

**RESOLUTION
R2022-41**

Resolution Authorizing an Application for a Capital Assistance Grant for Paratransit Vehicle(s) Under the Illinois Department of Transportation's General Authority to Make Such Grants

WHEREAS, the provision and improvement of public transportation and specialized transportation for seniors and individuals with disabilities is essential to the development of a safe, efficient, functional transportation system; and

WHEREAS, the Illinois Department of Transportation has the authority to make such Grants and makes paratransit vehicles available to private non-profits, general public transportation systems or IDOT Certified Public Provider transportation systems providing specialized paratransit service; and

WHEREAS, Grants for said assets will impose certain obligations upon the recipient.

NOW, THEREFORE, BE IT RESOLVED BY THE GOVERNING BOARD OF County of DeKalb:

Section 1. That an application be made to the Office of Intermodal Project Implementation (OIP), Department of Transportation, State of Illinois, for a financial assistance grant under the Illinois Department of Transportation's general authority to make such Grants, for the purpose of off-setting certain public transportation facility capital costs of DeKalb County.

Section 2. That County Administrator of DeKalb County is hereby authorized and directed to execute and file on behalf of County of DeKalb such application.

Section 3. That the County Administrator of DeKalb County is authorized to furnish such additional information as may be required by the Office of Intermodal Project Implementation in connection with the aforesaid application for said Grant.

Section 4. That County Administrator of DeKalb County is hereby authorized and directed to execute and file on behalf of County of DeKalb all required Grant Agreements with the Illinois Department of Transportation.


PRESENTED and ADOPTED the 18th day of May, 2022 at Sycamore, Illinois.

ATTEST

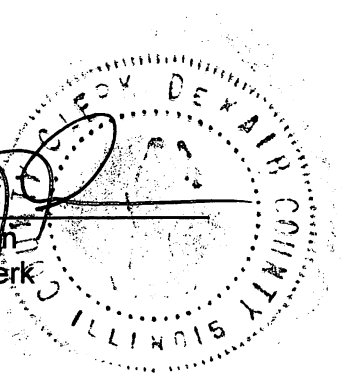


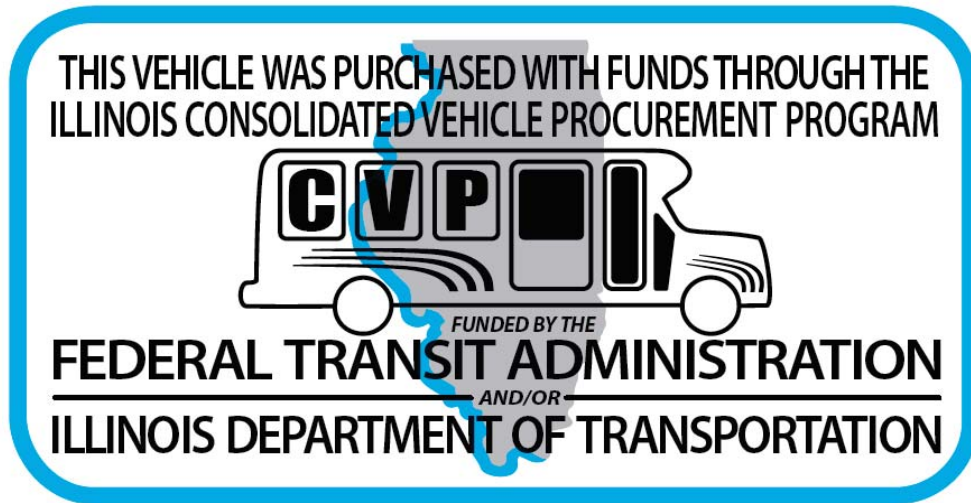
Douglas J. Johnson
DeKalb County Clerk

SIGNED



John Frieders, Chairman
DeKalb County Board





Program Contact:

Illinois Department of Transportation
Office of Intermodal Project Implementation
69 W. Washington, Suite 2100
Chicago, IL 60602

Zoe Keller, Section Chief - CVP
(312) 793-1455
zoe.keller@illinois.gov

Section I. General Information

Through the Consolidated Vehicle Procurement (CVP) Program, the Illinois Department of Transportation makes grants to municipalities, mass transit districts, counties, and private or non-profit organizations for ramp and lift equipped paratransit vehicles. Funding for these grants comes from various sources, including Federal Transit Administrations (FTA) Sections 5310, 5311, and 5339 funding programs, as well as State sources.

A. Definitions

Transportation Provider Types

Public Transportation Provider	Organizations providing regular, continuing shared-ride surface transportation services that are open to the general public or open to a segment of the general public defined by age, disability, or low-income status and does not include intercity rail transportation, intercity bus service, charter bus service, school bus service, sightseeing service, or shuttle service.
Specialized Transportation Provider	Non-profit organizations providing transportation services to meet travel demand from mobility-challenged populations, including seniors and individuals with disabilities.
Certified Public Provider (CPP)	Public transportation providers certified by IDOT as functioning in areas where specialized transportation demand is greater than the ability of local specialized transportation providers to meet. Upon application for CPP status and certification by IDOT, CPPs become eligible for Sec. 5310 funding.

Federal Transit Administration (FTA) Funding Programs

Sec. 5310	Capital Assistance for the Mobility of Seniors and Individuals w/ Disabilities. Sec. 5310 applicants are either private non-profits or else public transportation providers that have been certified by IDOT as eligible to receive Sec. 5310 funds (see "Certified Public Provider").
Sec. 5311	Formula Grants to Non-Urbanized Areas made to public transportation providers.
Sec. 5339	The FTA's reconstituted 'Bus & Bus Facilities' grant program. In Illinois, public transportation providers that receive Sec. 5307 or Sec. 5311 funds are also eligible to receive capital assistance funded through FTA Sec. 5339.

CVP Application Service Categories

Existing Service	Public or specialized transportation services currently offered on a recurring and consistent basis.
Expansion Service	Additional clients, territories, and/or hours of operation planned by public or specialized transportation providers in augmentation of existing service.
New Service	Clients, territories, and hours of operation planned by public or specialized transportation providers that are not at present providing any transportation service.

Geographic Definitions

Northeastern Illinois (NEIL)	Shorthand for the Chicago, IL urbanized area, as defined by the U.S. Census. Inclusive of Cook, Lake, McHenry, DuPage, Will, and Kane Counties, as well as northeastern Grundy County.
"Downstate"	Shorthand for all areas of Illinois outside of the NEIL region.
Illinois Urbanized Areas	Large (>200,000 population) - NEIL, St. Louis, Rockford, Rock Island, Peoria

Small (population between 50,000 and 199,999) - Springfield, Champaign, Bloomington- Normal, Decatur, Alton/Cape Girardeau, Kankakee, DeKalb, Carbondale, Danville

For precise maps of urbanized area boundaries, please visit:

<https://www.census.gov/geographies/reference-maps/2010/geo/2010-census-urban-areas.html>

B. Application Technical Instructions & Submission Requirements

To ensure veracity of claims regarding vehicle maintenance and driver training, as well as compliance with all necessary State and Federal program requirements, please upload the following items to your organization’s 2022 Consolidated Vehicle Procurement Application in Black Cat:

- a. Complete and accurate fillable PDF application document,
- b. Scanned PDF of Page 6 ('Applicant Information'), signed by applicant's authorized representative,
- c. A formal letter of endorsement from the local public transportation provider in applicant's proposed service area,
- d. Scanned PDF of Acceptance of Binding IDOT & FTA Certifications and Assurances signed by applicant's authorized representative and Affirmation of Attorney signed by applicant's legal counsel,
- e. Notice of publication of a public meeting held regarding this application and minutes thereof,
- f. Scanned copy of Opinion of Counsel signed by applicant's legal counsel,
- g. Signed Board Resolution designating authorized signatory representative for applicant,
- h. Programmatic Risk Assessment (PRA) signed by authorized representative,
- i. Any and all documentation materials referenced and/or requested in application Section(s) III, V, VI and/or VII,
- j. Vehicle Inventory Excel document.

PLEASE NOTE THAT FAILURE TO COMPLY WITH ITEMS A-J ABOVE CAN AND WILL RESULT IN THE FORFEITURE OF SCORING OPPORTUNITIES AND/OR THE INVALIDATION OF YOUR ENTIRE APPLICATION.

C. Scoring Criteria

Sec. 5310 Competitive Application Scoring Criteria (applicable to private non-profit applicants only)	
Level of Existing Services As determined by hours of operation compared to statewide applicant pool and/or peak vehicle need.	4.0 points
Equipment Utilization As determined by vehicle miles traveled (VMTs) or number of one-way vehicle trips per day, compared to statewide applicant pool.	4.0 points
Asset Maintenance As determined by defined questions and reviewer's judgment of required materials.	4.0 points
Management Capacity As determined by defined questions and reviewer's judgment of required materials and administrative review of applicant transportation budgets.	4.0 points
Coordination Efforts As determined by inclusion of required materials and local administrative review (see Sec. VII).	4.0 points
Total	20 points

D. Application Review Process, Criteria, and Award Timeline

When you upload your application and the required materials mentioned in items a-f above to Black Cat, your application will be ready for submittal. **Signatures must be submitted by the application deadline. Failure to secure signatures and/or upload required documents will result in an incomplete application ineligible for consideration.**

When final review of the application is complete, the Office will make its award recommendation to the Secretary of Transportation. Following the Secretary's approval, vehicles will be ordered and titled to awardees with an IDOT lien on the vehicle, which will serve as a mechanism for the enforcement of compliance on the part of the grantee with all certifications, assurances and attestations made relative to project performance and use of project equipment on the part of the grantee.

Your projects will be judged on: consistency with program goals and objectives, meeting public or specialized transportation needs, demonstrated and anticipated use of project equipment, maintenance of any vehicles granted during prior cycles, capacity to financially and administratively manage transportation projects, regional coordination efforts, ability to meet federal and state program requirements, and funding availability.

- If your request is for new service, the application must demonstrate a recognizable effort to create all necessary documentation as if it were for existing service
 - . Reasonable estimates may be used for preliminary figures regarding materials such as planned hours of operation, budgets, etc. Please understand that estimates presented on this application will be used as performance benchmarks in future Sec. 5310 program reviews.

The Department considers that the submission represents the applicant's intent to undertake or continue the proposed transportation project promptly, with the receipt of the approved vehicle(s).

Additional Guidance

If you have any questions or need additional information, contact

Zoe Keller
Section Chief - CVP
Phone: 312-793-1455
E-mail: zoe.keller@illinois.gov

Or attend a Virtual CVP Application Informational
Meeting (date and time to be determined)

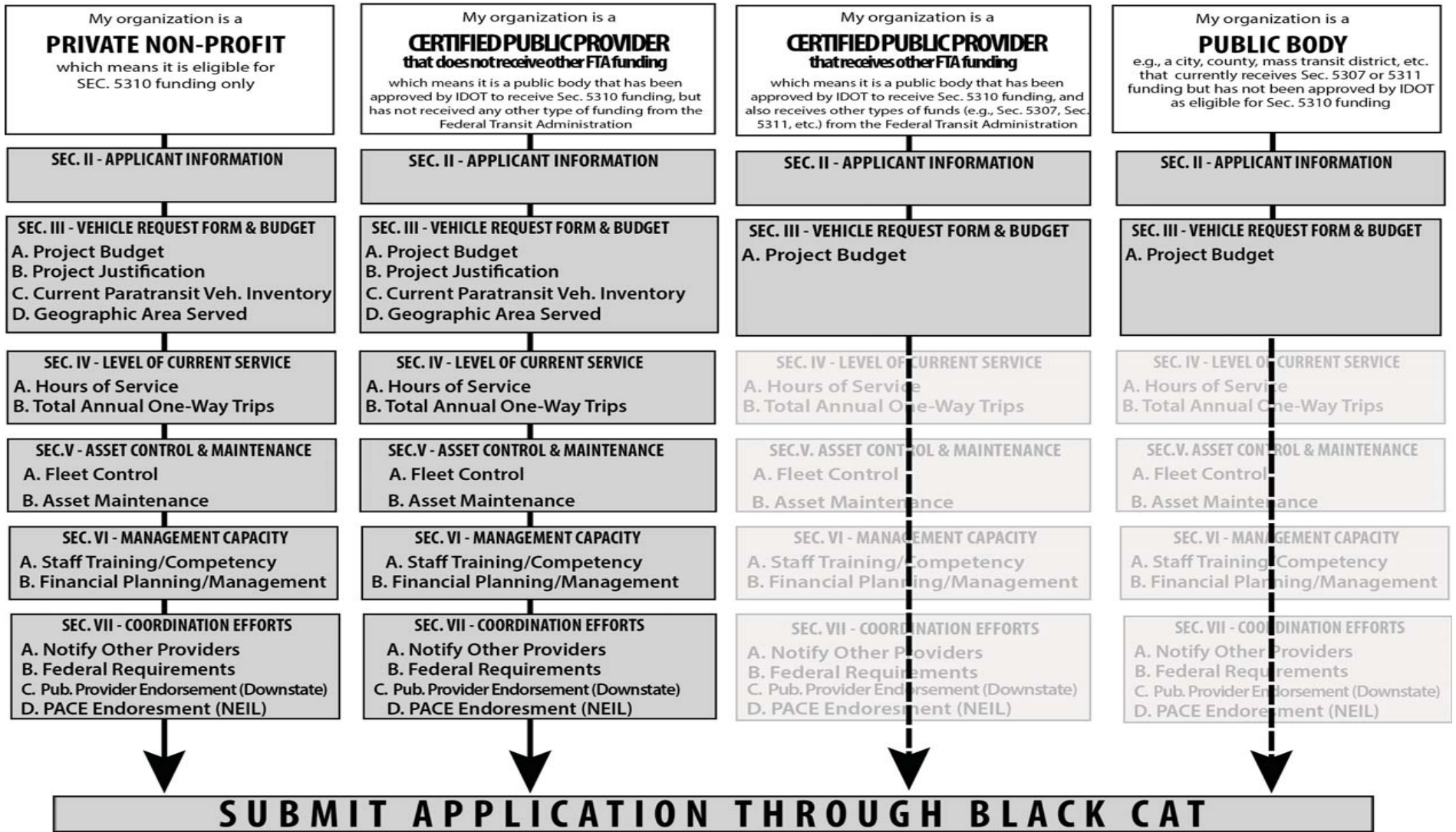
Jeff Waxman
Project Manager -- CVP
Phone: (312) 793-5232
Email: jeffrey.waxman@illinois.gov

E. A Note on EXPANSION or NEW Service

Many portions of this application inquire about current vehicle fleet and programs. For those proposing expanded or new service(s), we are aware that several documents, or data may not exist. For the purposes of this application please provide qualified estimates/projections for new or expanded service(s). This data will then be used as a benchmark for your agency in future program evaluation efforts.

A BRIEF GUIDE TO THE 2022 CVP APPLICATION

NECESSARY SECTIONS FOR EACH TYPE OF APPLICANT



Section II. Applicant Information

Date Submitted

04/25/22

Applicant Information

Legal Name

County of DeKalb

Mailing Address

200 N Main St, Sycamore, IL 60178

County/Counties Served

DeKalb

Contact Name

Brian Gregory

Title

County Administrator

Phone

(815) 895-1638

Fax

E-mail

bgregory@dekalbcounty.org

HSTP Region(s)

Region 3

Urbanized Area (See [Appendix A](#))

FEIN

36-6006548

DUNS Number

029980307

GATA ID

Type of Applicant (Please Refer to the Table in Part I, A)

- PRIVATE NON PROFIT
 IDOT CERTIFIED PUBLIC BODY (NO OTHER FTA FUNDS)
 IDOT CERTIFIED PUBLIC BODY (RECEIVES OTHER FTA FUNDS)
 SECTION 5311 GRANTEE

For Vehicle Information / Issues

Contact Name

Tracy Smith

Title

Transportation Manager

Phone

(815) 758-3932

Fax

(815) 758-0202

E-mail

tsmith@vacdk.org

All Applicants Must Answer These Questions

Does A Minority Group Manage Your Organization Or Is Operation Minority Based?

- Yes No

Does Your Agency Provide Service To Minorities?

- Yes No

Does Your Application Have The Support Of Your Local Public Transportation Provider? *

- Yes No N/A

*For a list of public transportation providers, please visit the Illinois Statewide Public Transportation Plan:

[Statewide Public Transportation Plan _ Final Report_ 2-15-18.pdf \(illinois.gov\)](#)

By this application, it is the intent of the County of DeKalb to request vehicle(s) through the State of Illinois' Consolidated Vehicle Procurement (CVP) program; and will meet all applicable state, federal and local acceptance, application and maintenance requirements. I certify that the information and statements provided in this application, and all supporting documents are correct and complete.

Signature of Authorized Representative (As authorized by board resolution)

Date

Print name of Authorized Representative

Brian Gregory

Title

County Administrator

Section III. Vehicle Request Form & Budget

(to be completed by all applicants)

Example

CVP Vehicles Requested			Information on Vehicles for Which Replacement is Requested					
Vehicle Priority	Vehicle Type Requested*	Purpose for Request	Vehicle Type	Vehicle Year	Mileage	VIN	CVP Contract Number	
+ -	1	MDL	Replacement	MDL	2005	187,000	2P4GP24B1VR220936	588
+ -	2	LDL	Expansion	LDL				

Please fill out the below table to register your 2022 CVP vehicle request.
(Double-click the table to access)

CVP Vehicles Requested			Information on Vehicles for Which Replacement is Requested					
Vehicle Priority	Vehicle Type Requested*	Purpose for Request	Vehicle Type	Vehicle Year	Mileage	VIN	CVP Contract Number	
	1	MDL	Replacement	SMD	2009	194,223	1GBE5V1969F403271	
	2	MDL	Replacement	SMD	2012	108,250	1FDGF5GTXCCEB55328	
	3	MDL	Expansion					
	4	MDL	Expansion					

*Requested Vehicle Types and Descriptions (See [DPIT CVP 10: Consolidated Vehicle Procurement Catalog](#))

- MV** - Mini-Van w/ramp (2 wheelchairs/5 passengers)
 - LDL** - Light Duty Paratransit w/lift (3 wheelchairs/12 passengers)
 - MDL** - Medium Duty Paratransit w/lift (5 wheelchairs/14 passengers)
 - SMD** - Super Medium Duty Paratransit w/lift (5 wheelchairs/26 passengers)
- Super Medium Duty buses require extensive justification, and **drivers must have CDL.**

Vehicle Replacement Criteria

To be eligible for replacement, current vehicle must meet either **Criteria 1** or **Criteria 2 at time of application.**

Type	Criteria 1		Criteria 2
Autos/Mini-Vans/Raised Roof Vans	95,000 Miles	OR	5 yrs, in documented unsafe & poor operating condition
Light Duty Paratransit Vehicle	100,000 Miles	OR	7 yrs, in documented unsafe & poor operating condition
Medium Duty Paratransit/School Bus	120,000 Miles	OR	8 yrs, in documented unsafe & poor operating condition
Super Medium Duty Paratransit Vehicle (>16 passenger)	180,000 Miles	OR	9 yrs, in documented unsafe & poor operating condition
Heavy Duty Transit Vehicle (>30 pass)	280,000 Miles	OR	10 yrs, in documented unsafe & poor operating condition

If vehicle is eligible for replacement under Criteria 2, please provide documentation supporting reason(s) why the vehicle is in unsafe or poor condition, e.g., photos, receipts, repair estimates, etc. If a vehicle needing replacement did not reach the appropriate mileage criteria before becoming unsafe and/or inoperable, please provide a brief explanation as to why.

A. Project Budget (to be completed by all applicants)

Example

Vehicle Type	Passengers	Number of Vehicles Requested			Total Units	Unit Costs	Totals Costs
		Replacement	Expansion	New Service			
Minivan	6	1			1	\$ 62,000	\$62,000
Light Duty	12		2		2	\$ 70,000	\$140,000
Medium Duty	14			3	3	\$ 75,000	\$225,000
Super-Medium Duty	26					\$ 120,000	\$0
Total 2022 CVP Request		1	2	3	6		\$427,000

Please enter your vehicle requests into the blank cells below, and make note of your 2022 CVP budget request.

Vehicle Type	Passengers	Number of Vehicles Requested			Total Units	Unit Costs	Totals Costs
		Replacement	Expansion	New Service			
Minivan	6					\$ 62,000	\$0
Light Duty	12					\$ 70,000	\$0
Medium Duty	14	2	2		4	\$ 75,000	\$300,000
Super-Medium Duty	26					\$ 120,000	\$0
Total 2022 CVP Request		2	2		4		\$300,000

B. Project Justification (to be completed by private non-profit applicants only)

Please provide a brief defense of your proposal. Make sure to address the following topics:

- Describe the transportation program and needs of individuals in your current/proposed service area.
 - If you are proposing new or expanded service, identify how these needs are currently not being met.
- Explain how the current transportation program will change if this grant is not approved.
- Describe how transportation services support, buttress, and enable your agency's overall mission.

Please complete all of the following sections with your current fleet inventory. Please attach additional pages if necessary

C. Geographic Area Served (to be completed by private non-profit applicants only)

Please list the census tracts in which you operate service. Census Tract Reference Maps can be found online at <https://www.census.gov/geographies/reference-maps/2020/geo/2020pl-maps/2020-census-tract.html>

To access a brief online tutorial on how to identify your organization's served Census tracts, please [click here](#)

Census Tract(s)

1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
13	
14	
15	
16	
17	
18	
19	
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21	
22	
23	
24	
25	

Note: please include all census tracts served, including tracts for which you only serve a portion/part of the territory within. If you have any additional comments regarding your service territory, please register them below.

Section IV. Level of Current Service & Equipment Utilization

(to be completed by private non-profit applicants & non-FTA funded CPPs only)

A. Hours of Service

Please list the total hours each day during which your organization offers paratransit services.

- **Note:** this is an unduplicated count of hours.
E.g., if you had multiple vehicles providing service between 9 a.m. and 11 a.m., the total number of service hours would be 2.
- **New/prospective applicants:** if you do not already offer paratransit services, enter the number of hours in which you are planning to offer service.

	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday	Total
Hours of Service								

B. Total Annual One-Way Trips

Please enter your transportation program's one-way trip information for January 1, 2021 - December 31, 2021 (Calendar Year 2021).

- This is a "per person" count. E.g., transporting 3 people to a medical appointment 3 trips; transporting 3 people to the store and then back home 6 trips.

By Trip Type	CY2021 Total
Medical Trips	
Work Trips	
Educational Trips	
Nutrition Trips	
Shopping Trips	
Social/Recreational Trips	
Other Trips	
Total	

Average Number of Vehicles Used to Provide Service on a Daily Basis	
--	--

Peak Number of Vehicles Used to Provide Service on a Daily Basis	
---	--

Section V. Asset Control & Maintenance

(to be completed by private non-profit applicants & non-FTA funded CPPs only)

A. Fleet Control

<p>Does your transportation program maintain an individual vehicle file for each vehicle? Does each vehicle file include the following elements?</p> <p>(Applicants with existing transportation programs must include or attach completed sample forms/files to receive credit; applicants proposing new service must include or attach sample forms/files to receive credit)</p>	
Vehicle Title	<input type="checkbox"/> Yes <input type="checkbox"/> No
Warranties	<input type="checkbox"/> Yes <input type="checkbox"/> No
Warranty Claims	<input type="checkbox"/> Yes <input type="checkbox"/> No
Insurance Policy Card	<input type="checkbox"/> Yes <input type="checkbox"/> No
Vendor Contract Information	<input type="checkbox"/> Yes <input type="checkbox"/> No
Copies of repair/maintenance orders with inspection documentation and date resolved	<input type="checkbox"/> Yes <input type="checkbox"/> No
Details on any malfunctions of ADA/lift equipment	<input type="checkbox"/> Yes <input type="checkbox"/> No

B. Asset Maintenance

<p>Does your agency have a written, board adopted vehicle maintenance policy? Must include or attach to receive credit.</p> <p>(Applicants with existing transportation programs must include or attach <u>completed</u> sample forms/files to receive credit; applicants proposing new service must include or attach sample forms/files to receive credit)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>Does your agency have a written, board adopted preventative maintenance schedule for all vehicles? Must include or attach to receive credit.</p> <p>(Applicants with existing transportation programs must include or attach <u>completed</u> sample forms/files to receive credit; applicants proposing new service must include or attach sample forms/files to receive credit)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>Does your agency perform preventative maintenance for all vehicles? Must include or attach sample documentation (tune-up receipt, oil change receipt, etc.) to receive credit.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No

Comments

Section VI. Management Capacity

(to be completed by private non-profit applicants & non-FTA funded CPPs only)

A. Staff Training & Competency

Does your agency have a board adopted driver training policy/curriculum, including training syllabi, schedules and established periods for “refresher” trainings on the following subjects?

(Applicants with existing transportation programs must include or attach completed sample forms/files to receive credit; applicants proposing new service must include or attach sample forms/files to receive credit)

Client Assistance	<input type="checkbox"/> Yes <input type="checkbox"/> No
Defensive Driving	<input type="checkbox"/> Yes <input type="checkbox"/> No
Emergency Procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No
CPR/First Aid	<input type="checkbox"/> Yes <input type="checkbox"/> No
Operation of ADA/lift Equipment	<input type="checkbox"/> Yes <input type="checkbox"/> No
Formal Vehicle Orientation, Including Communications Equipment	<input type="checkbox"/> Yes <input type="checkbox"/> No
Formal Route & Territory Orientation	<input type="checkbox"/> Yes <input type="checkbox"/> No

Does your agency maintain driver files, with each file containing the following elements?

(Applicants with existing transportation programs must include or attach completed sample forms/files to receive credit; applicants proposing new service must include or attach sample forms/files to receive credit)

Licensing	<input type="checkbox"/> Yes <input type="checkbox"/> No
If any drivers require CDL licensing, applicant must provide documentation of 1) drug & alcohol testing program and 2) completed DOT physical examinations.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Completed Trainings	<input type="checkbox"/> Yes <input type="checkbox"/> No
Driving and service record, including and special achievements or documented incidents	<input type="checkbox"/> Yes <input type="checkbox"/> No

Comments

B. Financial Planning & Management (to be completed by private non-profit applicants & non-FTA funded CPPs only)

Please complete the budget worksheet below based on your agency's most recently closed fiscal year (2021 for most agencies) and the current fiscal year (2022 for most agencies).

Item	FY 2021 (Actual)	FY 2022 (Projected)	
Revenues			
Passenger Fares & Passenger Donations			
Income from Service Contracts			
Income from Operating Grants			
Income from Donations/Fundraising			
Other (please list below)			
[other 1]			
[other 2]			
[other 3]			
Total Revenues			
Expenses			
Drivers (salary + benefits)			Pro-rate for % of time if transportation staff have other program duties
Dispatch/Supervisor (salary + benefits)			
Maintenance (labor)			
Maintenance (parts)			
Fuel			
Insurance Costs			
Vehicle Storage			
Other (please list below)			
[other 1]			
[other 2]			
[other 3]			
Total Expenses			
Net Revenues/Deficit	\$0.00	\$0.00	

Are transportation programs running at a net surplus or deficit?

If transportation programs are running a net surplus, where are surplus funds directed?

If transportation programs are running at a net deficit, from where are funds pulled to cover shortfalls?

Section VII.

Coordination Efforts (to be completed by private non-profit applicants & non-FTA funded CPPs only)

A. Notifying Other Transportation Providers

To protect the interests of all existing public and private transit and paratransit operators, the applicant must take the following action:

STEP 1

Prepare a mailing list of other public & specialized transportation providers in your service area. **Send each provider an individual letter or e-mail** advising of your intent to pursue Section 5310 funds through IDOT's CVP application process.

In the letter, describe the proposed service, number of vehicles to be used, population to be served, and boundaries of the service area. State the following:

"In accordance with federal grant program requirements, all public and private transit operators must be given a fair and timely opportunity to participate in the provision of the proposed services and to submit written comments on the proposed project to the Department of Transportation (IDOT)."

Include copies of your messages and responses with your application. All other area public and private transit operators are encouraged to submit written comments referencing the application and indicating:

- whether the services they are now providing or are prepared to provide would constitute a duplication or redundancy of services for mobility challenged seniors and/or individuals with disabilities in the service area of the CVP project applicant;
- whether they wish to participate in some way in the provision of the services proposed in the CVP application;
- any other comments they have about the application.

Each applicant should indicate in their message(s) where and by what date written comments should be submitted.

STEP 2

Prepare and publish a public notice in a newspaper of general circulation in the service area.

A copy of the notice as it appears, and any written comments/replies must be uploaded with the application documentation.

B. Federal Coordination Requirements

As part of the federal government's human services coordination initiative, all Section 5310 recipients must certify that projects are derived from a locally developed, coordinated public transit-human services transportation plan (HSTP). In the rural areas of Illinois, the Department has developed 11 regions each staffed with an HSTP Regional Coordinator (see [DPIT CVP 11: Appendix A](#)). In downstate urbanized areas with populations of 50,000 or more, the Metropolitan Planning Organization (MPO) is the HSTP agency (see [DPIT CVP 11: Appendix A](#)) and in the Northeastern Illinois Region (Cook, Lake, DuPage, Kane, Will and McHenry Counties), the HSTP contact agency is the Illinois Department of Transportation. All Section 5310 applicants should be actively involved in the development of these plans, and each Section 5310 application outside of Northeastern Illinois will need to be endorsed by their respective HSTP local transportation planning committee/urbanized area coordination offices in order to be considered for funding by the Department.

Coordination between transportation services is a vital federal program requirement for client service and the most effective use of paratransit vehicles. Agencies receiving federal and state grants must contact and coordinate to the extent possible with all other services provided in their geographic service area to assure the most beneficial services to those in need.

C. Downstate Public Provider Endorsement

Letters of support from other public and/or specialized transportation providers significantly impact your application coordination score. Feel free to include letters of support from legislators, administrators, or other elected officials, but please be aware that the inclusion of such materials will not affect application scoring. A quick guide for obtaining letters of support from other transportation providers:

- Mail the request early to allow sufficient time for response.
- Plan for written or phone follow-up (which also must be documented to meet the minimum requirement for coordination).
- **For applicants outside of the Northeastern Illinois area, you are required to provide letter of support from the local public transportation provider in order to be eligible for funding.**
- Please list all other public and non-profit transportation services for the general public, elderly persons, and persons with disabilities operating in your current or proposed service area. Note any comments or outline your coordination plan below.

Agency/Provider	Clientele	Website	Phone	Days of Operation	Hours	Contact Status

D. Northeastern Illinois Local Provider Endorsement

For applicants within the Northeastern Illinois region, the Northeastern Illinois Region HSTP Conformance Worksheet must be completed (following page) in order to be considered for endorsement. You must also contact PACE Suburban Bus for their endorsement and letter of support. All requests for letters of support should be sent in writing, attention:

Melinda Metzger
 General Manager & Chief Operating Officer
 PACE Suburban Bus
 550 W. Algonquin Road
 Arlington Heights, IL. 60005
Melinda.Metzger@pacebus.com

Northeastern Illinois Region HSTP Conformance Worksheet

**ONLY TO BE COMPLETED BY NORTHEASTERN ILLINOIS REGION APPLICANTS
(Cook, DuPage, Kane, Lake, McHenry, and Will Counties)**

To complete this form, please refer to the [Northeastern Illinois Region's Coordinated Public Transit Human Services Transportation Plan](#) and the [Regional Transit Strategic Plan for Chicago and Northeastern Illinois](#).

Please identify the following RTA HSTP Strategies addressed by the service you plan to provide with the vehicle or vehicles requested.

RTA HSTP STRATEGIES

- Expand Service Area and Hours (RTA HSTP, p. 74)
- Coordinate Volunteer Driver Support Programs (RTA HSTP, p. 76)
- Explore Collaboration/Consolidation of Similar Services (RTA HSTP, p. 81)
- Seek innovative opportunities to improve the delivery of services for older adults and individuals with disabilities (RTA Transit Strategic Plan, p. 26)
- Evaluate travel needs and tailor services accordingly (RTA Transit Strategic Plan, p. 26)



This Programmatic Risk Assessment Questionnaire is for FY

A separate Programmatic Risk Assessment is required for each grant application. Responses must be program-specific.

Program Associated with this Programmatic Risk Assessment	Consolidated Vehicle Procurement (CVP)
Applicable CFR or state citation	2 CFR 200
Awarding State Agency	Illinois Department of Transportation
Entity Completing Programmatic Risk Assessment	DeKalb County
Individual Completing Programmatic Risk Assessment	Robert Miller
Completer Phone Number	(815) 895-7350
Completer Email	rmiller@dekalbcounty.org

To comply with federal risk assessment requirements of 2 CFR 200.205, the state awarding agency must review the programmatic risk posed by applicants. Illinois utilizes this programmatic risk assessment questionnaire to comply with the federal requirements.

1. Quality of management systems and ability to meet the management standards

1.1 Do you have written policies and procedures that guide program delivery on the topics of:

- | | | |
|--|---|---|
| a. Program outcome tracking and reporting mechanisms | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| b. Relevant documentation of services / goods delivered | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| c. Staff management policies and procedures | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| d. Standards of conduct re: selection, award or administration of grants | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| e. Real or perceived conflict of interest re: selection, award or administration of grants | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| f. Complaint / grievance resolution policies and procedures | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| g. Safeguarding funds, property & other assets against loss from unauthorized use of disposition | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| h. Management of grant terms | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| i. Written approval from funding agency when key personnel change | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| j. Written approval from funding agency when program scope changes | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| k. Participant eligibility, if applicable | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |

1.2 Do you have internal controls that govern program delivery on the topics of:

- | | | |
|---|---|-----------------------------|
| a. Quality assurance reporting | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| b. Unit costs, expense analysis/management | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| c. Accreditation / licensing compliance program | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |

1.3 How many years of experience does the project leader have managing the scope of services required under this program?

- More than five years
- One to five years
- Less than one year

1.4 Does the organization have a time and effort system to track program-specific work performed? Yes No

If "Yes":

- | | | |
|--|---|-----------------------------|
| a. Does the system record all time worked, including time not charged to awards? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |
| b. Does the system include sign-off by the employee and supervisor? | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> No |

If "No", go to question 1.5

1.5 Are program payments based on a rate or unit of service? Yes No

If "Yes":

a. Does the organization have written procedures to ensure accurate invoicing? Yes No

b. Does a second person sign-off on the invoice? Yes No

If "No", go to question 1.6

1.6 Does the program have a match or related requirements? Yes No

If "Yes":

a. Does the organization have written procedures for match reporting? Yes No

b. Does a second person sign-off on match reporting? Yes No

If "No", go to question 1.7

1.7 Is the organization prepared to utilize periodic performance reports to communicate program outcomes?

Performance reports are an established part of grant management procedures.

Performance data reporting is being developed as part of grant management procedures.

We do not currently report performance data within our grant management.

2. History of Performance

2.1 How many years of experience does your organization have with grants of comparable scope and / or capacity?

More than five years

One to five years

Less than one year

No experience **GO TO QUESTION 3.3**

2.2 If your organization has received grants of comparable scope and/or capacity, provide a brief description of similar project goals and outcomes; specify the applicable year:

Previous 5311, DOAP, and CVP grant submissions.

2.3 During your last two fiscal years, how frequently has the organization submitted project performance reports on time?

Always

Reported late up to three times

Reported late four or more times

Not Applicable - not a requirement of awards previously received

2.4 Does your organization have performance measurements that tie to financial data? Yes No

2.5 Have there been any significant changes in your organization in the last fiscal year related to program delivery?

a. Management/leadership personnel Yes No

b. Reorganization or parent/subsidiary relationships Yes No

c. Significant changes in programs/grants funded Yes No

d. Statutory or regulatory requirements imposed on your organization type Yes No

2.6 Provide a brief explanation for all "YES" responses to question 2.5

The VAC Chief Operating Officers has stepped down for a new position outside the company.

2.7 Will a sub-grantee/sub-recipient/sub-award be utilized to manage, administer or complete the project? Yes No

If "No", go to question 3.1

2.8 What responsibilities will the sub-grantee/sub-recipient/sub-award perform under this project?

- a. Participant eligibility determination Yes No
- b. Case Management Yes No
- c. Performance Reporting Yes No
- d. Financial Reporting Yes No
- e. Invoicing Yes No
- f. Other Yes No

2.9 What percentage of grant funds does the organization anticipate passing to sub-grantees/sub-recipients/sub-awards?

- Less than 10%
- 10-20%
- More than 20%

2.10 Does your organization have an implemented policy for sub-grantee/sub-recipient monitoring?

Yes No

If "Yes", does it include:

- On-Site Review
- Review of prior monitoring and desk/quantitative review
- Review of prior monitoring only
- Desk/quantitative review only

3. Reports and Findings from audits performed under Subpart F - Audit Requirements of this part of the reports and findings of any other available audit

3.1 During the last two fiscal years, has your organization been out of compliance with *programmatic* terms and conditions of awards?

- Organization has not been audited; **Go to Question 3.6**
- No occurrences of non-compliance; **Go to Question 3.6**
- One to three occurrences of non-compliance
- Four to more occurrences of non-compliance

3.2 If your organization had at least one occurrence of non-compliance with programmatic terms and conditions, summarize each occurrence.

3.3 Have corrective actions been implemented within the specified timeframe?

Yes No

3.4 Provide explanation for any corrective actions that were not implemented within the timeframe specified and for any corrective actions that remain open.

3.5 Have there been findings regarding conflict of interest within the last two fiscal years?

Yes No

- a. If NO, **go to question 3.6**
- b. If YES, specify the finding and your response to the finding.

3.6 Has your organization even been subject to specific conditions due to program issues? Yes No

a. If NO, go to question 4.1

b. If YES, specify the condition, why it was imposed, and whether or not it is still applicable.

1. Log for submittal due date and actual submittal date with explanation if late. -- still applicable
2. Write and submit a sub-recipient monitoring program to IDOT. Upon approval by IDOT it shall be adopted by the Grantee's governing board. -- still applicable

4. Applicants ability to effectively implement statutory, regulatory, or other requirements imposed on awardees.

4.1 To what extent does your organization have policies to ensure programmatic expenses are reasonable, necessary and prudent (sensible)?

- Policies are implemented and followed
- Policies are implemented, but not consistently followed
- Policies are being implemented
- The organization does not currently have these types of policies

4.2 To what extent does your organization have policies to ensure programmatic activities are allowable?

- Policies are implemented and followed
- Policies are implemented, but not consistently followed
- Policies are being implemented
- The organization does not currently have these type of policies

4.3 Has the organization been out of compliance with any statutory, regulatory or other requirements of this grant funding within the last two fiscal years? Yes No

If Yes, provide an explanation

4.4 To what extent is your organization able to comply with all statutory requirements of this program?

- Fully able to comply with all statutory requirements
- With the following exception(s), the organization is able to comply:

5. Management, oversight, and use of project equipment.

5.1 Does the grantee conduct daily pre-trip inspections prior to placing a vehicle in service? Yes No

5.2 Does the grantee have a maintenance plan that includes a preventive maintenance schedule?

- Yes, our maintenance plan includes a preventive maintenance schedule.
- No, we have a maintenance plan, but it does not include a preventive maintenance schedule.
- We do not have a maintenance plan.

5.3 Does the grantee have a training policy that includes all of the following topics: defensive driving, passenger assistance, emergency procedures, and operation of ADA equipment?

- Yes, we have a training policy that covers all these topics.
- We have a training policy, but it does not cover these areas.
- We do not have a training policy.

5.4 Does the grantee have written procedures for Administration to follow once an accident or incident is reported?

- Yes
- No

5.5 Does the grantee have vehicles that require drivers to have a Commercial Driver's License (CDL?)

- Yes.
- No

a. Does your agency have a drug and alcohol policy and testing program that is in compliance with Federal Motor Carrier Safety Administration (FMCSA) 49 CFR Part 382 - Controlled Substances and Alcohol Use and Testing?

- Yes.
- No

b. Does your agency require your drivers to get Department of Transportation Physicals (DOT) in accordance with Federal Motor Carrier Safety Administration (FMSCSA) 49 CFR Part 391.41-Physical Qualifications for Drivers?

- Yes.
- No

By typing my name below, I certify to the best of my knowledge and belief that the responses are true, complete and accurate. I am aware than any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims for otherwise (2 CFR 200.415).

Authorized Individual

Date

--	--

Title

PCOM

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 CFR 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 CFR 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 CFR 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 CFR 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 CFR 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 CFR Part 200, Subpart F, “Audit Requirements”, as adopted and implemented by U.S. DOT at 2 CFR 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 subrecipient 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 CFR § 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 CFR Part 1201, which incorporates by reference U.S. OMB regulatory guidance, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 200, particularly 2 CFR §§ 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 CFR 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 CFR § 180.300. Additionally, each applicant must disclose any information required by 2 CFR § 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. Coronavirus Response and Relief Supplemental Appropriations Act, 2021, and CARES Act Funding.

The applicant certifies:

- (a) To the maximum extent possible, funds made available under title IV of division M of the Consolidated Appropriations Act, 2021 (Public Law 116–260), and in title XII of division B of the CARES Act (Public Law 116–136; 134 Stat. 599) shall be directed to payroll and operations of public transit (including payroll and expenses of private providers of public transportation); or
- (a) The applicant certifies that the applicant has not furloughed any employees.

1.6. American Rescue Plan Act Funding.

The applicant certifies:

- (a) Funds made available by Section 3401(a)(2)(A) of the American Rescue Plan Act of 2021 (Public Law 117-2) shall be directed to payroll and operations of public transportation (including payroll and expenses of private providers of public transportation); or
- (b) The applicant certifies that the applicant has not furloughed any employees.

CATEGORY 2. PUBLIC TRANSPORTATION AGENCY SAFETY PLANS

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 CFR § 673.11(d). This certification is required by 49 U.S.C. § 5329(d)(1) and 49 CFR § 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.

If the applicant is an operator, the applicant certifies that it has established a public transportation agency safety plan meeting the requirements of 49 U.S.C. § 5329(d)(1) and 49 CFR 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 CFR § 673.5) and Board of Directors or Equivalent Authority (as that term is defined at 49 CFR § 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, 2021, Pub. L. 116-260, div. E, 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 CFR § 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 CFR 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 CFR § 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 CFR 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 CFR § 605.15.

- (a) If the applicant is not authorized by the FTA Administrator under 49 CFR § 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 CFR § 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 CFR 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 CFR § 663.7.

The applicant certifies that it will conduct or cause to be conducted the pre-award and post-delivery audits prescribed by 49 CFR Part 663 and will maintain on file the certifications required by Subparts B, C, and D of 49 CFR 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 CFR § 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 CFR 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), subsection (b) (buses and bus facilities competitive grants), or subsection (c) (low or no emissions 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 Urbanized Area Formula

Grants (49 U.S.C. § 5307). This certification is required by 49 U.S.C. § 5339(a)(3), (b)(6), and (c)(3), respectively.

If the applicant is in a rural area and will apply for an award under subsection (a) (formula grants), subsection (b) (bus and bus facilities competitive grants), or subsection (c) (low or no emissions grants) of the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339), the applicant must make the certification in Category 9 for Formula Grants for Rural Areas (49 U.S.C. § 5311). This certification is required by 49 U.S.C. § 5339(a)(3), (b)(6), and (c)(3), respectively.

Making this certification will incorporate by reference the applicable certifications in Category 8 or Category 9.

If the applicant will receive a competitive award under subsection (b) (buses and bus facilities competitive grants), or subsection (c) (low or no emissions grants) of the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339) related to zero emissions vehicles or related infrastructure, it must make the following certification. This certification is required by 49 U.S.C. § 5339(d).

The applicant will use 5 percent of grants related to zero emissions vehicles (as defined in subsection (c)(1)) or related infrastructure under subsection (b) or (c) to fund workforce development training as described in section 49 U.S.C. § 5314(b)(2) (including registered apprenticeships and other labor-management training programs) under the recipient's plan to address the impact of the transition to zero emission vehicles on the applicant's current workforce; or the applicant certifies a smaller percentage is necessary to carry out that plan.

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 8 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 8, except that FTA has determined that (d), (f), (i), (j), and (k) of Category 8 do not apply to awards made under 49 U.S.C. § 5310 and will not be enforced.

In addition to the certification in Category 8, 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, the asset management certification is necessary to enforce the provisions of 49 U.S.C. § 5337(a)(4). The certification with regard to acquiring restricted rail rolling stock is required by 49 U.S.C. § 5323(u)(4). Note that this certification is not limited to the use of Federal funds.

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 CFR Part 625.

If the applicant operates a rail fixed guideway service, the applicant certifies that, in the fiscal year for which an award is available to the applicant under the State of Good Repair Grants Program, 49 U.S.C. § 5337, the applicant will not award any contract or subcontract for the procurement of rail rolling stock for use in public transportation with a rail rolling stock manufacturer described in 49 U.S.C. § 5323(u)(1).

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 8 for the Urbanized Area Formula Grants Program, Category 10 for the Fixed Guideway Capital Investment Grants program, and Category 13 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 8, 10, and 13 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 CFR § 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 CFR 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 CFR §§ 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 CFR Part 672, “Public Transportation Safety Certification Training Program”; and
- (b) Compliant with the requirements of 49 CFR 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 CFR Part 37, it must make the following certification. This certification is required by 49 CFR § 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. 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).

**CATEGORY 20. PUBLIC TRANSPORTATION ON INDIAN RESERVATIONS
FORMULA AND DISCRETIONARY PROGRAM (TRIBAL TRANSIT
PROGRAMS).**

Before FTA may provide Federal assistance for an Award financed under either the Public Transportation on Indian Reservations Formula or Discretionary Program authorized under 49 U.S.C. § 5311(c)(1), as amended by the FAST Act, (Tribal Transit Programs), the applicant must select the Certifications in Category 21, except as FTA determines otherwise in writing. Tribal Transit Program applicants may certify to this Category and Category 1 (Certifications and Assurances Required of Every Applicant) and need not make any other certification, to meet Tribal Transit Program certification requirements. If an applicant will apply for any program in addition to the Tribal Transit Program, additional certifications may be required.

FTA has established terms and conditions for Tribal Transit Program grants financed with Federal assistance appropriated or made available under 49 U.S.C. § 5311(c)(1). The applicant certifies that:

- (a) It 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) It has or will have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.
- (c) It will maintain its equipment and facilities acquired or improved under its Award, in accordance with its transit asset management plan and consistent with FTA regulations, “Transit Asset Management,” 49 CFR Part 625. Its Award will achieve maximum feasible coordination with transportation service financed by other federal sources.
- (d) With respect to its procurement system:
 - (1) It will have a procurement system that complies with U.S. DOT regulations, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 1201, which incorporates by reference U.S. OMB regulatory guidance, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 200, for Awards made on or after December 26, 2014,
 - (2) It will have a procurement system that complies with U.S. DOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments,” 49 CFR Part 18, specifically former 49 CFR § 18.36, for Awards made before December 26, 2014, or
 - (3) It will inform FTA promptly if its procurement system does not comply with either of those U.S. DOT regulations.
- (e) It will comply with the Certifications, Assurances, and Agreements in:
 - (1) Category 05.1 and 05.2 (Charter Service Agreement and School Bus Agreement),
 - (2) Category 06 (Transit Asset Management Plan),

- (3) Category 07.1 and 07.2 (Rolling Stock Buy America Reviews and Bus Testing),
- (4) Category 09 (Formula Grants for Rural Areas),
- (5) Category 15 (Alcohol and Controlled Substances Testing), and
- (6) Category 17 (Demand Responsive Service).

CATEGORY 21. EMERGENCY RELIEF PROGRAM.

An applicant to the Public Transportation Emergency Relief Program, 49 U.S.C. § 5324, must make the following certification. The certification is required by 49 U.S.C. § 5324(f) and must be made before the applicant can receive a grant under the Emergency Relief program.

The applicant certifies that the applicant has insurance required under State law for all structures related to the emergency relief program grant application.

FEDERAL FISCAL YEAR 2022 CERTIFICATIONS AND ASSURANCES FOR FTA ASSISTANCE PROGRAMS

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

Name of Applicant: County of DeKalb

The Applicant certifies to the applicable provisions of all categories: (*check here*) X .

Or,

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

Category	Certification
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	_____

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 Cybersecurity Certification for Rail Rolling Stock and Operations

20 Tribal Transit Programs

21 Emergency Relief Program

CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE

AFFIRMATION OF APPLICANT

Name of the Applicant: County of DeKalb

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 the federal fiscal year, irrespective of whether the individual that acted on his or her Applicant’s behalf continues to represent it.

The Certifications and Assurances the Applicant selects apply to each Award for which it now seeks, or may later seek federal assistance to be awarded by FTA during the federal fiscal year.

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 Brian Gregory _____ Authorized Representative of Applicant

AFFIRMATION OF APPLICANT’S ATTORNEY

For (Name of Applicant): County of DeKalb _____

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 Rick Amato _____ 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.