



COMMONWEALTH OF KENTUCKY  
TRANSPORTATION CABINET  
transportation.ky.gov

Andy Beshear  
GOVERNOR

Jim Gray  
SECRETARY

January 8, 2020

**SUBJECT:** SFY 2021 Section 5303, 5304, 5310, 5311 and 5339 Grant Assistance  
Application Checklists and Required Certifications/Assurances  
Fixing America's Surface Transportation Act (FAST Act)

Dear Applicant:

Enclosed is the application checklist to guide you in the development of the subject application(s) for SFY 2021 assistance. This upcoming fiscal year will see several changes in the application process. We ask that you read the guideline, thoroughly, prior to beginning your application. All SFY2021 grants must be submitted via an online web portal that will be forthcoming in the near future. Attached is an Authorizing Resolution that must be adopted by the Governing Board prior to the application process. The Authorizing Resolution is required to be uploaded to the online web portal during the application process. This will be the only version accepted. Please review the checklist and forms carefully as there may have been changes from the previous application cycle.

Users will have access to the online grant portal beginning February 10, 2020. During this time, your agency will be allowed to create and continue to work on the application process. The application portal will close at 11:59pm (EST) on March 2, 2020. While many of you have several questions regarding the process, rest assured, there is a tentative training webinar scheduled February 4, 2020, where you will have your first look at the new online system. Throughout this training, you will be able to ask questions. Upon logging into the new grant web portal, the user will be guided to create a profile that will include the Agencies Name/DBA, DUNS Number, Congressional District, SAM.Gov status with expiration date and the Type of Entity. Please be reminded that you must be register in SAM.gov with an "active" status to receive Federal funding. Policies/Plans will be uploaded to your profile and will remain for following grant cycles. Your agency will be required to verify these documents are accurate in the succeeding years.

Please note that only one application checklist has been created to include all grant sections. The applicant will be required to select which grants you are requesting assistance. Items that were submitted in multiple grants during the past will only be required to be submitted one time. These items will used in the grant process for all grants that your agency has selected. Descriptions and budget formats will be a similar format as years past. Please prepare your budgetary information ahead of time, so that you can adequately complete these forms when the application process is available.

Projects selected for funding under the Enhanced Mobility of Seniors and Individuals with Disabilities Program (**Section 5310**), must be derived from a locally developed, Coordinated Public Transit-Human Service Transportation Plan. This Plan must be developed through a process that includes representatives of public, private, and non-profit transportation and human service providers and participation by members of the public. We encourage you to be knowledgeable of and active in the Coordinated Plan/update process. All 15 elements of the Checklist must be addressed in the Plan, with particular emphasis on No. 1, the Four Main Points of the Plan. Please clearly identify each element on the Checklist in the 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 for each vehicle requested. This will be completed within the online applications instead of as a separate document. For traditional services that help increase the mobility of seniors and persons with disabilities, only replacement vehicles are considered for approval.

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. **Section 5311** must have a Public Hearing for any fare increase or for major reduction of transportation.

The Public Hearing must be advertised, and letters sent out to county and local officials, fourteen (14) days before the Hearing date. 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.

**Rural Transit Assistance Program (RTAP) funding** is provided as a source of funding to assist in the design and implementation of training and technical assistance projects and other support services tailored to meet the needs of transit operators in non-urbanized areas. Applicants that are seeking SFY2021 RTAP Training/technical assistance should submit their needs and budget(s). This will be completed within the online application process. Please be advised that the RTAP contract period will be July 1, 2020 through June 30, 2021 (100% Federal).

All **Section 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) services (Intercity).

maps, of Section 5311(f) services (Intercity).

Under the Open Projects Status Section of the **5311/5310/5339/5309** applications, the following information **MUST** be reported as of February 10, 2020: Current open capital projects, remaining funding balances (State and Federal), equipment purchases, and updated Milestones/Timelines showing steps from bid advertisement all the way to final inspection and acceptance, and funds spent for equipment yet to be purchased.

On the Application Checklist, where capital assistance is eligible and there is a section asking for a vehicle, equipment or facility specifications, many agencies have, previously, just included an old bid package and/or old specifications. FY 2021 applications, which include capital request(s) must include:

- A valid Independent Cost Estimate (ICE) for each proposed procurement;
- Bona Fide, up-to-date Vehicle/Equipment/Facility Specification 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.

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 a **KPTA Bid**, reference would be made to that project.

In order to formally document our application process for **Section 5304 funds**, we are asking each applicant to provide a description/justification of their proposed transportation planning/technical assistance activities for rural areas to be served, a list of Goals & Objectives to be achieved during SFY21 and that will be reported on monthly/quarterly, a proposed budget, a commitment of the local share, and federally required certifications and assurances.

Multimodal transportation planning must be cooperative, continuous, and comprehensive through a performance-driven, outcome-based approach to planning. In preparation for these requirements, we are asking each applicant to give a detailed description of the make-up of their Authorizing Board and to detail their involvement in other regional Boards, Authorizing Entities, etc.

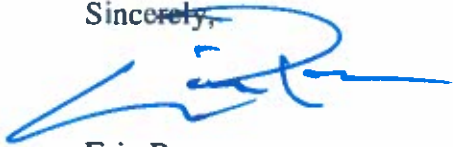
In order to formally document our application process for **Section 5303 funds**, we are asking each MPO to provide a description/justification for their transit planning elements, a proposed budget, and a commitment of local share and federal required certifications and assurances. There remains the requirement that all coordinated service planning activities undertaken in urbanized areas must be included in the UPWP of the applicable MPO.

**All applications must be submitted online no later than March 2, 2020.**

In the enclosed attachment, is a list of required documents that will need to be uploaded to the online grant system. To ensure a smooth transition in this new system, our office is encouraging your agency to have all of the required documents readily available for upload. This system will be drag and drop, so documents should be uploaded with ease.

If you have any questions, or have trouble accessing the website, please contact your Project Manager, or Tabitha Martin, Public Transit Branch Manager, at (502) 564-7433.

Sincerely,



Eric Perez  
Acting Executive Director  
Office of Transportation Delivery

EP:TM:kj  
Enclosures

**KENTUCKY TRANSPORTATION CABINET  
OFFICE OF TRANSPORTATION DELIVERY  
SUPER GRANT FOR  
SECTION 5311 (CFDA #20.509), SECTION 5310 (CFDA #20.513), SECTION 5339 (CFDA #20.526),  
SECTION 5303 and 5304 (CFDA #20.505)  
APPLICATION GUIDELINES  
RURAL AREA FORMULA GRANTS AND METROPOLITAN PLANNING  
SFY 2021 APPLICATION CHECKLIST  
\*\*Due March 2, 2020\*\***

Information will be obtain in profile entry.

**AGENCY NAME/DBA (both)**

**DUNS#**

**Congressional District**

**SAM.GOV Status and Expiration Date**

**Type of Entity – Government or Non-Profit**

**PART I PLANNING & PROGRAMMING**

<b><u>PAGE</u></b> <b><u>#</u></b>	<b><u>CABINET</u></b> <b><u>USE</u></b> <b><u>ONLY</u></b>
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**1. Project Description**

– Updated Project Description (Routes, Fares, Hours, Days, etc.) (Please include Rural Public, Appalachian, Intercity Bus, Statewide, Metropolitan and Non-Metropolitan Planning/Justification of Proposed Coordination/Transit Planning Elements/Technical Assistance etc.) – 5311, 5303, 5304		
– Appalachian Counties listed (if applicable) - 5311		
– HSTD/NEMT Involvement/Participation – 5311		
– Vehicle/Facility Maintenance Plans – 5311		
– Fixed Route/Supplemental ADA Paratransit – 5311		
– Deviated or Flexible Fixed Route – 5311		
– Demand-Response – 5311		
– Intercity Bus Assurance and Description - 5311		
– Incidental Services/Cost Recovery (Facilities, Charter, Meals, etc.) – 5311, 5310		
– Updated Equipment/Rolling Stock/Real Property Inventory Listing – 5311		
– Maps of Service Area for <u>each service</u> (Demand Response/Intercity, etc.) or Metropolitan Planning Area Boundaries and Map – 5311, 5303		
– Articles of Incorporation/Transit Authority/Local Gov (current) – 5311, 5310 (Lead and Applicants)		
– Legal Name Form – 5311, 5310		
– Updated Drug & Alcohol Policy - 5311		
– List of Safety Sensitive Employees (w/o SS#) including Job Titles – 5311		
– Low Income Population for Service Area – 5311		

– Disabled Population for Service Area – 5311		
– Training Conducted during Current and One (1) Past Fiscal Year – 5311		
– Status of Open 5311/5310/5309/5339 Capital Projects with Updated Milestones – 5311, 5310 & 5339		
– Description of Capital Request – 5311, 5310 & 5339		
– Traditional Capital Project – Replacement Vehicles - 5310		
– Needs Ranked - 5310		
– Project(s) Exceed Requirements of ADA, Improve Access to Fixed Route Services and/or Alternatives that Assist Seniors and Individuals with Disabilities (Formerly 5317 New Freedom) - 5310		

## 2. Project Justification

– Benefits/Changes/Impact – 5311		
– Personnel - 5311		
– Relationship to Community – 5311		
– Local Support Letters – 5311		
– Inaccessible Vehicle Purchase -5311, 5310		

## 3. Project Budget(s) Operating/Administrative/Planning/RTAP

– Separate Budget for each Applicable Service (Operating, Administrative, Appalachian, Intercity, Intercity Administrative, Statewide, MPO, and Non-Metropolitan Planning ) – 5311, 5310, 5303, 5304		
– Separate <b>Detailed</b> Backup for <b>each</b> Line Item on <b>each</b> Budget – 5311		
– Explain Non-Emergency Medicaid Involvement in Detail – 5311		
– Indirect Line Item (Approved Non-Profit Rate Agreement) – 5311		
– In-Kind Backup Documentation/Justification – 5311		
– RTAP Needs Explained & Budget(s) – 5311		
– RTAP Application Spreadsheet - 5311		
– Source(s) of Contract Revenue w/Description of Services Provided - 5311		
<b>Capital Budgets(s) 5311, 5310 and 5339</b>		
– Section Capital Budget Request – Section 5311 Capital, Appalachian Capital, Intercity Capital, Section 5339 – Attach budget for <b>each</b> capital request – 5311, 5339, 5310		
– Separate <b>Detailed</b> Backup Justification for <b>each</b> Capital Budget Requests and DBE Goal (If needed) – 5311, 5310, 5339		
– Milestone Schedule for <b>each</b> Capital Budget Requests – 5311, 5310, 5339		
– Project Financing and Commitment of Local Share – 5311 & 5310		
– Anticipation of NEPA Requirements - 5311 & 5339		
– Protection of the Environment Statement that this Project is a Class 2		

Action that has no Significant Impact on the Environment, if applicable, or Planned Environmental Reviews - 5311 & 5339		
– Statement that No Persons, Families, or Businesses will be Displaced by the Proposed Project (if applicable) – 5311 & 5339		
– Evaluation of Flood Plain (if applicable) – 5311 & 5339		
– Bid or Quote Specifications with Bid Package and ICE for <b><u>each Item Requested</u></b>		
– Each Counties Needs Address - 5310		
– Preliminary Assessment of Needs Ranked - 5310		
– Letter(s) from Agency(s) Providing Operating Funds for Vehicle - 5310		
– Letter(s) from Agency(s) Providing Required Local Match - 5310		

#### 4. Requirements

– Fiscal/Managerial Capability of Lead Agency & Applicants - 5310		
– Title VI: Minorities Served Estimated by Category – 5310, 5311		
– Equivalent Service Analysis of Lead Agency & Applicants – 5310 & 5311		
– Preventive Maintenance Program and Forms – 5310		

#### 5. 5311 Purchase Requirement(s)

– Agency Purchase Procedures (one-time only) – 5311, 5339		
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#### 6. Planning

– Monitoring Agency(s) (Board, Commission, State, ADD, etc.) – 5311			
– Studies & Dates - 5311			
– Three One-Year Operating Budgets (SFY22, SFY23 & SFY24) – <b>Due again SFY22 - 5311</b>			
– Three One-Year Capital Budgets (SFY22, SFY23 & SFY24) – <b>Due again SFY22 - 5311</b>			
– Population of Service Area by County - 5311			
– Community Development Projects Description - 5311			
– Inclusion in MPO’s Transportation Improvement Program (TIP) if Part of Urban Area and/or Inclusion in State Transportation Improvement Program (STIP) – 5339, 5311, 5310			
<b>MPO Planning Program - Section 5303 Only</b>	<b><u>UPWP</u> <u>PAGE #</u></b>	<b><u>MPO</u></b>	<b><u>CABINET</u> <u>USE ONLY</u></b>
- MPO is coordinating with 5307 recipients to establish Performance Measures that will aid in the establishment of Addressing Performance Targets in 23 U.S.C. 150(c) and Coordinating on Targets related to Transit Safety			
- Copy of TIP/Amendment pages that relate to Transit Asset Management (TAM) – must include description of the anticipated progress brought about by implementing the TIP towards achieving the performance targets.			
- MPO UPWP includes performance targets that address			

performance measures and standards and a system performance report.			
- Unified Planning Work Program (Draft/Final)			
- Coordinated Planning Activities for the Locally Developed Public Transit/Human Services Transportation Coordinated Plan			
- MPO Policy Board Public Transit Representation (attached)			
<b>Statewide and Non-Metropolitan Planning – Section 5304 Only</b>		<b><u>PAGE #</u></b>	<b><u>CABINET USE ONLY</u></b>
- Description of Board Make-Up and Participation in Regional Boards			
- Goals & Objectives			

## **PART II COMPLIANCE**

### **1. Coordination Meeting**

- Certified Mail/Returned Receipts and/or List of Agencies – 5311 & 5310		
- Providers Notified/Copy of Letter – 5311 & 5310		
- Participants/Summary 5311 & 5310		
- All Agencies Contracted/Dates Listed – 5310, 5311		
- Groups Serving Minorities Notified – 5310, 5311		
- Private Sector Notification - Dates/Early Notification/Consultation/Certified Mail/Returned Receipts – 5311, 5310		

### **2. Public Hearing (if necessary) – Did an increase of fare or reduction of service occur?**

- Copy of Advertisement/Proof of Publication – 5311,5310, 5339		
- Participants/Certified Verbatim Transcript -5311,5310,5339		
- LEP Accommodations – 5311,5310,5339		

### **3. Title VI – Has this been submitted to OTD and approved? – Attach if not attached. – 5311, 5310, 5339, 5303, 5304**

### **4. EEO – Equal Employment Opportunity**

- Affirmative Action Plan (100 or more employees) – 5311, 5310, 5339, 5303, 5304		
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### **5. Elderly and Persons with Disabilities**

- Hearing (if service for disabled changed) - 5311		
- Status Report on Service for Disabled <b>DUE in FY23 Application - 5311</b>		



**6. Opinion of Counsel**

– Current Letter from Counsel - 5311		
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**7. Certifications and Assurances**

– FY2021 Certifications and Assurances – 5311, 5310, 5339, 5303, 5304		
– Signed Federal Model Clauses – 5311, 5310, 5339, 5303, 5304		
– Authorizing Resolution – 5311, 5310, 5339, 5303, 5304		

**8. Coordinated Plan**

– Coordinated Plan Attached – 5310		
– Coordinated Plan Checklist Attached (Fully Completed and Signed) 5310		

The below signature hereby certify that all the above listed documents including certifications and assurances, have been submitted to the Kentucky Transportation Cabinet, Office of Transportation Delivery through the Online Grant Program of the SFY2021 Super Grant.

Electronic Signature will be prompted.

Agency Signature	Title	Date

Electronic Signature will be prompted.

State/OTD Project Manager Signature	Title	Date

\_\_\_\_\_ State/OTD Staff Assistant or Branch Manager Acknowledgement  
Initials

**\*\*All elements must be checked or marked N/A, by the Project Manager, for an application to receive State and Federal Approval.**

Kentucky Transportation Cabinet – Office of Transportation Delivery  
 SFY2021 Section 5303, 5304, 5310, 5311 & 5339 Super Grant Attachment  
 Requirements for Online Grant Portal

<b>Document Attachment</b>	<b>Grant Sections</b>
Vehicle/Facility Maintenance Plans	5311
Updated Equipment/Rolling Stock/Real Property	5311
Maps of Service Area for each service (Demand Response/Intercity, etc.) or MPO Boundaries and Maps	5303 & 5311
Articles of Incorporation/Transit Authority/Local Government (current)	5310 & 5311
Updated Drug and Alcohol Policy	5311
List of Safety Sensitive Employees with Job Titles without Social Security Numbers	5311
Low Income Population for Service Area	5311
Local Support Letters	5311
In-Kind Backup Documentation/Justification, *Required if requested in budget	5311
Indirect Lin Item (Approval of Non-Profit Rate Agreement)	5311
Evaluation of Flood Plan (If Applicable)	5311 & 5339
Bid or Quote with Specifications with Bid Package and completed ICE for each item requested. *Three possible attachments	5311 & 5339
Letter(s) from Agency(s) Providing Operating Funds for Vehicle	5310
Equivalent Service Analysis of Lead Agency & Applicants	5310 & 5311
Preventative Maintenance Program and Forms	5310
Agency Purchase Procedures	5311 & 5339
Planning Studies and Dates	5311
Inclusion in MPO's Transportation Improvement Program (TIP) if Part of Urban Area and/or Inclusion of State Transportation Improvement Program (STIP)	5310, 5311 & 5339
Unified Planning Work Program (UPWP)	5303
Coordinated Meeting: Certified Mail/Returned Receipts and/or List of agencies	5310 & 5311
Providers Notified/Copy of Letter	5310
Participants/Summary	5310 & 5311
Public Hearing: Copy of Advertisement/Proof of Publication	5310, 5311 & 5339
Participants/Certified Verbatim Transcript	5310, 5311 & 5339
Title VI Plan	5303, 5304, 5310, 5311 & 5339
Opinion of Counsel	5311
Coordinated Plan	5310

**Sections 5307/5339/5310/5311/5303/5304  
SFY 2021**

**A RESOLUTION AUTHORIZING THE FILING OF AN APPLICATION WITH THE DEPARTMENT OF TRANSPORTATION, UNITED STATES OF AMERICA, FOR A GRANT UNDER FIXING AMERICA'S SURFACE TRANSPORTATION ACT (FAST ACT)**

**WHEREAS, the Secretary of Transportation is authorized to make grants for mass transportation projects; and**

**WHEREAS, the contract for financial assistance will impose certain obligations upon the applicant, including the provision by it of the local share of the project costs; and**

**WHEREAS, it is required by the U.S. Department of Transportation in accordance with the provisions of Title VI of the Civil Rights Act of 1964, that in connection with the filing of an application for assistance under the Fixing America's Surface Transportation Act (FAST Act), the applicant gives an assurance that it will comply with Title VI of the Civil Rights Act of 1964 and the Department of Transportation requirements thereunder; and**

**WHEREAS, it is required by the U.S. Department of Transportation in accordance with the provisions of Section 504 of the Rehabilitation Act of 1973, that in connection with the filing of an application for assistance the applicant gives an assurance that it will comply with Section 504 of Rehabilitation Act of 1973 and the U.S. Department of Transportation requirements thereunder; and**

**WHEREAS, it is required by the U.S. Department of Labor in accordance with the provisions of Section 5333(b) of the Fixing America's Surface Transportation Act (FAST Act), that in connection with the filing of an application for assistance under the Fixing America's Surface Transportation Act (FAST Act), and in the absence of a waiver from the U.S. Department of Labor, the applicant gives an assurance that it will comply with Section 5333(b) of the Fixing America's Surface Transportation Act (FAST Act), and the U.S. Department of Labor requirements thereunder; and**

**WHEREAS, it is the goal of the applicant that disadvantaged business enterprises be utilized to the fullest extent possible in connection with this project, and the definite procedures shall be established and administered to ensure that disadvantaged businesses shall have maximum feasible opportunity to compete for contracts when procuring construction contracts, supplies, equipment contracts or consultant and other services.**

**NOW, THEREFORE, BE IT RESOLVED BY THE \_\_\_\_\_  
(governing board) OF THE \_\_\_\_\_ (Applicant):**

- Section 1.** That \_\_\_\_\_ (Name), \_\_\_\_\_ (Title) of the \_\_\_\_\_ (Applicant) is authorized to execute and file an application on behalf of the \_\_\_\_\_ (Applicant) with the U.S. Department of Transportation, to aid in the financing of the \_\_\_\_\_ (type of grant requesting: capital, operating, administrative) assistance projects described in the attachment.
- Section 2.** That \_\_\_\_\_ (Name), \_\_\_\_\_ (Title) is authorized to execute and file with such application an assurance or any other document required by the U.S. Department of Transportation effectuating the purpose of Title VI of the Civil Rights Act of 1964.
- Section 3.** That \_\_\_\_\_ (Name), \_\_\_\_\_ (Title) of the \_\_\_\_\_ (Applicant) is authorized to set forth and execute affirmative minority business policies in connection with the project's procurement needs.
- Section 4.** That \_\_\_\_\_ (Name), \_\_\_\_\_ (Title) of the \_\_\_\_\_ (Applicant) is authorized to set forth and execute with such application an assurance that the \_\_\_\_\_ (Applicant) will comply with the conditions of the Section 5333(b) Warranty as required by the U.S. Department of Labor effectuating the purposes of Section 5333(b) of Fixing America's Surface Transportation Act (FAST Act).
- Section 5.** That \_\_\_\_\_ (Name), \_\_\_\_\_ (Title) is authorized to furnish such additional information as the U.S. Department of Transportation may require in connection with the application or the project.
- Section 6.** That \_\_\_\_\_ (Name), \_\_\_\_\_ (Title) is authorized to execute grant contract agreements on behalf of \_\_\_\_\_ (Applicant) with the Kentucky Transportation Cabinet for aid in the financing of the \_\_\_\_\_ (Type of Grant) assistance project(s).
- Section 7.** That \_\_\_\_\_ (Name), \_\_\_\_\_ (Title) is authorized to sign all grant, budgets, application and contract agreements via electronic signature on behalf of \_\_\_\_\_ (Applicant) with the Kentucky Transportation Cabinet.

**Section 8. This Resolution shall be in full force and effect from and after the date of its adoption.**

**ADOPTED** by vote of the \_\_\_\_\_ (Applicant's Governing Board)  
this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

**Approved:**

\_\_\_\_\_  
**Title**

**Attest:**

\_\_\_\_\_  
**Title**

**I, being the duly appointed \_\_\_\_\_ (Title) of  
the \_\_\_\_\_ (Transit Applicant), do  
hereby certify that the foregoing is a true and correct copy of Resolution No.  
\_\_\_\_\_, adopted by the \_\_\_\_\_ (Governing  
Board), \_\_\_\_\_ (Date).**