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Governor

COMMONWEALTH OF KENTUCKY
TRANSPORTATION CABINET
Frankfort, Kentucky 40622
www.transportation.ky.gov/

Greg Thomas
Secretary

December 12, 2017

SUBJECT: SFY 2019 Section 5339, 5310, 5311 Assistance
Application Checklists and Required Certifications/Assurances
Fixing America's Surface Transportation Act (FAST Act)

Dear Grantee:

Enclosed are application checklists to guide you in the development of the subject application(s) for SFY 2019 assistance. We ask that you read these guidelines, thoroughly, prior to beginning you application. These checklists can, also, be found on the KYTC/Office of Transportation Delivery (OTD) website at <http://transportation.ky.gov/Transportation-Delivery/Pages/Grant-Descriptions.aspx>. Also, attached is a list of Certifications/Assurances/Model Clauses/Required Forms that can be found on our website. These checklists and assurances are the only version 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 2019 application cycle.

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.



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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. 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 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 at 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 Veteran/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 local developed, Public Transit-Human Service Transportation Coordinated Plan.

RTAP Training/technical assistances needs and budget(s) for FY 2019 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, 2018 through January 31, 2019 (100% Federal).

Vehicle or equipment specifications for capital grants (Section 5310, 5311, 5339) should be included with the applications. All capital applications should include Milestone 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**. 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.

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).

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

Under the Open Projects Status Section of the 5311/5310/5339/5309 applications, the following information **MUST** be reported as of April 2, 2018: 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 each of the Application Checklists, 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 2019 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 **KPTA Bid #7**, reference would be made to that project.

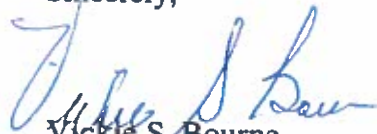
Application documents must be submitted in a hard copy or electronic format. If you wish to submit an application online, please utilize log-in information from the previous fiscal year. If you do not have previous log-in information, please contact our office as soon as possible with your request. In order to access the Online Grant System, please enter the following web address into your browser <https://business.kytc.ky.gov/work/TDG>. You will be prompted to enter a Username and Password.

Scanned signatures and certified receipts, etc. are allowed. An electronic version of the application can be submitted with the hard copy. The Section 5310 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 2, 2018** and, if submitting a hard copy, should be mailed to:

ATTN: Eric Perez, Deputy Executive Director
Kentucky Transportation Cabinet
Office of Transportation Delivery
200 Mero Street
Frankfort, KY 40622

If you have any questions, or have trouble accessing the website, please contact Eric Perez, Deputy Executive Director, at (502) 564-7433.

Sincerely,



Vickie S. Bourne
Executive Director
Office of Transportation Delivery

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Enclosures