



## TRANSPORTATION CABINET

Frankfort, Kentucky 40622  
[www.transportation.ky.gov/](http://www.transportation.ky.gov/)

**Steven L. Beshear**  
Governor

**Michael W. Hancock, P.E.**  
Secretary

February 11, 2015

**SUBJECT:** SFY 2016 Section 5307, 5339, 5310, 5311 Assistance  
Application Checklists and Required Certifications/Assurances  
Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21)

Dear Grantee:

Enclosed are application checklists to guide you in the development of the subject application(s) for SFY 2016 assistance. We ask that you read these guidelines thoroughly as several additions/changes have been made. These checklists can also be found on the KYTC/Office of Transportation Delivery (OTD) website at <http://transportationky.gov/transportationdelivery/default.asp> and the KPTA website at <http://www.kypublictransit.org/>. Also attached is a list of Certifications/Assurances/Model Clauses/Required Forms that can also be found on our website. These checklists and assurances are the only versions of the forms that will be accepted with the application(s). Please review the checklist and forms carefully as there may be changes from the SFY 2015 application cycle.

You are reminded of some of the changes made by Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) which are applicable to the application cycle:

- Job Access and Reverse Commute activities are now eligible under the Urbanized Area Formula Program (5307) and the Rural Area Formula Program (5311).
- Capital and Operating activities eligible under the former New Freedom program are now eligible under the Enhanced Mobility of Seniors and Individuals with Disabilities Program (5310).
- JARC activities/projects are not required to be part of the Human Service Coordinated Plan, but inclusion is encouraged. Section 5310 projects **MUST** be included in the locally developed, coordinated public transit-human services transportation plan, but the competitive selection process (ranking) is now optional.
- Section 5311 also includes Appalachian Development Public Transportation Assistance funds for the Appalachian counties in the State.



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- The Bus and Bus Facilities Program, now Section 5339, is a formula program. This program provides funding to replace, rehabilitate and purchase buses and related equipment and to construct bus-related facilities.

**In order to receive approval, the format of the Application Checklists MUST be followed and materials and documentation organized according to the Checklists.** Each item on the Checklist should list the corresponding Page Number to show where that item is located in the Application. Failure to properly format/organize the Application(s) will delay project approvals and could jeopardize receipt of requested funds. Please be advised that each Checklist should be signed, and every line and every section should be addressed. When not applicable for your system, please state in writing why it does not apply. Not addressing EACH requirement on a Checklist or not signing the Checklist will delay grant approval and could risk full funding. Please update all areas of your application and include detailed backup documentation, giving precise descriptions of all the services you will provide with the specific federal funds requested. If a particular item or document requested on a Checklist has been included in another Application, you may reference where it can be located in the other Application. **EACH INDIVIDUAL GRANT MUST BE SUBMITTED IN ITS OWN BINDER WITH ITS OWN CERTIFICATIONS AND ASSURANCES, EVEN IF THESE ARE COPIES.**

As stated previously, MAP-21 requires that projects selected for funding under the Enhanced Mobility of Seniors and Individuals with Disabilities Program (Section 5310), which includes services eligible under the former New Freedom (Section 5317) program, be “derived from a locally developed, Coordinated Public Transit-Human Service Transportation Plan” and that the plan be “developed through a process that includes representatives of public, private, and non-profit transportation and human services providers and participation by members of the public.” We encourage you to be knowledgeable of and active in the Coordinated Plan/update process. Please submit the attached Coordinated Plan Checklist with the updated Coordinated Plan. All 15 elements of the Checklist must be addressed in the Plan, with particular emphasis on Element No. 1, the Four (4) Main Points of the Plan. Please clearly identify each element on the checklist in the Plan. You must number each page of the Coordinated Plan, follow the format of the Checklist and organize the material/documentation accordingly. Following the format of the Checklist and organizing material and documentation accordingly will greatly assist our review process. Please be advised that the Checklist is not complete unless it is signed. You are also reminded to continue to address the transportation needs of the Veterans/Military in your area and incorporate these needs into your Plan.

If you are the Section 5310 Lead Agency for your area, you must notify all eligible organizations in each county of your area about the new Section 5310 application cycle. Each applicant must complete a Preliminary Assessment form (enclosed) for each vehicle requested. For traditional services that help increase the mobility of seniors and persons with disabilities, only replacement vehicles are considered for approval. For services eligible under the former New Freedom Program for individuals with disabilities that go above and beyond the requirements of the Americans with Disabilities Act (ADA), eligible expenses include operating or capital. Applicants must be in an area with a locally developed, Public Transit-Human Service Transportation Coordinated Plan.

RTAP Training/technical assistance needs and budget(s) for FY 2015 should be included with the Rural County Area of the 5310/5311 application. Please be advised that the RTAP contract period will be July 1, 2015 through January 31, 2016. (100% Federal)

Vehicle or equipment specifications for capital grants (Section 5307, 5310, 5311, 5339) should be included with the applications. All capital applications should include Milestones Reports (attached).

Letters for the required Coordination Meeting must go out at least thirty (30) days before the date of the meeting and must be sent, at a minimum, to all providers in your service area and local officials. The Coordination Meeting for Section 5310 and Section 5311 must be held thirty (30) days before the scheduled public hearing **IF A PUBLIC HEARING IS REQUIRED**.

The Notice and Public Hearing requirement for **capital** projects that could substantially affect a community or the public transportation service of a community under 49 USC Chapter 53, Section 5323 (General Provisions) **was repealed under MAP-21**. It is no longer a requirement for Capital projects. However, there are other requirements for a public hearing as part of the environmental review process and various planning processes. Section 5307 small urban systems can follow the procedures of the public involvement process of the Metropolitan Planning Organization (MPO) to satisfy the public participation requirements associated with development of the Program of Projects that recipients of Section 5307 funds must meet. Section 5311 and Section 5307 small urban systems must still have a public hearing for any fare increase or for major service changes.

Where applicable for Section 5311, the hearing must be advertised 14 days before the hearing date and letters sent out to county and local officials. The hearing must be accessible for persons with disabilities. The public hearing/notices should also accommodate the needs of Limited English Proficient (LEP) individuals. If the hearing is poorly attended, a transcript is still required. In addition, a written analysis must be included in the application(s) regarding possible reasons for poor attendance at the hearing and proposed solutions for better attendance at future hearings.

All Section 5307/5311 applications must include evidence of local support from each county/city served.

If applicable, there should be a separate line-item budget and detailed description, including maps, of Section 5311(f) intercity services.

Please make sure that the Drug and Alcohol Policy submitted with your application is up to date and has Board approval.

Under the Open Projects Status Section of the 5307/5311/5310/5339/5309 applications, the following information **MUST** be reported as of April 1, 2015: Current open capital projects, remaining funding balances (State and Federal), equipment purchased, and updated Milestones/Timeline showing steps from bid advertisement all the way to final inspection and acceptance and funds spent for equipment yet to be purchased.

On each of the Application Checklists where capital assistance is eligible and there is a section asking for vehicle, equipment or facility specifications, many agencies in the past have just included an old bid package and/or old specifications. FY 2016 applications which include a capital request(s) must include:

- A valid Independent Cost Estimate (ICE) for each proposed procurement;
- Bona Fide, up-to-date, Vehicle/Equipment/Facility Specifications and Bid Package with all required clauses and documents; and/or
- Quote Specifications

Failure to submit the above items will jeopardize any requests for capital funds.

Enclosed is a Bid Evaluation Checklist to assist with putting together the bid packages. **Ideally, if the ICE and bid package are complete, approval of the application would signify approval of the bid package and procurement could proceed.** For agencies wishing to procure vehicles from KPTA Bid No. 6, reference would be made to that project.

Application documents must be submitted in a hard copy format. Scanned signatures and certified receipts, etc. are allowed. An electronic version of the application can be submitted with the hard copy. The Coordinated Plan should be a separate document and must be submitted in a hard copy format as well. An electronic version of the Coordinated Plan can be submitted with the hard copy. **Applications must be received in this office no later than April 1, 2015** and should be submitted to:

ATTN: Vickie S. Bourne, Executive Director  
Kentucky Transportation Cabinet  
Office of Transportation Delivery  
200 Mero St.  
Frankfort, KY 40622

If you have any questions or have trouble accessing the website, please contact me at (502) 564-7433.

Sincerely,

  
Gail Mayeux  
Public Transit Branch Manager  
Office of Transportation Delivery

EMP:GM:gm  
Enclosures