications be hired. Should any applicant make any misrepresentation of their credentials, work history, education, or any other criteria for selection, whether discovered at the time of application or after accepting an offer of employment, any offer of employment will be withdrawn and employment will be terminated.

**Pre-Employment Physicals**

After a conditional offer of employment has been extended, but before the individual has started work, a medical examination is required, including a drug screen. The offer of employment is conditioned on the results of the medical examination and drug screen.
2.4 Definition of Employment Status

Effective Date: Original
Revision Date: December 3, 1983
Revision Date: February 12, 2002

Policy

(1) The terms below shall be interpreted as indicated:

a. Employees--All persons who receive wages or salaries from the county and who occupy positions classified under the Lake County Classification Policy. Regarding group health, life and dental insurance, elected and appointed officials whose positions are not classified, but who work twenty (20) or more hours per week are considered employees.

b. Introductory Employees--The introductory period for new employees is six (6) months. If the department head and the Director of Human Resources determine that the designated introductory period does not allow sufficient time to thoroughly evaluate the employee's performance, the introductory period may be extended up to an additional three (3) months. During this period, the employee has an opportunity to demonstrate proper attitudes and abilities for the position for which employed. He/she may be dismissed or terminate from employment without prior notice or obligation during this period. Employees serving an introductory period are not eligible for paid leave for sickness or for paid dental insurance. However, they are eligible for all other benefits and after the introductory period is over, sick pay will be accrued from the date of employment.

c. Regular Full-Time Employees--Those employees who work the customary number of hours weekly (37½ or more) and who maintain continuous employment status. Under special conditions (illness) a regular full-time employee may work less than 37½ hours weekly for a specified short term (three month maximum) without losing full-time employee benefits. All regular full-time employees are eligible for all employee benefits including IMRF, group insurances, paid vacations, paid sick leave, paid holidays, etc.

d. Regular Part-time Employees--Those employees who work less than the customary number of full-time hours weekly (37½), but in no event less than twelve (12) hours and who maintain continuous regular employee status. Regular part-time employees will be eligible for the following employee benefit programs: IMRF, pro rated sick leave, pro rated vacation, holidays they are normally scheduled to work, Worker's Compensation Insurance and Unemployment Insurance.

e. Temporary Full-Time Employees

(i) Limited Duration Those employees whose service is intended to be of limited duration, such as during the summer months, but who work the customary number of full-time hours. These temporary full-time employees are eligible for paid holidays, provided that they are scheduled to work on the paid holiday. These temporary employees are not eligible for any employee benefits except worker's compensation and unemployment insurance. Under no circumstances should a
temporary full-time employee for a short term duration work more than six hundred (600) hours in one calendar year.

(ii) **Extended Duration** An incumbent's position, temporarily vacated due to authorized leave of absence, may be filled on a temporary basis by an employee whose services are to be of extended duration, but not regular. Temporary full-time employees who work the customary number of full-time hours, are eligible for paid holidays provided they are scheduled to work on the paid holiday. These employees are eligible for employee benefits including IMRF, health, life and dental insurance, sick leave, vacation (provided they work the required number of hours) and worker’s compensation and unemployment insurance.

f. **Temporary Part-Time Employees**—Those employees who work less than the customary number of full-time hours weekly (37½) and who do not maintain continuous regular employment status. Temporary part-time employees are not eligible for any employee benefits except worker's compensation insurance and unemployment insurance.

**Purpose**

(1) The purpose of this policy is to standardize terminology and insure common understanding in our references to employees.

(2) To provide reasonable guidelines for the expense to be incurred in employing individuals for different reasons.
2.5 Personnel Requisition Procedures

*Effective Date:* Original  
*Revision Date:* November 10, 1992

**Policy**
Department Heads and appropriate County Board Committees are responsible for the final selection and filling of positions within the departments. Department Heads must notify the Director of Human Resources of their need to fill a vacancy (see Section 2-9, Position Inventory).

**Purpose**
(1) To insure that adequate and updated information is provided for recruitment and selection procedures.

(2) To provide controls to insure that our objectives in equal employment opportunities and all of our personnel system goals are met.

**Procedure**
(1) Department Heads must complete a Personnel Requisition Form (PF-02).
(2) The Human Resources Director is to insure compliance by not signing a Personnel Action Form (PF-04) of a new hire unless a requisition notifying Human Resources of the position vacancy was received in advance.
2.6 Personnel Recruitment Procedures

*Effective Date:* March 1, 1989  
*Revision Date:* February 9, 1999

**Policy**

It is the policy of Lake County to hire the best qualified employees available for all jobs. The widest possible distribution of information on vacant County Positions will be attempted. It is also our policy to encourage a career service within the County by promoting present employees whenever possible to fill vacancies.

**Purpose**

1. To encourage employee morale and retain employees by demonstrating that promotional opportunities exist.
2. To insure that our equal employment opportunity goals are met by actively publicizing our position openings.
3. To insure that the highest standards of public service are maintained by employing the most qualified individuals.

**Procedures**

1. Human Resources is to prepare a notice of a position vacancy and post that vacancy in selected spots in the County. The notice will be based on information supplied in the Personnel Requisition Form (PF-02).
2. Efforts will be made to post vacant positions internally for five (5) days to insure that existing employees are made aware of vacancies. This will apply to all positions except those at the entrance level.
3. If an existing employee from another department is selected to the vacancy, two (2) weeks notice will be given.
4. Employee referrals will be encouraged. Our existing employees can often be excellent sources of recruitment. Many excellent employees have been referred from present employees.
5. Advertising- will be placed by the Director of Human Resources at his/her discretion.
6. Job fairs, campus recruitment and walk-in applicants.
7. State Employment Service will be notified of position vacancies.
8. Employment agencies may be utilized if approved by the Director of Human Resources and the Financial and Administrative Committee.
9. In difficult recruitment markets, the Director of Human Resources may, upon the recommendation of the department head and with the concurrence of the Financial and Administrative Committee, post a referral bonus to be awarded to existing employees for a successful new employee referral and/or designate a signing bonus for prospective employees. The application of any referral or signing bonus must be reviewed by Human Resources and the Financial and Administrative Committee at least annually.
2.7 Receipt of Employment Applications

Effective Date: Original
Revision Date: February 9, 1999

Policy
Applications for employment are to be received only at Human Resources or at a location authorized by the Director of Human Resources for receipt of applications. Resumes may be accepted, but all applications must be on an approved County Employment Application, prior to the interview process.

Purpose
(1) Record-keeping requirements of our Federally mandated Affirmative Action Plan require that all applications be received and recorded at a central location.
(2) Human Resources was established to relieve operating departments of the task of receiving employment applications and inquiries.
(3) Human Resources must have in initial involvement and control in the employment functions if it is to accomplish its goals and objectives.

Procedures
(1) All applicants for employment will be referred to Human Resources where they are to complete the County Employment Application.
(2) Copies of employment applications will be sent to departments as requested by applicants.
(3) Present employees wishing to apply for a posted vacancy should be referred to Human Resources.
(4) The Director of Human Resources may authorize the receipt of applications at other locations if, in his/her judgement, it would present undue hardship and expense to require applicants to report to Human Resources.
2.8 Selection of Employees

Effective Date: November 6, 1986
Revision Date: October 14, 1997

Policy
Applicants are to be employed only after they have been subject to employment investigation into their educational and work background and personal references. Only fully qualified applicants will be considered for employment.

Procedures

(1) Applicants for employment may be screened by Human Resources before being interviewed by Department Heads and/or administrative personnel. Items which may be reviewed by Human Resources include:
   a. Written application.
   b. Verification of references.
   c. Record check (where applicable).
   d. License verification (where applicable).
   e. Copies of certificates of training received.

(2) Applicants will be selected for interview(s) by Department Heads or their designated representatives.
   a. The hiring authority is encouraged to prepare standard questions that shall be used to query candidates selected for an interview.
   b. A copy of documents (e.g., standard questions, test results, interview records) relating to the selection shall be forwarded to Human Resources, upon completion of the selection process.
   c. The hiring authority shall complete and return to Human Resources the application transmittal log.
   d. Department Heads must submit a Personnel Action Form (PF-04) to Human Resources for approval before an employee starts work.

(3) In compliance with the Immigration Reform and Control Act of 1986, all employees hired after November 6, 1986 will complete the Form I-9, Employment Eligibility Verification, and submit copies of supporting documents within the time frames outlined in the Act. The hiring department shall:
   a. Check documents establishing employees’ identity and eligibility to work.
   b. Copy the appropriate documents.
   c. Properly complete the employer’s part of the Form I-9.
   d. Submit to Human Resources Form I-9, supporting documentation and Personnel Action Form.

Human Resources shall:
   e. Retain the form for at least three years (should the person be employed for more than three years the form shall be retained one year after the person terminates employment).
   f. Upon request from the INS or DOL present the Form I-9 for inspection.
In compliance with the Healthcare Worker Background Check Act, all employees at Winchester House who have duties involving direct care for nursing home residents will be subject to a criminal history record check. The County reserves the right to conditionally employ an applicant to provide direct care for up to 3 months pending the results of a criminal history record check.

Any applicant hired conditionally may be terminated if the criminal records report indicates that the applicant has a record of conviction of any of the criminal offenses enumerated in the Healthcare Worker Background Check Act, unless the applicant’s record is cleared based on a fingerprint-based records check or the employee receives a waiver pursuant to the provisions of the Healthcare Worker Background Check Act.

NOTE: A detailed list of approved documents and other pertinent information is included in the HANDBOOK FOR EMPLOYEES prepared by the U. S. Department of Justice.
2.9 Position Inventory

Effective Date: December 13, 1983
Original Date: November 10, 1992

Policy
All regular full-time and part-time employees, paid from the 5010 account and the 5020 account for (regular part-time) will be maintained on the position inventory. The inventory is designed as a continuous monitor of the salary account and will include:

1. all classified positions by department.
2. the incumbent filling the position or vacancy.
3. the amount budgeted for each position.
4. earnings paid to date.
5. encumbered and unencumbered budgeted amount.

Purpose
The purpose of the position inventory is to establish an effective system for budgeting by position and classification. It will allow the County Board and its Financial and Administrative Committee to more adequately monitor and administer the personnel function in Lake County. It will provide the means by which the County Board’s budgetary authority can be efficiently administered. It will allow for improved recruitment and placement by separating and defining budgetary and policy decisions as opposed to administrative tasks.

Procedure
It will be the responsibility of the Director of Human Resources to maintain the position inventory. To assist in the maintenance, the following regulations will be effective:

1. The effective date of terminations as reported to Human Resources, shall be the last day worked.
   a. The payroll termination must equal the IMRF termination date so that when an employee files the appropriate IMRF papers he can receive the proper pension credits and/or proper separation of benefits from IMRF.
   b. On the termination date the employee must cash out all benefits that were accrued on the next paycheck. Those benefits would include vacation pay, sick leave pay, overtime pay, compensatory time pay and floating holiday pay.
   c. Because of the continued cost to the County in terms of health, life and dental benefits, an employee must not be continued on the payroll after their effective termination date. Any accrued benefit payments must be cashed out on the next available payroll date after the termination date.

2. Only those positions budgeted under the 5010 account and the 5020 account as defined in Section 2-4, will be included in the position inventory.

3. A vacant position may be replaced by the Department Head’s authorization. A new hire into a budgeted vacancy, will be submitted to Human Resources, where a check of an
actual vacancy will be conducted. A review of compliance with the personnel policies and the Compensation and Classification Plan will also be accomplished. Once Human Resources has established compliance with existing policies and the position inventory, the Personnel Action Form (PF-04) will be issued to the Director of Finance for issuance of pay.

(4) All changes to positions within a department must be submitted to the Financial and Administrative Committee for approval. This is to include:
   a. classification changes.
   b. pay raises other than introductory increases.
   c. the addition or reduction of a budgeted position.
   d. the hire of individuals into a department where no budgeted position exists.

(5) Transfers from one budgeted position to another budgeted position, promotions from one budgeted position to another budgeted position and terminations of employees who are listed in the inventory are to be treated as administrative tasks. These changes to the inventory need Department Head authorization and approval of Human Resources.

(6) All documents including application forms, health status reports, resumes, letters of resignation, cause for termination or other pertinent information that is required by the Director of Human Resources to insure compliance with existing policies and procedures shall be supplied to him on request.
2.10 Hiring of Relatives

*Effective Date:* Original
*Revision Date:* November 10, 1992

**Policy**

It is the policy of Lake County to hire the best qualified employees available for all jobs. Members of an employee's immediate family will be considered for employment on the basis of their qualifications. Nevertheless, the County may decline to hire any person closely related to an employee when the County believes that it has a legitimate business interest raising a bonafide occupational qualification. Such bonafide occupational qualifications include but are not limited to an override of generally accepted accounting principles or principles of internal control.
2.11 Rehire of Former Employees

*Effective Date: Original*

*Revision Date: November 10, 1992*

**Policy**

Former employees of Lake County may be considered for re-employment with the County under the following conditions:

1. The employee gave satisfactory advance notice.
2. The employee left for good reason.
3. The employee's last evaluation was satisfactory or better.

**Procedure**

1. All selection procedures as established in this manual must be followed in addition to the above stated conditions.
2. Human Resources is responsible for insuring that the conditions of this policy have been satisfied.
3. The employee will be asked on both the application and during oral questioning if he has worked for the County. If he indicates that he has not been formerly employed with the County and it is later known that he was, this will be grounds for termination.
2.12 Induction of New Employees

Effective Date: Original
Revision Date: November 10, 1992

Policy
All newly hired employees will be sent to Human Resources or to an authorized representative in a larger department, i.e. Division of Transportation, Winchester House, Sheriff’s Department, for induction, where appropriate, into County group health, dental, life, the Illinois Municipal Retirement Fund and to prepare withholding forms.

Procedure
(1) Newly hired employees will go to Human Resources.
(2) In the absence of special circumstances, all new hires are to begin on the first day of a pay period.
(3) Human Resources will be responsible for completing all forms necessary to participate in eligible benefits with the employee. These will include:
   a. Group health insurance
   b. Group dental insurance
   c. Group life insurance
   d. Illinois Municipal Retirement Fund
   e. State and Federal withholding forms
(4) Human Resources will explain the benefits to the employee, explaining coverage and the methods of using the insurance. Additional explanatory material will be provided for the employee's later reference.
(5) Human Resources will provide material outlining personnel policies.
(6) Human Resources will issue an identification card to the new employee.
(7) The identification card will serve as after-hours pass for the County Building if the new employee is authorized by the Department Head for such access.
2.13 Orientation of New Employees

Effective Date: Original
Revision Date: November 10, 1992

Policy
All newly hired regular full-time employees or former employees rehired after a six (6) month separation will be oriented in order to accomplish the following objectives:

1. To promote employee identification with the County.
2. To set the stage for a high level of motivation by integrating the interests and goals of the County with those of the individual.
3. To thoroughly acquaint the new employee with every detail of his/her new job.

Procedure
Human Resources will provide orientation materials for new employees. The new employee orientation may be conducted by Human Resources or authorized department representatives. Human Resources will be responsible for the content of the orientation program and materials.

The format may vary from time to time to account for the overall makeup of the new-hire group. However, the following will generally be covered:

1. Explanation of County Services
2. Employee Policies and Procedures
3. Employee Benefit Program
4. Fire, Disaster and Safety Program
5. Explanation of Pay Periods
6. Tour of the facility where the employee works

The Department Head or supervisor is responsible for further orientation and training of the new employee.
2.14 Harassment

Effective Date: May 1, 1985
Revision Date: February 9, 1999, May 8, 2001

Prohibited Conduct
Lake County is committed to providing a work environment that is free of discrimination and unlawful harassment. Harassment based on an individual’s sex/gender, race, ethnicity, age, religion, or any other legally protected characteristic or sexual orientation will not be tolerated in the workplace, including telework arrangements, or in other work related settings, including, but not limited to, business trips, court appointments and business related social events.

Sexual harassment includes any unwelcome sexual advances or requests for sexual favors or any other verbal or physical conduct of a sexual nature toward members of either sex/gender when (1) submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment; (2) submission to or rejection of such conduct by an individual is used as the basis for employment decisions affecting such individual; or (3) such conduct has the purpose or effect of unreasonably interfering with an individual’s work performance or creating an intimidating, hostile or offensive working environment.

All employees are responsible for ensuring that no form of unlawful harassment occurs in their workplace. Employees should remain alert to any harassment that may be occurring and take immediate steps to stop it. Supervisors and managers should ensure that all employees, especially new employees, have a copy of the Lake County Harassment Policy.

Reporting of Harassment Required
Any employee of Lake County who believes he or she has been subjected to harassment is expected to report the circumstances to their Department Head or to the Director of Human Resources so that prompt preventative and corrective action may be taken. Employees may report allegations of harassment directly to their Department Head or to the Director of Human Resources without first reporting the allegations to their supervisor or to the supervisor of the person who is allegedly committing harassment. Harassment should be reported even if the source of the harassment is not an employee of Lake County.

Likewise, if a subordinate indicates to his or her supervisor that he or she has been subjected to harassment or has witnessed or otherwise has knowledge of such conduct, the supervisor must report the matter immediately to their Department Head or to the Director of Human Resources. Managers and supervisors must report any incidents that they hear about or observe that may constitute a violation of this policy.

All complaints of harassment will be promptly investigated, and corrective action will be taken as deemed appropriate under the circumstances. The Department Head and the Director of Human Resources have the authority to fully investigate all matters relating to the complaint.
Retaliation Prohibited
The law prohibits retaliation against an employee who, in good faith, reports harassment or assists or cooperates in the investigation of allegations of harassment. Any threat of retaliation or attempt to do so should be reported immediately to either the Department Head or to the Director of Human Resources.

Policy Violations
Violations of this policy by an employee, whether directed at another employee, an applicant for employment, a contractor or a member of the public will be grounds for disciplinary action, up to and including termination of employment.
2.15 Americans With Disabilities Act

**Effective Date:** June 15, 1992

**Policy**
Lake County does not discriminate on the basis of disability in the admission or access to, or treatment or employment in, its programs or activities. The Director of Human Resources or his/her designee will coordinate Lake County's efforts to comply with and carry out its responsibilities under United States Department of Justice regulations implementing Subpart A of Title II of the Americans with Disabilities Act. Information concerning the provisions of the American with Disabilities Act, and the rights provided thereunder, are available from Human Resources.

In order to provide for the prompt and equitable resolution of complaints alleging any action prohibited by the United States Department of Justice regulations implementing Subpart A of Title II of the Americans with Disabilities Act, Lake County has adopted the following grievance procedures.

**Purpose**
Title II of the Americans with Disabilities Act states, in part, that "no qualified individual with a disability shall, by reason of such disability, be excluded from participation in, or be denied the benefits of, or be subjected to discrimination" in programs, services, or activities offered by Lake County. The purpose of this policy is to provide for a fair investigation and the prompt and equitable resolution of complaints alleging violations of the Americans with Disabilities Act on the part of any agency or employee of Lake County.

**Procedure**
Complaints should be addressed to: the Director of Human Resources, who has been designated to coordinate ADA compliance efforts.

1. A complaint should be filed in writing or verbally, contain the name and address of the person filing it, and briefly describe the allegations of non-compliance by Lake County with or any actions by Lake County that would be prohibited by, the United States Department of Justice regulations implementing Subtitle A of Title II of the Americans with Disabilities Act.

2. A complaint should be filed within 10 calendar days after the complainant becomes aware of the alleged violation. (Processing of allegations of discrimination which occurred before this grievance procedure was in place will be considered on a case-by-case basis.)

3. An investigation, as may be appropriate, shall follow a filing of complaint. The investigation shall be conducted by the Director of Human Resources or his/her designee. Such investigations will be informal and thorough, affording all interested persons and their representatives, if any, an opportunity to submit evidence relevant to a complaint.

4. A written determination as to the validity of the complaint and a description of the resolution, if any, shall be issued by the Director of Human Resources or his/her designee and a copy forwarded to the complainant no later than 15 calendar days after its filing.
(5) Human Resources shall maintain the files and records of Lake County relating to the complaints filed.

(6) The complaint can request a reconsideration of the case in instances where he or she is dissatisfied within the resolution. The request for reconsideration should be made with 5 calendar days to the County Administrator.

(7) The right of a person to a prompt and equitable resolution of the complaint filed hereunder shall not be impaired by the person's pursuit of other remedies such as the filing of an ADA complaint with the responsible federal department or agency. Use of this grievance procedure is not a prerequisite to the pursuit of other remedies.

(8) These rules shall be construed to protect the substantive rights of interested parties to meet appropriate due process standards and to assure that Lake County complies with the ADA and implementing regulations.
2.16 Temporary Supplemental Hiring Procedures

**Effective Date:** May 13, 2009

**Policy**
When the County’s financial situations requires restraint due to economic conditions, hiring procedures may be modified for a temporary period of time. The Administrative Procedures contained herein shall be supplemental to current Lake County Policies and Procedures and require departments to evaluate/document the need to fill or delay the filling of position vacancies prior to the implementation of current hiring procedures.

**Procedure**

**Step 1**
The County Administrator will issue a directive to Board appointed department heads that this policy should be utilized before any vacancy may be filled. *(Elected Officials & independent Department Heads have the option of utilizing this policy and procedure. If elected officials and independent Department Heads choose not to use this policy some other formal review process must be discussed with the County Administrator.)*

**Step 2**
When a position vacancy occurs the following options should be considered:

- Eliminate the position
- Freeze the position vacancy for the remainder of the fiscal year
- Delay the start of recruitment for 60 days or more
- Hire temporarily
- Contracting out all or a portion of the work
- Hire part-time (include the possibility of hiring two part-time employees)
- Share a full-time employee with other departments

**Step 3**
If a department decides to exercise one or more of the options above, notification should be provided to the Human Resources Department of the option selected with the following information:

- A time period should be provided if there will be a delay in filling the position.
- The financial impact of the option exercised above.
- The operational impact (i.e.-hiring two part-time employees will increase flexibility, hiring temporarily will address a seasonal peak in work load).
**Step 4**
If there is an operational necessity to fill a vacancy, the department should provide the Human Resources Department documentation describing why it is not operationally feasible to exercise one of the options listed above. The explanation should include but not be limited to describing the negative impact of:
- Existing staff absorbing the duties of the vacant position
- Contracting the work to a private concern
- Reduction in services to customers and stakeholders

**Step 5**
The information requested above should be provided by completing the Special Personnel Request Form. The form should be forwarded to Human Resources. Human Resources will submit the Form to the Finance and Administration Department and the County Administrator’s Office for review and final approval.

**Step 6**
The Human Resources and the Finance and Administration Departments may wish to meet with you to discuss all alternatives so the work can be performed efficiently without filling a vacancy and/or utilizing alternative options.
The Human Resources and the Finance and Administration Departments may develop a different hiring recommendation than that requested by the hiring department. The recommendation to fill a vacancy or exercise one of the options above will be provided to the hiring department. If no agreement is reached, the hiring department, Human Resources Department and Finance and Administration Department will meet with the County Administrator to discuss the matter.
SPECIAL PERSONNEL REQUEST FORM

Date: ______________

Fund: __________ Agency: _______ Organization: __________________________

Name of person being replaced: ____________________ ________________

Job Title: ________________________________ (Attach Job Description)

Specification Code: ________Grade: ______ Position #: ______

Grant Funded? □ Yes □ No County Funded: _____% Grant Funded: _____%

Daily Scheduled Hours: From:______ To: ______ Days of Week : S M T W Th F S

REPLACEMENT OPTIONS

Can this position be eliminated? Yes No

Can filling this vacancy be delayed? ☐ ☐
If yes, how long ___

Can a temporary employee fill this vacancy? ☐ ☐
If yes, how long ___

Can an employee in your department be promoted into this position? ☐ ☐

Can a reassigned employee from another department be used to fill this position temporarily? ☐ ☐
If yes, how long days ___ weeks ___ months ___

Can one or more part-time employee(s) fill this vacancy? ☐ ☐
If yes, how many hours for part-time 1 ___ part-time 2 ___

Is there another replacement option? ☐ ☐
If yes, please explain in a separate memo

If one of the options above is chosen what is the cost impact/savings $__________ and Impact on customer service

_________________________________________
EXPLANATION OF THE NEED TO FILL POSITION

Describe the impact of assigning existing staff the responsibilities of the vacant position

____________________________________________________________________

____________________________________________________________________

____________________________________________________________________

Describe the impact on work unit/department if position is left unfilled

____________________________________________________________________

____________________________________________________________________

____________________________________________________________________

Describe the impact if the job responsibilities were contracted. Is it cost effective? Is it operationally viable?

____________________________________________________________________

____________________________________________________________________

____________________________________________________________________

Replacement Recommendation:

☐ Full-Time  ☐ Part-Time
☐ Regular  ☐ Temporary
☐ New Position  ☐ Use Temporarily Re-assigned Employee
☐ Salaried  ☐ Hourly
☐ Contracted

Starting Salary to: _____________

Posting Instructions:

☐ Internal (Department Only)*  ☐ Internal (Organization Only)*
☐ External – 2 weeks  ☐ External – 3 weeks
☐ External – 4 weeks

*Internal postings will be posted for (5) days.
SPECIAL REQUESTS/COMMENTS:

________________________________________________________________________

PLEASE CHECK WHICH TEST IS NEEDED TO ASSIST IN THE HIRING PROCESS:
SECRETARIAL/CLERICAL TESTING

☐ Standard Speed Typing
☐ Letter Form
☐ Data entry
☐ Standard Alphanumeric
☐ Standard Ten Key

Person to contact:_________________________ Ext.:_____ E-mail/Fax:______________

Department Head Approval:_________________________ Date:__________

________________________________________________________________________

ADMINISTRATIVE APPROVALS

Human Resources Approval:_________________________ Date:__________
Finance and Administration Approval:_________________________ Date:__________
County Administrator Approval:_________________________ Date:__________
SINGLE AGENCY AUDIT CERTIFICATION FORM

In accordance with CFR, Title 2-Subtitle A, Chapter II, Part 200, Subpart F, Audit Requirements, a Grantee that expends $750,000 or more of federal funds from all sources during its fiscal year is required to have a single audit performed in accordance with CFR, Title 2, Part 200.

Please check the appropriate box:

☐ I certify our agency did not expend $750,000 or more in federal awards during our most recent fiscal year ending on __________(mm/dd/yy).

☐ I certify our agency expended or will expend $750,000 or more in federal awards during our most recent fiscal year ending on 11/30/18(mm/dd/yy) and has fulfilled or will fulfill the audit requirement under CFR, Title 2, Part 200.

☐ In the event the my agency does receive $750,000 or more in total from all federal sources during the current fiscal year, my agency will comply with the Single Audit Act and submit to the RTA a copy of its most recent audit conducted in compliance with the Act.

Signature of Authorized Official ____________________________

Date 4/26/19

Director of Transportation/County Engineer ____________________________

Title ____________________________
RTA FFY 2018/2019 Section 5310 Program
Applications for Ride Lake County West and Central

May 1, 2019

Ms. Heather Tabbert Mullins, AICP
Division Manager, Local Planning & Program Management
Regional Transportation Authority
175 W. Jackson Boulevard, Suite 1650
Chicago, IL 60604

Dear Ms. Mullins:

Lake County, by and through its Division of Transportation, is submitting two Section 5310 Applications for continuation of the Ride Lake County Central and West Projects on behalf of the Lake County Coordinated Transportation Services Committee (LCCTSC). We are requesting a temporary waiver from providing the required approved board resolution at the time of application with the understanding that Lake County will provide a resolution shortly thereafter. The timing of the Call for Projects together with our County Board schedule did not allow for us to secure the resolution prior to the May 2nd application due date. A resolution is anticipated for action on the next Lake County Board Meeting Agenda, scheduled for May 14, 2019, and will be submitted to the RTA shortly thereafter.

Should you have any questions or require additional information, please do not hesitate to contact me at (847) 377-7400.

Sincerely,

Emily J. Karry, P.E.
Manager of Planning

CC: Kevin Carrier, LCDOT (letter only)
    Stephanie Brown, LCDOT (letter only)