

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

### PREFACE

*Except as the Federal Transit Administration (FTA or we) determines otherwise in writing, before FTA may award Federal transit assistance (funding or funds) to support a public transportation Project, an authorized representative (you) of the Project sponsor (Applicant) must select certain Certifications and Assurances required by Federal law or regulation. You must select all Certifications and Assurances required of your Applicant to support its applications for FTA funding during Federal fiscal year (FY) 2013.*

*We request that you read each Certification and Assurance and select those that will apply to all Projects for which your Applicant might seek FTA funding. Only if you select adequate Certifications and Assurances on your Applicant's behalf, as required by Federal law or regulation, may FTA award Federal funding for your Applicant's Project.*

*We have consolidated our Certifications and Assurances into twenty-four (24) Groups. At a minimum, you must select the assurances in Group 01. If your Applicant requests more than \$100,000, you must also select the "Lobbying" Certification in Group 02, unless your Applicant is an Indian tribe or organization or a tribal organization. Depending on the nature of your Applicant and its Project, your Applicant may need to select some of the Certifications and Assurances in Groups 03 through 24. However, instead of selecting individual Groups of Certifications and Assurances, you may make a single selection that will encompass all Groups of Certifications and Assurances applicable to all our programs. FTA and your Applicant understand and agree that not every provision of these twenty-four (24) Certifications and Assurances will apply to every Applicant or every Project FTA funds. The type of Project and Applicant will determine which Certifications and Assurances apply.*

*Your Applicant also understands and agrees that these Certifications and Assurances are pre-award requirements, generally required by Federal law or regulation, and do not include all Federal requirements that may apply to your Applicant or its Project. Our FTA Master Agreement MA(19) for Federal FY 2013, <http://www.fta.dot.gov/documents/19-Master.pdf>, contains a list of most of those requirements.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take the appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Your Applicant understands and agrees that when you apply for funding on behalf of a*

## **FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES**

*consortium, joint venture, partnership, or team, you must identify the activities each member will perform and the extent to which each member of that consortium, joint venture, partnership, or team will be responsible for compliance with the Certifications and Assurances you select on behalf of your Applicant, except as FTA determines otherwise in writing.*

*We expect you to submit your Applicant's FY 2013 Certifications and Assurances and its applications for funding in TEAM-Web. You must be registered in TEAM-Web to submit the FTA FY 2013 Certifications and Assurances on behalf of your Applicant. The TEAM-Web "Recipients" option at the "Cert's & Assurances" tab of the "View/Modify Recipients" page contains fields for selecting among the twenty-four (24) Groups of Certifications and Assurances and a designated field for selecting all twenty-four (24) Groups. If FTA agrees that you cannot submit your Applicant's FY 2013 Certifications and Assurances electronically, you must submit the Signature Page(s) in Appendix A of this Notice marked to show the Groups of Certifications and Assurances your Applicant is providing.*

*Be aware that these Certifications and Assurances have been prepared in light of:*

- *FTA's latest authorization legislation, Moving Ahead for Progress in the 21st Century Act (MAP-21), Pub. L. 112-141, June 6, 2012,*
- *The Continuing Appropriations Resolution, 2013 (CR), Pub. L. 112-175, September 28, 2012.*
- *The FTA "Notice of FTA Transit Program Changes, Authorized Funding Levels and Implementation of the Moving Ahead for Progress in the 21st Century Act (MAP-21) and the FTA FY 2013 Apportionments, Allocations, Program Information and Interim Guidance," 77 Fed. Reg. 663670, October 16, 2012 (FTA FY 2013 Apportionments Notice), and*
- *FTA's authorizing legislation in effect in FY 2012 or a previous fiscal year.*

*With certain exceptions, projects financed in FY 2013 with funds made available or appropriated for FY 2012 or a previous fiscal year must be in compliance with the requirements for that type of project in effect for the fiscal year for which the funding was derived, except as superseded by MAP-21 cross-cutting requirements that apply instead.*

### **GROUP 01. REQUIRED CERTIFICATIONS AND ASSURANCES FOR EACH APPLICANT.**

*You must select the Certifications and Assurances in Group 01 on behalf of your Applicant for FTA funding except as FTA determines otherwise in writing.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your*

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participants to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, before FTA may provide funding for your Applicant's Project, you must select the Certifications and Assurances in Group 01 on behalf of your Applicant. Any provision of the Certifications and Assurances in Group 01 that does not apply will not be enforced.*

### **A. Assurance of Authority of the Applicant and Its Representative.**

On behalf of your Applicant, you certify that both you and your Applicant's attorney who sign these Certifications, Assurances, and Agreements affirm that both your Applicant and you, as its authorized representative, may undertake the following activities on behalf of your Applicant, in compliance with applicable State, local, or Indian tribal laws and regulations, and your Applicant's by-laws or internal rules:

1. Execute and file its application for Federal funds,
2. Execute and file its Certifications, Assurances, and Agreements binding its compliance,
3. Execute Grant Agreements or Cooperative Agreements, or both, with FTA,
4. Comply with applicable Federal laws and regulations, and
5. Follow applicable Federal guidance.

### **B. Standard Assurances.**

On behalf of your Applicant, you assure that your Applicant understands and agrees to the following:

1. Your Applicant will comply with all applicable Federal statutes and regulations to carry out any FTA funded Project,
2. Your Applicant is under a continuing obligation to comply with the terms and conditions of the FTA Grant Agreement or Cooperative Agreement for its Project, including the FTA Master Agreement incorporated by reference and made part of the latest amendment to the Grant Agreement or Cooperative Agreement,
3. Your Applicant recognizes that Federal laws and regulations may be modified from time to time and those modifications may affect Project implementation,
4. Your Applicant understands that Presidential executive orders and Federal guidance, including Federal policies and program guidance, may be issued concerning matters affecting your Applicant or its Project,
5. Your Applicant agrees that the most recent Federal laws, regulations, and guidance will apply to its Project, unless FTA determines otherwise in writing,
6. In light of recent FTA legislation applicable to FTA and except as FTA determines otherwise in writing, your Applicant agrees that requirements for FTA programs may vary depending on the fiscal year for which the funding for those programs was appropriated:

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- a. In some instances, FTA has determined that Federal statutory or regulatory program and eligibility requirements for FY 2012 or a specific previous fiscal year will apply to:
  - (1) New grants and cooperative agreements, and
  - (2) New amendments to grants and cooperative agreements that:
    - (a) Have been awarded Federal funds made available or appropriated for FY 2012 or the previous fiscal year, or
    - (b) May be awarded Federal funds appropriated for FY 2012 or the previous fiscal year, but
- b. In other instances, FTA has determined that MAP-21 will apply to the Federal funds made available or appropriated for FY 2012 or a previous fiscal year, and
- c. For all FTA funded Projects, the following MAP-21 cross-cutting requirements supersede conflicting provisions of previous Federal law and regulations:
  - (1) Metropolitan and Statewide Planning,
  - (2) Environmental Review Process,
  - (3) Agency Safety Plans,
  - (4) Transit Asset Management Provisions (and Asset Inventory and Condition Reporting),
  - (5) Costs Incurred by Providers of Public Transportation by Vanpool,
  - (6) Revenue Bonds as Local Match,
  - (7) Debt Service Reserve,
  - (8) Government's Share of Cost of Vehicles, Vehicle-Equipment, and Facilities for ADA and Clean Air Act Compliance,
  - (9) Private Sector Participation,
  - (10) Bus Testing,
  - (11) Buy America,
  - (12) Corridor Preservation,
  - (13) Rail Car Procurements,
  - (14) Veterans Preference/Employment,
  - (15) Alcohol and Controlled Substance Testing, and
  - (16) Other provisions as FTA may determine.

*(See the Federal Transit Administration, "Notice of FTA Transit Program Changes, Authorized Funding Levels and Implementation of the Moving Ahead for Progress in the 21st Century Act (MAP-21) and FTA FY 2013 Apportionments, Allocations, Program Information and Interim Guidance," 77 Fed. Reg. 663670, October 16, 2012.)*

### **C. Intergovernmental Review Assurance.**

*(The assurance in Group 01.C does not apply to an Indian tribe, an Indian organization or a tribal organization that applies for funding made available or*

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*appropriated for FTA's Public Transportation on Indian Reservations Program authorized by 49 U.S.C. 5311(c)(1), as amended by MAP-21 or to FTA's Tribal Transit Program authorized by former 49 U.S.C. 5311(c)(1) in effect in FY 2012 or a previous fiscal year.)*

To facilitate compliance with U.S. Department of Transportation (U.S. DOT) regulations, "Intergovernmental Review of Department of Transportation Programs and Activities," 49 CFR part 17, on behalf of your Applicant, you assure that it has submitted or will submit each application for Federal funding to the appropriate State and local agencies for intergovernmental review, as required by those regulations.

### **D. Nondiscrimination Assurance.**

On behalf of your Applicant, you assure that:

1. Your Applicant will comply with the following laws and regulations so that no person in the United States will be denied the benefits of, or otherwise be subjected to discrimination in any U.S. DOT or FTA funded program or activity (particularly in the level and quality of transportation services and transportation-related benefits on the basis of race, color, national origin, religion, sex, disability, or age:
  - a. Federal transit laws, specifically 49 U.S.C. 5332, as amended by MAP-21 (prohibiting discrimination on the basis of race, color, religion, national origin, sex, disability, or age, and in employment or business opportunity),
  - b. Title VI of the Civil Rights Act of 1964, as amended, 42 U.S.C. 2000d,
  - c. The Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, *et seq.*,
  - d. The Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 *et seq.*,
  - e. U.S. DOT regulations, "Nondiscrimination in Federally-Assisted Programs of the Department of Transportation-Effectuation of Title VI of the Civil Rights Act of 1964," 49 CFR part 21,
  - f. U.S. DOT regulations, specifically 49 CFR parts 27, 37, 38, and 39, and
  - g. Any other applicable Federal statutes that may be signed into law or Federal regulations that may be promulgated,
2. Your Applicant will comply with Federal guidance implementing Federal nondiscrimination laws and regulations, except to the extent FTA determines otherwise in writing,
3. As required by 49 CFR 21.7:
  - a. Your Applicant will comply with 49 U.S.C. 5332, as amended by MAP-21, 42 U.S.C. 2000d, and 49 CFR part 21 in the manner:
    - (1) It conducts each Project,
    - (2) It undertakes property acquisitions, and
    - (3) It operates its Project facilities, including:
      - (a) Its entire facilities, and
      - (b) Its facilities operated in connection with its Project,

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- b. This assurance applies to your Applicant's entire Project and to all parts of its facilities, including the facilities it operates to implement its Project,
- c. Your Applicant will promptly take the necessary actions to carry out this assurance, including:
  - (1) Notifying the public that discrimination complaints about transportation-related services or benefits may be filed with U.S. DOT or FTA, and
  - (2) Submitting information about its compliance with these provisions to U.S. DOT or FTA upon their request,
- d. If your Applicant transfers FTA funded real property, structures, or improvements to another party, any deeds and instruments recording that transfer will contain a covenant running with the land assuring nondiscrimination:
  - (1) While the property is used for the purpose that the Federal funding is extended, and
  - (2) While the property is used for another purpose involving the provision of similar services or benefits,
- e. The United States has a right to seek judicial enforcement of any matter arising under:
  - (1) Title VI of the Civil Rights Act, 42 U.S.C. 2000d,
  - (2) U.S. DOT regulations, 49 CFR part 21, and
  - (3) This assurance,
- f. Your Applicant will make any changes in its Title VI implementing procedures as U.S. DOT or FTA may request to comply with:
  - (1) Title VI of the Civil Rights Act, 42 U.S.C. 2000d,
  - (2) U.S. DOT regulations, 49 CFR part 21, and
  - (3) Federal transit laws, 49 U.S.C. 5332, as amended by MAP-21,
- g. Your Applicant will comply with Federal guidance issued to implement Federal nondiscrimination requirements, except as FTA determines otherwise in writing,
- h. Your Applicant will extend the requirements of 49 U.S.C. 5332, as amended by MAP-21, 42 U.S.C. 2000d, and 49 CFR part 21 to each Third Party Participant, including:
  - (1) Any Subrecipient,
  - (2) Any Transferee,
  - (3) Any Third Party Contractor or Subcontractor at any tier,
  - (4) Any Successor in Interest,
  - (5) Any Lessee, or
  - (6) Any other Third Party Participant in its Project,
- i. Your Applicant will include adequate provisions to extend the requirements of 49 U.S.C. 5332, as amended by MAP-21, 42 U.S.C. 2000d, and 49 CFR part 21 to each third party agreement, including:
  - (1) Each subagreement,
  - (2) Each property transfer agreement,
  - (3) Each third party contract or subcontract at any tier,

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- (4) Each lease, or
- (5) Each participation agreement, and
- j. The assurances you have made on behalf of your Applicant will remain in effect as long as:
  - (1) Federal funding is extended to your Applicant's Project,
  - (2) Your Applicant's Project property is used for a purpose for which the Federal funding is extended,
  - (3) Your Applicant's Project property is used for a purpose involving the provision of similar services or benefits, or
  - (4) Your Applicant retains ownership or possession of its Project property, and
- 4. As required by U.S. DOT regulations, "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," 49 CFR part 27, specifically 49 CFR 27.9, and consistent with 49 U.S.C. 5307(c)(1)(D)(iii), as amended by MAP-21, you assure that:
  - a. Your Applicant will comply with the following prohibitions against discrimination on the basis of disability, which are a condition of approval or extension of any FTA funding awarded to:
    - (1) Construct any facility,
    - (2) Obtain any rolling stock or other equipment,
    - (3) Undertake studies,
    - (4) Conduct research, or
    - (5) Participate in or obtain any benefit from any FTA administered program, and
  - b. In any program or activity receiving or benefiting from Federal funding that U.S. DOT administers, no otherwise qualified people with a disability will, because of their disability, be:
    - (1) Excluded from participation,
    - (2) Denied benefits, or
    - (3) Otherwise subjected to discrimination.

### **E. Suspension and Debarment Certification.**

On behalf of your Applicant, you certify that:

- 1. Your Applicant will comply and facilitate compliance with U.S. DOT regulations, "Nonprocurement Suspension and Debarment," 2 CFR part 1200, which adopts and supplements the provisions of U.S. Office of Management and Budget (U.S. OMB) "Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement)," 2 CFR part 180,
- 2. To the best of your knowledge and belief, and your Applicant's knowledge and belief, that your Applicant's Principals and Subrecipients at the first tier:
  - a. Are eligible to participate in covered transactions of any Federal department or agency and are not presently:
    - (1) Debarred,

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- (2) Suspended,
  - (3) Proposed for debarment,
  - (4) Declared ineligible,
  - (5) Voluntarily excluded, or
  - (6) Disqualified,
- b. Your Applicant's management has not within a three-year period preceding its latest application or proposal been convicted of or had a civil judgment rendered against any of them for:
- (1) Commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction, or contract under a public transaction,
  - (2) Violation of any Federal or State antitrust statute, or
  - (3) Commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making any false statement, or receiving stolen property,
- c. Your Applicant is not presently indicted for, or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses listed in the preceding Section 1.b of this Certification,
- d. Your Applicant has not had one or more public transactions (Federal, State, or local) terminated for cause or default within a three-year period preceding this Certification,
- e. If, at a later time, your Applicant receives any information that contradicts the statements of subparagraphs 2.a – 2.d above, your Applicant will promptly provide that information to FTA,
- f. Your Applicant will treat each lower tier contract or lower tier subcontract under its Project as a covered lower tier contract for purposes of 2 CFR part 1200 and 2 CFR part 180 if it:
- (1) Equals or exceeds \$25,000,
  - (2) Is for audit services, or
  - (3) Requires the consent of a Federal official, and
- g. Your Applicant will require that each covered lower tier contractor and subcontractor:
- (1) Comply and facilitate compliance with the Federal requirements of 2 CFR parts 180 and 1200, and
  - (2) Assure that each lower tier participant in its Project is not presently declared by any Federal department or agency to be:
    - (a) Debarred from participation in your Applicant's federally funded Project,
    - (b) Suspended from participation in your Applicant's federally funded Project,
    - (c) Proposed for debarment from participation in your Applicant's federally funded Project,
    - (d) Declared ineligible to participate in your Applicant's federally funded Project,



## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- (e) Voluntarily excluded from participation in your Applicant's federally funded Project, or
  - (f) Disqualified from participation in your Applicant's federally funded Project, and
- 3. Your Applicant will provide a written explanation as indicated on its Signature Page or a page attached in FTA's TEAM-Web if it or any of its principals, including any of its first tier Subrecipients or any of its Third Party Participants at a lower tier, is unable to certify compliance with to the preceding statements in this Certification 01.E.

### **F. U.S. OMB Assurances in SF-424B and SF-424D.**

*The assurances in Group 01.F are consistent with the U.S. OMB assurances required in the U.S. OMB SF-424B and SF-424D, updated as necessary to reflect changes in Federal laws and regulations.*

- 1. *Administrative Activities.* On behalf of your Applicant, you assure that:
  - a. For every project described in any application your Applicant submits, your Applicant has adequate resources to properly plan, manage, and complete its Project, including:
    - (1) The legal authority to apply for Federal funding,
    - (2) The institutional capability,
    - (3) The managerial capability, and
    - (4) The financial capability (including funds sufficient to pay the non-Federal share of Project cost),
  - b. Your Applicant will give limited access and the right to examine Project-related materials, including, but not limited to:
    - (1) FTA,
    - (2) The Comptroller General of the United States, and
    - (3) If appropriate, the State, through any authorized representative,
  - c. Your Applicant will establish a proper accounting system in accordance with generally accepted accounting standards or FTA guidance, and
  - d. Your Applicant will establish safeguards to prohibit employees from using their positions for a purpose that results in:
    - (1) A personal or organizational conflict of interest, or personal gain, or
    - (2) The appearance of a personal or organizational conflict of interest or personal gain.
- 2. *Project Specifics.* On behalf of your Applicant, you assure that:
  - a. Following receipt of an FTA award, your Applicant will begin and complete Project work within the time periods that apply,
  - b. For FTA funded construction Projects:
    - (1) Your Applicant will comply with FTA provisions concerning the drafting, review, and approval of construction plans and specifications,
    - (2) Your Applicant will, to the extent practicable, provide and maintain

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- competent and adequate engineering supervision at the construction site to assure that the completed work conforms with the approved plans and specifications,
- (3) Your Applicant will include a covenant to assure nondiscrimination during the useful life of its Project in its title to federally funded real property,
  - (4) To the extent FTA requires, your Applicant will record the Federal interest in the title to FTA funded real property or interests in real property, and
  - (5) To the extent practicable, absent permission and instructions from FTA, your Applicant will not alter the site of the FTA funded construction Project or facilities by:
    - (a) Disposing of the underlying real property or other interest in the site and facilities,
    - (b) Modifying the use of the underlying real property or other interest in the site and facilities, or
    - (c) Changing the terms of the underlying real property title or other interest in the site and facilities, and
- c. Your Applicant will furnish progress reports and other information as FTA or the State may require.
3. Statutory and Regulatory requirements. On behalf of your Applicant, you assure that:
- a. Your Applicant will comply with all Federal statutes relating to nondiscrimination that apply, including, but not limited to:
    - (1) The prohibitions against discrimination on the basis of race, color, or national origin, as provided in Title VI of the Civil Rights Act, 42 U.S.C. 2000d,
    - (2) The prohibitions against discrimination on the basis of sex, as provided in:
      - (a) Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 – 1683, and 1685 – 1687, and
      - (b) U.S. DOT regulations, “Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance,” 49 CFR part 25,
    - (3) The prohibitions against discrimination on the basis of age in federally funded programs, as provided in the Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 – 6107,
    - (4) The prohibitions against discrimination on the basis of disability in federally funded programs, as provided in section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794,
    - (5) The prohibitions against discrimination on the basis of disability, as provided in the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 *et seq.*
    - (6) The prohibitions against discrimination in the sale, rental, or financing of

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

housing, as provided in Title VIII of the Civil Rights Act, 42 U.S.C. 3601 *et seq.*,

- (7) The prohibitions against discrimination on the basis of drug abuse, as provided in the Drug Abuse Office and Treatment Act of 1972, as amended, 21 U.S.C. 1101 *et seq.*,
  - (8) The prohibitions against discrimination on the basis of alcohol abuse, as provided in the Comprehensive Alcohol Abuse and Alcoholism Prevention Act of 1970, as amended, 42 U.S.C. 4541 *et seq.*,
  - (9) The confidentiality requirements for the records of alcohol and drug abuse patients, as provided in the Public Health Service Act, as amended, 42 U.S.C. 290dd – 290dd-2, and
  - (10) The nondiscrimination provisions of any other statute(s) that may apply to its Project,
- b. As provided by the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (Uniform Relocation Act), 42 U.S.C. 4601 *et seq.*, and the MAP-21 amendment to 49 U.S.C. 5323(b), regardless of whether Federal funding has been provided for any of the real property acquired for Project purposes, your Applicant will provide for fair and equitable treatment of displaced persons or persons whose property is acquired as a result of federally funded programs, and:
- (1) Your Applicant has the necessary legal authority under State and local laws and regulations to comply with:
    - (a) The Uniform Relocation Act. 42 U.S.C. 4601 *et seq.*, as specified by 42 U.S.C. 4630 and 4655, and
    - (b) U.S. DOT regulations, “Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally Assisted Programs,” 49 CFR part 24, specifically 49 CFR 24.4, and
  - (2) Your Applicant has complied with or will comply with the Uniform Relocation Act and implementing U.S. DOT regulations, because:
    - (a) Your Applicant will adequately inform each affected person of the benefits, policies, and procedures provided for in 49 CFR part 24,
    - (b) As required by 42 U.S.C. 4622, 4623, and 4624, and 49 CFR part 24, your Applicant will provide fair and reasonable relocation payments and assistance for displacement, resulting from any FTA funded Project, of:
      - 1 Families and individuals, and
      - 2 Partnerships, corporations, or associations,
    - (c) As provided by 42 U.S.C. 4625 and 49 CFR part 24, your Applicant will provide relocation assistance programs offering the services described in the U.S. DOT regulations to such displaced:
      - 1 Families and individuals, and
      - 2 Partnerships, corporations, or associations,
    - (d) As required by 42 U.S.C. 4625(c)(3), within a reasonable time before displacement, your Applicant will make available comparable

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- replacement dwellings to families and individuals,
- (e) Your Applicant will:
    - 1 Carry out the relocation process to provide displaced persons with uniform and consistent services, and
    - 2 Make available replacement housing in the same range of choices with respect to such housing to all displaced persons regardless of race, color, religion, or national origin,
  - (f) Your Applicant will be guided by the real property acquisition policies of 42 U.S.C. 4651 and 4652 to the greatest extent practicable under State law,
  - (g) Your Applicant will pay or reimburse property owners for their necessary expenses as specified in 42 U.S.C. 4653 and 4654, understanding that FTA will provide Federal funding for its eligible costs of providing payments for those expenses, as required by 42 U.S.C. 4631,
  - (h) Your Applicant will execute the necessary implementing amendments to third party contracts and subagreements financed with FTA funding,
  - (i) Your Applicant will execute, furnish, and be bound by such additional documents as FTA may determine necessary to effectuate or implement these assurances,
  - (j) Your Applicant will incorporate these assurances by reference into and make them a part of any third party contract or subagreement, or any amendments thereto, relating to any FTA funded Project involving relocation or land acquisition, and
  - (k) Your Applicant will provide in any affected document that these relocation and land acquisition provisions must supersede any conflicting provisions,
- c. To the extent practicable, your Applicant will comply with the Lead-Based Paint Poisoning Prevention Act, specifically 42 U.S.C. 4831(b), which prohibits the use of lead-based paint in the construction or rehabilitation of residence structures,
  - d. Your Applicant will, to the extent practicable, comply with the protections for human subjects involved in research, development, and related activities supported by Federal funding of:
    - (1) The National Research Act, as amended, 42 U.S.C. 289 *et seq.*, and
    - (2) U.S. DOT regulations, "Protection of Human Subjects," 49 CFR part 11,
  - e. Your Applicant will, to the extent practicable, comply with the labor standards and protections for federally funded Projects of:
    - (1) The Davis-Bacon Act, as amended, 40 U.S.C. 3141 – 3144, 3146, and 3147,
    - (2) Sections 1 and 2 of the Copeland "Anti-Kickback" Act, as amended, 18 U.S.C. 874, and 40 U.S.C. 3145, respectively, and
    - (3) The Contract Work Hours and Safety Standards Act, as amended,

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

40 U.S.C. 3701 *et seq.*,

- f. Your Applicant will, to the extent practicable, comply with any applicable environmental standards that may be prescribed to implement Federal laws and executive orders, including, but not limited to:
- (1) Following the institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended, 42 U.S.C. 4321 – 4335 and Executive Order No. 11514, as amended, 42 U.S.C. 4321 note,
  - (2) Following the notification of violating facilities provisions of Executive Order No. 11738, 42 U.S.C. 7606 note,
  - (3) Following the protection of wetlands provisions of Executive Order No. 11990, 42 U.S.C. 4321 note,
  - (4) Following the evaluation of flood hazards in floodplains provisions of Executive Order No. 11988, 42 U.S.C. 4321 note,
  - (5) Complying with the assurance of Project consistency with the approved State management program developed pursuant to the Coastal Zone Management Act of 1972, as amended, 16 U.S.C. 1451 – 1465,
  - (6) Complying with the Conformity of Federal Actions to State (Clean Air) Implementation Plans requirements under section 176(c) of the Clean Air Act of 1955, as amended, 42 U.S.C. 7401 – 7671q,
  - (7) Complying with the protections for underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, 42 U.S.C. 300f – 300j-6,
  - (8) Complying with the protections for endangered species under the Endangered Species Act of 1973, as amended, 16 U.S.C. 1531 – 1544,
  - (9) Complying with the environmental protections for Federal transportation programs, including, but not limited to, protections for parks, recreation areas, or wildlife or waterfowl refuges of national, State, or local significance or any land from a historic site of national, State, or local significance to be used in a transportation Project as required by 49 U.S.C. 303(b) and 303(c),
  - (10) Complying with the protection of the components of the national wild and scenic rivers systems, as required under the Wild and Scenic Rivers Act of 1968, as amended, 16 U.S.C. 1271 – 1287, and
  - (11) Complying with and facilitating compliance with:
    - (a) Section 106 of the National Historic Preservation Act of 1966, as amended, 16 U.S.C. 470f,
    - (b) The Archaeological and Historic Preservation Act of 1974, as amended, 16 U.S.C. 469 – 469c, and
    - (c) Executive Order No. 11593 (identification and protection of historic properties), 16 U.S.C. 470 note,
- g. To the extent practicable, complying with the following Federal requirements for the care, handling, and treatment of warm blooded animals held or used for research, teaching, or other activities supported by Federal funding:

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- (1) The Animal Welfare Act, as amended, 7 U.S.C. 2131 *et seq.*, and
  - (2) U.S. Department of Agriculture regulations, “Animal Welfare,” 9 CFR subchapter A, parts 1, 2, 3, and 4,
- h. To the extent practicable, obtaining a certificate of compliance with the seismic design and construction requirements of U.S. DOT regulations, “Seismic Safety,” 49 CFR part 41, specifically 49 CFR 41.117(d), before accepting delivery of any FTA funded building,
- i. To the extent practicable, complying with, and assuring its Subrecipients located in special flood hazard areas comply with, section 102(a) of the Flood Disaster Protection Act of 1973, as amended, 42 U.S.C. 4012a(a), by:
- (1) Participating in the Federal flood insurance program, and
  - (2) Purchasing flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more,
- j. To the extent practicable, complying with:
- (1) The Hatch Act, 5 U.S.C. 1501 – 1508, 7324 – 7326, which limits the political activities of State and local agencies and their officers and employees whose primary employment activities are financed in whole or part with Federal funds, including a Federal loan, grant agreement, or cooperative agreement, and
  - (2) 49 U.S.C. 5323(l)(2), as amended by MAP-21, and 23 U.S.C. 142(g), which provide an exception from Hatch Act restrictions for a nonsupervisory employee of a public transportation system (or of any other agency or entity performing related functions) receiving FTA funding made available or authorized for 49 U.S.C. chapter 53 and 23 U.S.C. 142(a)(2) to whom the Hatch Act does not otherwise apply,
- k. Performing the financial and compliance audits as required by the:
- (1) Single Audit Act Amendments of 1996, 31 U.S.C. 7501 *et seq.*,
  - (2) U.S. OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations,” Revised, and
  - (3) Most recent applicable U.S. OMB A-133 Compliance Supplement provisions for the U.S. DOT, and
- l. To the extent practicable, complying with all the provisions of all other Federal laws or regulations that apply, and follow Federal guidance governing your Applicant and its Project, except to the extent that FTA has expressly approved otherwise in writing.

### GROUP 02. LOBBYING.

*Except if your Applicant is an Indian Tribe exempted from these requirements by 31 U.S.C. 1352, you must select the Certification in Group 02 if your Applicant seeks:*

- *A Federal grant or cooperative agreement exceeding \$100,000, or*
- *A Federal loan (including a line of credit), loan guarantee, or loan insurance exceeding \$150,000.*

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*Your Applicant is ultimately responsible for compliance with the Certification and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, FTA may not provide funding for your Applicant's Project for which Group 02 applies unless you select the Certification in Group 02 on behalf of your Applicant. Any provision of the Certification in Group 02 that does not apply will not be enforced.*

On behalf of your Applicant, you certify that:

1. As required by 31 U.S.C. 1352 and U.S. DOT regulations, "New Restrictions on Lobbying," specifically 49 CFR 20.110:
  - a. The lobbying restrictions of this Certification apply to your Applicant's requests:
    - (1) For \$100,000 or more in Federal funding for a grant or cooperative agreement, and
    - (2) For \$150,000 or more in Federal funding for a loan, line of credit, or loan guarantee, and
  - b. Your Certification on behalf of your Applicant applies to the lobbying activities of:
    - (1) Your Applicant,
    - (2) Your Applicant's Principals, and
    - (3) Your Applicant's Subrecipients at the first tier,
2. To the best of your knowledge and belief:
  - a. No Federal appropriated funds have been or will be paid by or on its behalf to any person to influence or attempt to influence:
    - (1) An officer or employee of any Federal agency regarding the award of a:
      - (a) Federal grant or cooperative agreement, or
      - (b) Federal loan, line of credit, loan guarantee, or loan insurance, and
    - (2) A Member of Congress, an employee of a member of Congress, or an officer or employee of Congress regarding the award of a:
      - (a) Federal grant or cooperative agreement, or
      - (b) Federal loan, line of credit, loan guarantee, or loan insurance,
  - b. Your Applicant will submit a complete OMB Standard Form-LLL, "Disclosure of Lobbying Activities (Rev. 7-97)," consistent with its instructions, if any funds other than Federal appropriated funds have been or will be paid to any person to influence or attempt to influence:
    - (1) An officer or employee of any Federal agency regarding the award of a:
      - (a) Federal grant or cooperative agreement, or
      - (b) Federal loan, line of credit, loan guarantee, or loan insurance, and
    - (2) A Member of Congress, an employee of a member of Congress, or an officer

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- or employee of Congress regarding the award of a:
  - (a) Federal grant or cooperative agreement, or
  - (b) Federal loan, line of credit, loan guarantee, or loan insurance, and
- c. Your Applicant will include the language of this Certification in the award documents for all subawards at all tiers, including, but not limited to:
  - (1) Subcontracts,
  - (2) Subgrants,
  - (3) Subagreements, and
  - (4) Third party contracts under a:
    - (a) Federal grant or cooperative agreement, or
    - (b) Federal loan, line of credit, loan guarantee, or loan insurance,
- 3. Your Applicant understands that:
  - a. This Certification is a material representation of fact that the Federal government relies on, and
  - b. Your Applicant must submit this Certification before the Federal government may award funding for a transaction covered by 31 U.S.C. 1352, including a:
    - (1) Federal grant or cooperative agreement, or
    - (2) Federal loan, line of credit, loan guarantee, or loan insurance, and
- 4. Your Applicant also understands that any person who does not file a required Certification will be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### **GROUP 03. PRIVATE SECTOR PROTECTIONS.**

*You must select the Assurance and enter into the Agreements in Group 03 on behalf of your Applicant if your Applicant intends to acquire public transportation property or operate public transportation supported with FTA capital or operating funds, except as FTA determines otherwise in writing.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, before FTA may provide funding for your Applicant's Project that involves the acquisition of public transportation property or operations of public transportation that affect your Applicant's acquisitions or operations, you must select the Assurance in Group 03.A and enter into the Agreements in Group 03.B and Group 03.C on behalf of your Applicant. Any provision of the Assurance and Agreements in Group 03 that does not apply will not be enforced.*



## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

### A. Private Sector Property Protections.

*For FTA to make the findings necessary to protect private transportation providers, as required by 49 U.S.C. 5323(a)(1), you must select the Assurances in Group 03.A on behalf of your Applicant:*

1. *If your Applicant is a:*
  - a. *State,*
  - b. *Local government, or*
  - c. *Indian tribal government, and*
2. *If you are applying for or will apply on your Applicant's behalf for 49 U.S.C. chapter 53 funding to:*
  - a. *Acquire the property of a private transit operator, or*
  - b. *Operate public transportation in competition with or in addition to a public transportation operator.*

To facilitate FTA's ability to make the findings required by 49 U.S.C. 5323(a)(1), on behalf of your Applicant, you assure that:

1. Your Applicant has or will have:
  - a. Determined that the funding is essential to carrying out a Program of Projects as required by 49 U.S.C. 5303, 5304, and 5306,
  - b. Provided for the participation of private companies engaged in public transportation to the maximum extent feasible, and
  - c. Paid just compensation under State or local laws to the company for any franchise or property acquired, and
2. Your Applicant has completed the actions described in subsection 1 of this Certification before it:
  - a. Acquires the property or an interest in the property of a private provider of public transportation, or
  - b. Operates public transportation equipment or facilities:
    - (1) In competition with transportation service provided by an existing public transportation operator, or
    - (2) In addition to transportation service provided by an existing public transportation operator.

### B. Charter Service Agreement.

*You must enter into the Charter Service Agreement in Group 03.B on behalf of your Applicant if you apply for funding to acquire or operate transit facilities and equipment, unless your Applicant qualifies for an exception under Federal law and regulations.*

As required by 49 U.S.C. 5323(d) and (g) and FTA regulations, "Charter Service," 49 CFR part 604, specifically 49 CFR 604.4, on behalf of your Applicant, you are entering into the following Charter Service Agreement:

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

1. General Requirements. FTA's "Charter Service" regulations apply as follows:
  - a. FTA's Charter Service regulations restrict transportation by charter service using facilities and equipment acquired by FTA recipients for transportation Projects with Federal funding derived from:
    - (1) Federal transit laws, 49 U.S.C. chapter 53, or
    - (2) 23 U.S.C. 133 or 142,
  - b. FTA's charter service restrictions extend to:
    - (1) Your Applicant, when it becomes a recipient of Federal funding authorized for or made available for:
      - (a) Federal transit laws, 49 U.S.C. chapter 53, or
      - (b) 23 U.S.C. 133 or 142,
    - (2) Any Third Party Participant that receives Federal funding derived from:
      - (a) Federal transit laws, 49 U.S.C. chapter 53, or
      - (b) 23 U.S.C. 133 or 142,
  - c. A Third Party Participant includes any:
    - (1) Subrecipient at any tier,
    - (2) Lessee,
    - (3) Third Party Contractor or Subcontractor at any Tier, and
    - (4) Other Third Party Participant in your Applicant's Project,
  - d. You and your Applicant agree that neither it nor any governmental authority or publicly owned operator that receives FTA funding made available or authorized for your Applicant's Project will engage in charter service operations, except as permitted under:
    - (1) Federal transit laws, specifically 49 U.S.C. 5323(d) and (g),
    - (2) FTA regulations, "Charter Service," 49 CFR part 604, to the extent consistent with 49 U.S.C. 5323(d) and (g),
    - (3) Any other Federal Charter Service regulations, or
    - (4) Federal guidance, except as FTA determines otherwise in writing,
  - e. You and your Applicant agree that the latest Charter Service Agreement it has selected in its latest annual Certifications and Assurances is incorporated by reference in and made part of the underlying Agreement accompanying an award of FTA funding, and
  - f. You and your Applicant agree that:
    - (1) FTA may require corrective measures or impose remedies on it or any governmental authority or publicly owned operator that receives FTA funding made available or authorized for its Project that has engaged in a pattern of violations of FTA's Charter Service regulations by:
      - (a) Conducting charter operations prohibited by Federal transit laws and FTA's Charter Service regulations, or
      - (b) Otherwise violating your Applicant's Charter Service Agreement it has elected in its latest annual Certifications and Assurances, and
    - (2) These corrective measures and remedies may include:
      - (a) Barring Your Applicant or any Third Party Participant operating public transportation under the Project that has provided prohibited

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- charter service from receiving FTA funds,
  - (b) Withholding an amount of Federal funds as provided by Appendix D to FTA's Charter Service regulations, or
  - (c) Any other appropriate remedy that may apply, and
2. Exceptions. Apart from exceptions to the charter service restrictions in FTA's Charter Service Regulations, FTA has established the following additional exceptions to those restrictions:
- a. FTA's Charter Service restrictions do not apply to your Applicant seeking funding made available or appropriated for 49 U.S.C. 5307 to be used for Job Access and Reverse Commute (JARC) activities that would have been eligible for assistance under repealed 49 U.S.C. 5316 in effect in FY 2012 or a previous fiscal year, provided that your Applicant uses that FTA funding for program purposes only,
  - b. FTA's Charter Service restrictions do not apply to your Applicant seeking funding made available or appropriated for 49 U.S.C. 5310 to be used for New Freedom activities that would have been eligible for assistance under repealed 49 U.S.C. 5317 in effect in FY 2012 or a previous fiscal year, provided your Applicant uses that FTA funding for program purposes only, and
  - c. An Applicant for assistance under 49 U.S.C. chapter 53 will not be determined to have violated the FTA Charter Service regulations if that recipient provides a private intercity or charter transportation operator reasonable access to that recipient's federally funded public transportation facilities, including intermodal facilities, park and ride lots, and bus-only highway lanes as specified in 49 U.S.C. 5323(r), as amended by MAP-21.

### C. School Bus Agreement.

*You must enter into the School Bus Agreement in Group 03.C on behalf of your Applicant if you apply for funding to acquire or operate transit facilities and equipment, unless your Applicant qualifies for an exception under Federal law and regulations.*

As required by 49 U.S.C. 5323(f) and (g), as amended by MAP-21, and FTA regulations, "School Bus Operations," 49 CFR part 605, to the extent consistent with 49 U.S.C. 5323(f) and (g), as amended by MAP-21, on behalf of your Applicant, you are entering into the following School Bus Agreement:

1. FTA's "School Bus Operations" regulations restrict school bus operations (as defined in the FTA regulations) using facilities and equipment acquired with Federal funding derived from:
  - a. Federal transit laws, 49 U.S.C. chapter 53, or
  - b. 23 U.S.C. 133 or 142,
2. FTA's school bus operations restrictions extend to:
  - a. Your Applicant, when it becomes a recipient of Federal funding made available or authorized for:

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- (1) Federal transit laws, 49 U.S.C. chapter 53, or
- (2) 23 U.S.C. 133 or 142,
- b. Any Third Party Participant that receives Federal funding derived from:
  - (1) Federal transit laws, 49 U.S.C. chapter 53, or
  - (2) 23 U.S.C. 133 or 142,
3. A Third Party Participant includes any:
  - a. Subrecipient at any tier,
  - b. Lessee,
  - c. Third Party Contractor or Subcontractor at any tier, and
  - d. Other Third Party Participant in the Project,
4. You and your Applicant agree, and will obtain the agreement of any Third Party Participant involved in your Applicant's Project, that it will not engage in school bus operations in competition with private operators of school buses, except as permitted under:
  - a. Federal transit laws, specifically 49 U.S.C. 5323(f) and (g), as amended by MAP-21,
  - b. FTA regulations, "School Bus Operations," 49 CFR Part 605, to the extent consistent with 49 U.S.C. 5323(f) and (g), as amended by MAP-21,
  - c. Any other Federal School Bus regulations, or
  - d. Federal guidance, except as FTA determines otherwise in writing,
5. You and your Applicant agree that the latest School Bus Agreement you have selected on its behalf in FTA's latest annual Certifications and Assurances is incorporated by reference in and made part of the underlying Agreement accompanying an award of FTA funding, and
6. You and your Applicant agree that FTA will bar your Applicant or any Third Party Participant that has violated this School Bus Agreement from receiving Federal transit funding in an amount FTA considers appropriate.

### **GROUP 04. PROCUREMENT AND PROCUREMENT SYSTEM.**

*We request that you select the Procurement and Procurement System Certification, on behalf of your Applicant, by selecting the Certification in Group 04, especially if your Applicant is a State, local, or Indian tribal government with a certified procurement system, as provided in 49 CFR 18.36(g)(3)(ii).*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Any provision of the Certification in Group 04 that does not apply will not be enforced.*

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

On behalf of your Applicant, you certify that your Applicant's procurements and procurement system will comply with all Federal laws and regulations in accordance with applicable Federal guidance, except to the extent FTA has approved otherwise in writing.

### **GROUP 05. ROLLING STOCK REVIEWS AND BUS TESTING.**

*You must select the Certifications in Group 05 on behalf of your Applicant if your Applicant, using FTA funds, intends to acquire:*

- *Rolling stock for use in revenue service. or*
- *A new bus model.*

*The Certifications in Group 05 are required for such acquisitions listed above regardless of whether the FTA funds used were made available or appropriated for:*

- *49 U.S.C. chapter 53, as amended by MAP-21, or*
- *Former 49 U.S.C. chapter 53 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, before FTA may provide funding for your Applicant's Project to acquire rolling stock or a new bus model, you must select the Certifications in Group 05 on behalf of your Applicant. Any provision of the Certifications in Group 05 that does not apply will not be enforced.*

#### **A. Rolling Stock Reviews.**

(If your Applicant seeks FTA funding for rolling stock for use in revenue service.)

On behalf of your Applicant, you certify that in procuring revenue service rolling stock for use in revenue service:

1. Your Applicant will comply with:
  - a. Federal transit laws, specifically 49 U.S.C. 5323(m), and
  - b. FTA regulations, "Pre-Award and Post-Delivery Audits of Rolling Stock Purchases," 49 CFR part 663, and
2. As provided in 49 CFR 663.7:
  - a. Your Applicant will conduct or cause to be conducted the required pre-award and post-delivery reviews, and

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- b. Your Applicant will maintain on file the Certifications required by 49 CFR part 663, subparts B, C, and D.

### **B. Bus Testing.**

(If your Applicant seeks FTA funding to acquire a new bus model.)

On behalf of your Applicant, you certify that:

1. Because the MAP-21 cross-cutting requirement “Bus Testing” applies to all acquisitions of new buses and new bus models that require bus testing, your Applicant will comply with:
  - a. 49 U.S.C. 5318, as amended by MAP-21, and
  - b. FTA regulations, “Bus Testing,” 49 CFR part 665, to the extent these regulations are consistent with 49 U.S.C. 5318, as amended by MAP-21,
2. As required by 49 CFR 665.7, when acquiring the first bus of any new bus model or a bus model with a major change in components or configuration:
  - a. Your Applicant will not spend any Federal funds appropriated under 49 U.S.C. chapter 53 to acquire that bus until:
    - (1) The bus has been tested at FTA’s bus testing facility, and
    - (2) It has received a copy of the test report prepared on that new bus model, and
  - b. Your Applicant will not authorize final acceptance of the bus until:
    - (1) The bus has been tested at FTA’s bus testing facility,
    - (2) It has received a copy of the test report prepared on that new bus model,
3. Your Applicant will ensure that the bus that is tested has met the performance standards consistent with those regulations, including:
  - a. Performance standards for:
    - (1) Maintainability,
    - (2) Reliability,
    - (3) Performance (including braking performance),
    - (4) Structural integrity,
    - (5) Fuel economy,
    - (6) Emissions, and
    - (7) Noise, and
  - b. Minimum safety performance standards established under 49 U.S.C. 5329, as amended by MAP-21, and
4. After FTA has issued regulations authorized by 49 U.S.C. 5318(e)(2), as amended by MAP-21, your Applicant will ensure that the bus that is tested has received a passing aggregate test score under the “Pass/Fail” standard established under 49 U.S.C. 5318(e)(2), as amended by MAP-21.

### **GROUP 06. DEMAND RESPONSIVE SERVICE.**

*You must select the Certification in Group 06 on behalf of your Applicant if your*

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*Applicant is a public entity, operates demand responsive service and intends to use FTA funding to acquire a non-rail vehicle that is not accessible, but financed with FTA funds made available or appropriated for:*

- *49 U.S.C. chapter 53, as amended by MAP-21, or*
- *Former 49 U.S.C. chapter 53 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, before FTA may provide funding for your Applicant's Project to acquire a non-rail transit vehicle that is not accessible, you must select the Certification in Group 06 on behalf of your Applicant. Any provision of the Certification in Group 06 that does not apply will not be enforced.*

As required by U.S. DOT regulations, "Transportation Services for Individuals with Disabilities (ADA)," 49 CFR part 37, specifically 49 CFR 37.77(d), on behalf of your Applicant, you certify that:

1. Your Applicant offers public transportation services equivalent in level and quality of service to:
  - a. Individuals with disabilities, including individuals who use wheelchairs, and
  - b. Individuals without disabilities, and
2. Viewed in its entirety, your Applicant's service for individuals with disabilities is:
  - a. Provided in the most integrated setting feasible, and
  - b. Equivalent to the service it offers individuals without disabilities with respect to:
    - (1) Response time,
    - (2) Fares,
    - (3) Geographic service area,
    - (4) Hours and days of service,
    - (5) Restrictions on priorities based on trip purpose,
    - (6) Availability of information and reservation capability, and
    - (7) Constraints on capacity or service availability.

### **GROUP 07. INTELLIGENT TRANSPORTATION SYSTEMS.**

*You must select the Assurance in Group 07 on behalf of your Applicant if your Applicant applies for Federal funding to support:*

- *An Intelligent Transportation Systems (ITS) Project, or*
- *A Project in support of an ITS Project.*

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, before FTA may provide funding for your Applicant's Project to support an ITS Project or a Project that supports an ITS project, you must select the Assurances in Group 07 on behalf of your Applicant. Any provision of the Assurance in Group 07 that does not apply will not be enforced.*

On behalf of your Applicant, you assure that:

1. As used in this assurance, the term Intelligent Transportation Systems (ITS) Project is defined to include any Project that in whole or in part finances the acquisition of technologies or systems of technologies that provide or significantly contribute to the provision of one or more ITS user services as defined in the "National ITS Architecture," and
2. As provided in 23 U.S.C. 517(d), any ITS Project your Applicant undertakes that is funded with appropriations made available from the Highway Trust Fund, including amounts made available to deploy intelligent transportation systems, will conform to the appropriate regional ITS architecture, applicable standards, and protocols developed under 23 U.S.C. 517(a) or (c), unless your Applicant obtains a waiver as provided in 23 U.S.C. 517(d)(2).

### **GROUP 08. INTEREST AND FINANCING COSTS AND LEASING COSTS.**

*You must select the Certifications in Group 08 on behalf of your Applicant if your Applicant's Project involves interest, financing or leasing costs supported with FTA funds made available or appropriated for:*

- 49 U.S.C. chapter 53, as amended by MAP-21, or
- Former 49 U.S.C. chapter 53 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead.

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*



## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*Except as FTA determines otherwise in writing, before FTA may provide funding for the interest, financing or leasing costs that are a part of or connected with your Applicant's Project, you must select the Certifications in Group 08 on behalf of your Applicant. Any provision of the Certifications in Group 08 that does not apply will not be enforced.*

### **A. Interest and Financing Costs.**

*You must select the Certification in Group 08.A if your Applicant intends to reimburse interest or other financing costs for Projects funded by the Urbanized Area Formula Program, Fixed Guideway Capital Investment Program, or the New Starts or Small Starts Program within the Capital Investment Program.*

On behalf of your Applicant, you certify that:

1. Your Applicant will not seek reimbursement for interest or other financing costs unless:
  - a. It is eligible to receive Federal funding for those costs, and
  - b. Its records demonstrate that it has shown reasonable diligence in seeking the most favorable financing terms, to the extent FTA may require, and
2. Your Applicant will comply with the same favorable financing cost provisions for:
  - a. Urbanized Area Formula Projects funded by MAP-21 or previous FTA enabling legislation,
  - b. Projects under Full Funding Grant Agreements funded by MAP-21 or previous FTA enabling legislation,
  - c. Projects with Early Systems Work Agreements funded by MAP-21 or previous FTA enabling legislation,
  - d. Fixed Guideway Capital Investment Projects funded by previous FTA enabling legislation,
  - e. State of Good Repair Projects funded by MAP-21,
  - f. Bus and Bus Facilities Projects funded by MAP-21, and
  - g. Low or No Emission Vehicle Development Projects funded by MAP-21.

### **B. Acquisition of Capital Assets by Lease.**

*You must select the Certification in Group 08.B if your Applicant intends to use FTA funding to acquire capital assets through a lease.*

On behalf of your Applicant, you certify and assure that, as required by FTA regulations, "Capital Leases," 49 CFR part 639, specifically 49 CFR 639.15(b)(1) and 49 CFR 639.21, if your Applicant acquires any capital asset through a lease financed with Federal funding authorized under 49 U.S.C. chapter 53:

1. Your Applicant will not use Federal funding authorized under 49 U.S.C. chapter 53 to finance the cost of leasing any capital asset until:
  - a. It performs calculations demonstrating that leasing the capital asset would be

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- more cost-effective than purchasing or constructing a similar asset, and
- b. It completes these calculations before the later of:
    - (1) Entering into the lease, or
    - (2) Receiving a capital grant for the asset, and
  2. Your Applicant will not enter into a capital lease for which FTA can provide only incremental Federal funding unless your Applicant has adequate financial resources to meet its future lease obligations if Federal funding is not available.

### **GROUP 09. TRANSIT ASSET MANAGEMENT AND AGENCY SAFETY PLANS.**

*Except as FTA determines otherwise in writing, you must select the Certifications in Group 09 on behalf of your Applicant if your Applicant seeks FTA funds made available or appropriated for:*

- *49 U.S.C. chapter 53, as amended by MAP-21, or*
- *Former 49 U.S.C. chapter 53 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead, including:*
  - *Transit Asset Management Provisions (and Asset Inventory and Condition Reporting), and*
  - *Agency Safety Plans.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, before FTA may provide funding made available or appropriated for 49 U.S.C. chapter 53, you must select the Certifications in Group 09 on behalf of your Applicant. Any provision of the Certifications in Group 09 that does not apply will not be enforced.*

#### **A. Transit Asset Management Plan.**

*You must select the Certification in Group 09.A on behalf of your Applicant if your Applicant applies, as a direct Recipient, of funding made available or appropriated for 49 U.S.C. chapter 53, as amended by MAP-21 or for former 49 U.S.C. chapter 53 in effect in FY 2012 or a previous fiscal year, except as superseded MAP-21 cross-cutting requirement, "Transit Asset Management Provisions (and Asset Inventory and Condition Reporting)" instead.*

On behalf of your Applicant, you certify that your Applicant will comply, and each Subrecipient will:

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

1. Follow Federal guidance issued that implements transit asset management system provisions of 49 U.S.C. 5326, as amended by MAP-21, except as FTA determines otherwise in writing, and
2. Comply with the final Federal regulations that implement the transit asset management system required by 49 U.S.C. 5326, as amended by MAP-21, after those regulations have been issued as required by 49 U.S.C. 5326(e), as amended by MAP-21.

### **B. Public Transportation Agency Safety Plan.**

*You must select the Certification in Group 09.B on behalf of your Applicant if your Applicant is a State government, local government, or any other operator of a public transportation system and seeks funding made available or appropriated for 49 U.S.C. chapter 53, as amended by MAP-21, or for former 49 U.S.C. chapter 53 in effect in FY 2012 or a previous fiscal year, except as superseded by the MAP-21 cross-cutting requirement, "Agency Safety Plans."*

On behalf of your Applicant, you certify that your Applicant will:

1. Follow Federal guidance issued that implements the safety plan provisions of 49 U.S.C. § 5329(a) – (d), as amended by MAP-21, except as FTA determines otherwise in writing, and
2. Comply with the final Federal regulations that implement the safety plan requirements of 49 U.S.C. § 5329(a) – (d), as amended by MAP-21, after within one year after FTA has issued that plan as required by 49 U.S.C. 5329(b), as amended by MAP-21.

### **GROUP 10. ALCOHOL AND CONTROLLED SUBSTANCES TESTING.**

*Except as FTA determines otherwise in writing, you must select the Certification in Group 10 on behalf of your Applicant if your Applicant is required to comply with the alcohol and controlled substance testing requirements of:*

- *49 U.S.C. 5331, as amended by MAP-21, or*
- *Former 49 U.S.C. 5331 in effect in FY 2012 or a previous fiscal year, except as superseded instead by the MAP-21 cross-cutting requirement, "Alcohol and Controlled Substance Testing."*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*Except as FTA determines otherwise in writing, before FTA may provide funding for your Applicant's Project, you must select the Certification in Group 10 on behalf of your Applicant. Any provision of the Certification that does not apply will not be enforced.*

As required by 49 U.S.C. 5331, as amended by MAP-21, and FTA regulations, "Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations," specifically 49 CFR part 655, subpart I, on behalf of your Applicant, you certify that:

1. Your Applicant has established and implemented:
  - a. An alcohol misuse testing program, and
  - b. A controlled substance testing program,
2. Your Applicant has complied with or will comply with all applicable requirements of 49 CFR part 655 to the extent those regulations are consistent with 49 U.S.C. 5331, as amended by MAP-21, and
3. Further, should your Applicant reside in a State that permits marijuana use for medical or recreational purposes, your Applicant has complied or will comply with the Federal controlled substance testing requirements of 49 CFR part 655.

### **GROUP 11. FIXED GUIDEWAY CAPITAL INVESTMENT PROGRAM (NEW STARTS, SMALL STARTS, AND CORE CAPACITY) AND CAPITAL INVESTMENT PROGRAM IN EFFECT BEFORE MAP-21.**

*The Certification in Group 11 is in addition to other Certifications and Assurances listed previously that are required for the New Starts, Small Starts, or Core Capacity Programs within the MAP-21 Fixed Guideway Capital Investment Program and also for the Capital Investment Program financed with funds made available or appropriated for former 49 U.S.C. 5309 in effect in FY 2012 or a previous fiscal year.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, you must select the Certification in Group 11 on behalf of your Applicant if your Applicant seeks financing for its:*

- *Fixed Guideway Capital Investment Program Project financed with funds made available or appropriated for 49 U.S.C. 5309, as amended by MAP-21, or*
- *Capital Investment Project financed with funds made available or appropriated for former 49 U.S.C. 5309 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead.*

*FTA has determined that MAP-21 requirements will apply to all funding for New Starts,*

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*Small Starts, or Core Capacity projects irrespective of whether they are financed with MAP-21 funds or funds made available or appropriated for FY 2012 or a previous fiscal year. Except as FTA determines otherwise in writing, before FTA may provide funding for your Applicant's New Starts, Small Starts, or Core Capacity Project, you must select the Certification in Group 11 on behalf of your Applicant. Any provision of the Certification in Group 11 that does not apply will not be enforced.*

Except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

1. Your Applicant has or will have the:
  - a. Legal capacity to carry out its proposed Projects,
  - b. Financial capacity to carry out its proposed Projects,
  - c. Technical capacity to carry out its proposed Projects,
  - d. Necessary capacity to carry out the safety aspects of its proposed Projects, and
  - e. Necessary capacity to carry out the security aspects of its proposed Projects,
2. Your Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. Your Applicant will maintain its Project equipment and facilities adequately, and
4. Your Applicant will comply with:
  - a. The Metropolitan Planning requirements of 49 U.S.C. 5303, as amended by MAP-21, and
  - b. The State Planning requirements of 49 U.S.C. 5304, as amended by MAP-21.

### **GROUP 12. STATE OF GOOD REPAIR PROGRAM.**

*Although 49 U.S.C. 5337, as amended by MAP-21, did not require special Certifications and Assurances for the State of Good Repair Program, other Certifications and Assurances within Appendix A to this Notice are required for State of Good Repair Program funding.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take the appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Therefore, we encourage you to select the Certification in Group 12 if your Applicant seeks State of Good Repair Program funding authorized by 49 U.S.C. 5337, as amended by MAP-21.*

On behalf of your Applicant, you certify that:

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

1. Your Applicant has or will have the:
  - a. Legal capacity to carry out its proposed Projects,
  - b. Financial capacity to carry out its proposed Projects,
  - c. Technical capacity to carry out its proposed Projects,
  - d. Necessary capacity to carry out the safety aspects of its proposed Projects, and
  - e. Necessary capacity to carry out the security aspects of its proposed Projects,
2. Your Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. Your Applicant will maintain its Project equipment and facilities adequately, and
4. Your Applicant will comply with:
  - a. The Metropolitan Planning requirements of 49 U.S.C. 5303, as amended by MAP-21, and
  - b. The State Planning requirements of 49 U.S.C. 5304, as amended by MAP-21.

### **GROUP 13. FIXED GUIDEWAY MODERNIZATION GRANT PROGRAM.**

*The Certification in Group 13 is in addition to other Certifications and Assurances listed previously that are required for Fixed Guideway Modernization Grant Program funding.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, you must select the Certifications in Group 13 on behalf of your Applicant if your Applicant seeks funding for its Fixed Guideway Modernization Project under 49 U.S.C. 5309(b)(2) in effect in FY 2012 or a previous fiscal year. In administering this program, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

*Before FTA may provide funding made available or appropriated for any of these Projects, on behalf of your Applicant, you must have selected the Certification in Group 13 and other Certifications and Assurances listed previously that are required for the funding your Applicant seeks. Any provision of the Certification in Group 13 that does not apply will not be enforced.*

The following Certifications for Fixed Guideway Modernization Grant Program funding are required by former 49 U.S.C. 5309(c)(2) and former 49 U.S.C. 5307(d)(1) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead. Therefore, except as FTA determines otherwise in

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

writing, on behalf of your Applicant, you certify that:

1. Your Applicant has or will have the:
  - a. Legal capacity to carry out its proposed Projects,
  - b. Financial capacity to carry out its proposed Projects,
  - c. Technical capacity to carry out its proposed Projects,
  - d. Necessary capacity to carry out the safety aspects of its proposed Projects, and
  - e. Necessary capacity to carry out the security aspects of its proposed Projects,
2. Your Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. Your Applicant will maintain its Project equipment and facilities adequately, and
4. Your Applicant has complied or will comply with, and will require each Subrecipient to comply with, 49 U.S.C. 5301, 5303, and 5304, as amended by MAP-21.

### **GROUP 14. BUS AND BUS FACILITIES PROGRAMS.**

*The Certifications in Group 14A are in addition to other Certifications and Assurances listed previously that are required for Bus and Bus Facilities Program funding.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, you must select the Certifications in Group 14, on behalf of your Applicant, if your Applicant seeks financing for its:*

- *Bus and Bus Facilities Formula Grant Program financed with funds made available or appropriated for 49 U.S.C. 5339, as amended by MAP-21, or*
- *Bus and Bus Related Equipment and Facilities Project financed with funds made available or appropriated for former 49 U.S.C. 5309(b)(3) in effect in FY 2012 or a previous fiscal year.*

*In administering these programs, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

*These two programs have or will have funding available during FY 2013. Accordingly, if your Applicant seeks funding made available or authorized by 49 U.S.C. 5339, as amended by MAP-21, or former 49 U.S.C. 5309 in effect in FY 2012 or a previous fiscal year, you should provide the two subgroups of Certifications in Group 14, on behalf of your Applicant, to assure that FTA can select the type of funding it considers most suitable.*

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*Before FTA may provide funding made available or appropriated for your Applicant's Project, on behalf of your Applicant, you must have selected the Certifications in Group 14 and other Certifications and Assurances listed previously that are required for the funding your Applicant seeks. Any provision of the Certifications in Group 14 that does not apply will not be enforced.*

### **A. Bus and Bus Facilities Formula Grants Program**

*You must select the Certification in Group 14.A if your Applicant seeks funding for its Bus or Bus Facilities Formula Project financed with funds made available or appropriated for 49 U.S.C. 5339, as amended by MAP-21.*

The following Certification for Bus and Bus Facilities Formula Grants Program funding are required by 49 U.S.C. 5339(b), as amended by MAP-21, which states that "The requirements of section 5307 apply to recipients of grants made under this section." Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

1. Your Applicant has or will have the:
  - a. Legal capacity to carry out its proposed Projects,
  - b. Financial capacity to carry out its proposed Projects,
  - c. Technical capacity to carry out its proposed Projects,
  - d. Necessary capacity to carry out the safety aspects of its proposed Projects, and
  - e. Necessary capacity to carry out the security aspects of its proposed Projects,
2. Your Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. Your Applicant will maintain its Project equipment and facilities adequately,
4. Your Applicant will ensure that when, during non-peak hours for transportation using or involving a facility or equipment of a Project financed under 49 U.S.C.5339, as amended by MAP-21, the following individuals will be charged a fare not exceeding fifty (50) percent of the peak hour fare:
  - a. Any senior,
  - b. Any individual who, because of illness, injury, age, congenital malfunction, or 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,
  - c. Any individual presenting a Medicare card issued to himself or herself pursuant to title II of the Social Security Act (42 U.S.C. 401 *et seq.*), or
  - d. Any individual presenting a Medicare card issued to himself or herself pursuant to title XVIII of the Social Security Act (42 U.S.C. 1395 *et seq.*),
5. When carrying out a procurement under 49 U.S.C.5339, as amended by MAP-21, your Applicant will comply with the:
  - a. General provisions for FTA programs of 49 U.S.C. 5323, as amended by MAP-21, and



## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- b. Third party procurement requirements of 49 U.S.C. 5325, as amended by MAP-21,
6. Your Applicant has complied with or will comply with 49 U.S.C. 5307(b), as amended by MAP-21, because it:
  - a. Has made or will make available to the public information on amounts of its funding available to it under 49 U.S.C. 5339,
  - b. Has developed or will develop, in consultation with interested parties, including private transportation providers, a proposed Program of Projects for activities to be funded,
  - c. Has published or will publish a Program of Projects in a way that affected individuals, private transportation providers, and local elected officials will have an opportunity to examine and submit comments on the proposed Program of Projects and its performance as an Applicant or Recipient,
  - d. Has provided or will provide an opportunity for a public hearing to obtain the views of individuals on the proposed Program of Projects,
  - e. Has ensured or will ensure that the proposed Program of Projects provide for coordination of transportation services funded by U.S. DOT under 49 U.S.C. 5336 with federally funded transportation services supported by United States Government sources other than U.S. DOT,
  - f. Has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final Program of Projects, and
  - g. Has made or will make the final Program of Projects available to the public,
7. As required by 49 U.S.C. 5307(d), as amended by MAP-21, your Applicant:
  - a. Has or will have the amount of funds required for the local share,
  - b. Will provide the local share funds from approved non-Federal sources except if otherwise authorized by law, and
  - c. Will provide the local share funds when needed,
8. Your Applicant will comply with:
  - a. The Metropolitan Planning requirements of 49 U.S.C. 5303, as amended by MAP-21, and
  - b. The State Planning requirements of 49 U.S.C. 5304, as amended by MAP-21,
9. Your Applicant has a locally developed process to solicit and consider public comment before:
  - a. Raising a fare, or
  - b. Implementing a major reduction of public transportation, and
10. Your Applicant will comply with requirements for Public Transportation Agency Safety Plan requirements of 49 U.S.C. 5329, as amended by MAP-21.

### **B. Bus and Bus Related Equipment and Facilities Grant Program (Discretionary).**

*You must select the Certification in Group 14.B if your Applicant seeks funding for its Bus or Bus Related Equipment and Facilities Project financed with funds made available or appropriated for former 49 U.S.C. 5309(b)(3) in effect in FY 2012 or a*

## **FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES**

*previous fiscal year. In administering these programs, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

*Except as FTA determines otherwise in writing, you must select the Certification in Group 14.B on behalf of your Applicant if your Applicant seeks funding for its discretionary Bus and Bus Related Equipment and Facilities Project. Before FTA may provide funding made available or appropriated for the discretionary Bus and Bus Related Equipment and Facilities Program, on behalf of your Applicant:*

- In FY 2013, you must have selected the Certifications and Assurances required by former 49 U.S.C. 5307(d)(1)(A) – (C) and (H) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead, or*
- You must have selected the Certification in Group 14.B.*

*Any provision of the Certification in Group 14.B that does not apply will not be enforced.*

The following Certification for discretionary Bus and Bus Related Equipment and Facilities Grant Program funding are required by former 49 U.S.C. 5309(c)(2), which applies the requirements of former 49 U.S.C. 5307(d)(1)(A), (B), (C), and (H) in effect in FY 2012 or a previous fiscal year to this Program, except as superseded by MAP-21 cross-cutting requirements that apply instead. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

1. Your Applicant has or will have the:
  - a. Legal capacity to carry out its proposed Projects,
  - b. Financial capacity to carry out its proposed Projects,
  - c. Technical capacity to carry out its proposed Projects,
  - d. Necessary capacity to carry out the safety aspects of its proposed Projects, and
  - e. Necessary capacity to carry out the security aspects of its proposed Projects,
2. Your Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. Your Applicant will maintain its Project equipment and facilities adequately, and
4. Your Applicant has complied or will comply with, and will require each Subrecipient to comply with, 49 U.S.C. 5301, 5303, and 5304, as amended by MAP-21.

### **GROUP 15. URBANIZED AREA FORMULA GRANT PROGRAMS AND JOB ACCESS AND REVERSE COMMUTE (JARC) FORMULA GRANT PROGRAM.**

*The Certifications in Group 15 are in addition to other Certifications and Assurances listed previously that are required for the Urbanized Area Formula Grants Programs or Job Access and Reverse Commute (JARC) Formula Grant Program funding.*

*Your Applicant is ultimately responsible for compliance with the Certifications and*

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, you must select the Certifications in Group 15, on behalf of your Applicant, if your Applicant seeks financing for its:*

- *Urbanized Area Formula Project financed with funds made available or appropriated for 49 U.S.C. 5307, as amended by MAP-21, which among other things, authorizes funding for JARC Projects and Project Activities,*
- *Urbanized Area Formula Project financed with funds made available or appropriated for former 49 U.S.C. 5307 in effect in FY 2012 or a previous fiscal year, or*
- *Job Access and Reverse Commute Project financed with funds made available or appropriated for former 49 U.S.C. 5316 in effect in FY 2012 or a previous fiscal year.*

*In administering these programs, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

*These three programs have or will have funding available during FY 2013. Accordingly, if your Applicant seeks funding made available or authorized by 49 U.S.C. 5307 or former 49 U.S.C. 5316, you should provide the three subgroups of Certifications in Group 15, on behalf of your Applicant, to assure that FTA can select the type of funding it considers most suitable.*

*Before FTA may provide funding made available or appropriated for any of these Projects, on behalf of your Applicant, you must have selected the Certifications in Group 15 and other Certifications and Assurances listed previously that are required for the funding your Applicant seeks. Any provision of the Certifications in Group 15 that does not apply will not be enforced.*

### **A. Urbanized Area Formula Program under MAP-21.**

*You must select the Certification in Group 15.A if your Applicant seeks funding for its Urbanized Area Formula Project financed with funds made available or appropriated for 49 U.S.C. 5307, as amended by MAP-21.*

The following Certification for the Urbanized Area Formula Program funding made available or appropriated for MAP-21 are required by 49 U.S.C. 5307(c)(1), as amended by MAP-21. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

1. Your Applicant has or will have the:
  - a. Legal capacity to carry out its proposed Projects,

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- b. Financial capacity to carry out its proposed Projects,
  - c. Technical capacity to carry out its proposed Projects,
  - d. Necessary capacity to carry out the safety aspects of its proposed Projects, and
  - e. Necessary capacity to carry out the security aspects of its proposed Projects,
2. Your Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities,
  3. Your Applicant will maintain its Project equipment and facilities adequately,
  4. Your Applicant will ensure that when, during non-peak hours for transportation using or involving a facility or equipment of a Project financed under 49 U.S.C. 5307, as amended by MAP-21, the following individuals will be charged a fare not exceeding fifty (50) percent of the peak hour fare:
    - a. Any senior,
    - b. Any individual who, because of illness, injury, age, congenital malfunction, or 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,
    - c. Any individual presenting a Medicare card issued to himself or herself pursuant to title II of the Social Security Act (42 U.S.C. 401 *et seq.*), or
    - d. Any individual presenting a Medicare card issued to himself or herself pursuant to title XVIII of the Social Security Act (42 U.S.C. 1395 *et seq.*),
  5. When carrying out a procurement under 49 U.S.C. 5307, as amended by MAP-21, your Applicant will comply with the:
    - a. General provisions for FTA programs of 49 U.S.C. 5323, and
    - b. Third party procurement requirements of 49 U.S.C. 5325,
  6. Your Applicant has complied with or will comply with 49 U.S.C. 5307(b), as amended by MAP-21, because it:
    - a. Has made or will make available to the public information on amounts of its funding available to it under 49 U.S.C. 5307,
    - b. Has developed or will develop, in consultation with interested parties, including private transportation providers, a proposed Program of Projects for activities to be funded,
    - c. Has published or will publish a Program of Projects in a way that affected individuals, private transportation providers, and local elected officials will have an opportunity to examine and submit comments on the proposed Program of Projects and its performance as an Applicant or Recipient,
    - d. Has provided or will provide an opportunity for a public hearing to obtain the views of individuals on the proposed Program of Projects,
    - e. Has ensured or will ensure that the proposed Program of Projects provide for coordination of transportation services funded by U.S. DOT under 49 U.S.C. 5336 with federally funded transportation services supported by United States Government sources other than U.S. DOT,
    - f. Has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final Program of

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- Projects, and
- g. Has made or will make the final Program of Projects available to the public,
  7. As required by 49 U.S.C. 5307(d), as amended by MAP-21, your Applicant:
    - a. Has or will have the amount of funds required for the local share,
    - b. Will provide the local share funds from approved non-Federal sources except if otherwise authorized by law, and
    - c. Will provide the local share funds when needed,
  8. As required by 49 U.S.C. 5307(c)(1)(H) and 49 U.S.C. 5309(c)(2), as amended by MAP-21, your Applicant will comply with:
    - a. The Metropolitan Planning requirements of 49 U.S.C. 5303, as amended by MAP-21, and
    - b. The State Planning requirements of 49 U.S.C. 5304, as amended by MAP-21,
  9. As required by 49 U.S.C. 5307(c)(1)(I), as amended by MAP-21, your Applicant has a locally developed process to solicit and consider public comment before:
    - a. Raising a fare, or
    - b. Implementing a major reduction of public transportation,
  10. Each fiscal year:
    - a. Your Applicant will ensure that at least one (1) percent of the amount of the 49 U.S.C. 5307 funding apportioned to the urbanized area is spent for public transportation security Projects as described in 49 U.S.C. 5307(c)(1)(J)(i) including:
      - (1) Increased lighting in or adjacent to a public transportation system (including bus stops, subway stations, parking lots, and garages),
      - (2) Increased camera surveillance of an area in or adjacent to that system,
      - (3) Emergency telephone line or lines to contact law enforcement or security personnel in an area in or adjacent to that system, and
      - (4) Any other Project intended to increase the security and safety of an existing or planned public transportation, or
    - b. The Designated Recipients in your Applicant's urbanized area will certify that such expenditures for transportation security Projects are not necessary, (Information about the intentions of your Designated Recipients in the Applicant's urbanized area must be recorded in the "Security" tab page of the TEAM-Web "Project Information" window when it submits its Urbanized Area Formula Program application in TEAM-Web),
  11. If your Applicant serves an urbanized area with a population of at least 200,000 individuals, as determined by the Bureau of the Census:
    - a. Each fiscal year, your Applicant will ensure that at least one (1) percent of the amount apportioned to the urbanized area is spent for Associated Transit Improvements, as defined in 49 U.S.C. 5302(1), as amended by MAP-21,
    - b. Your Applicant will include in its quarterly report for the fourth quarter of the preceding Federal fiscal year:
      - (1) A list of its Associated Transit Improvement Projects or Project activities during that Federal fiscal year using those 49 U.S.C. 5307 funds, or
      - (2) Sufficient information to demonstrate that the Designated Recipients in

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- its area together have spent one (1) percent of the amount of funding that must be made available to them for Associated Transit Improvement Projects or Project activities, or have included the same information in a separate report attached in TEAM-Web, and
- c. The report of your Applicant's Associated Transit Improvement Projects or Project activities is or will be incorporated by reference and made part of its Certifications and Assurances, and
12. Your Applicant will comply with its Public Transportation Agency Safety Plan as required by 49 U.S.C. 5329, as amended by MAP-21.

### **B. Urbanized Area Formula Program Before MAP-21 Became Effective.**

*You must select the Certification in Group 15.B if your Applicant seeks funding for its Urbanized Area Formula Project financed with funds made available or appropriated for former 49 U.S.C. 5307 in effect in FY 2012 or a previous fiscal year. In administering this program, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

The following Certification for the Urbanized Area Formula Grants Program are required by former 49 U.S.C. 5307(d)(1) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

1. Your Applicant has or will have the:
  - a. Legal capacity to carry out its proposed Projects,
  - b. Financial capacity to carry out its proposed Projects,
  - c. Technical capacity to carry out its proposed Projects,
  - d. Necessary capacity to carry out the safety aspects of its proposed Projects, and
  - e. Necessary capacity to carry out the security aspects of its proposed Projects,
2. Your Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. Your Applicant will maintain its Project equipment and facilities adequately,
4. Your Applicant will ensure that for transportation using or involving a facility or equipment of a Project financed under former 49 U.S.C. 5307 in effect in FY 2012 or a previous fiscal year, the following individuals will be charged a fare not exceeding fifty (50) percent of the peak hour fare:
  - a. Any elderly individual,
  - b. Any handicapped individual, as described in 49 CFR part 27,
  - c. Any individual presenting a Medicare card issued to himself or herself pursuant to title II of the Social Security Act (42 U.S.C. 401 *et seq.*), or
  - d. Any individual presenting a Medicare card issued to himself or herself pursuant to title XVIII of the Social Security Act (42 U.S.C. 1395 *et seq.*),
5. When carrying out a procurement under former 49 U.S.C. 5307 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross cutting

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

requirements that apply instead:

- a. Your Applicant will use competitive procurement (as defined or approved by FTA), as required by 49 U.S.C. 5325(a),
  - b. Your Applicant will not use exclusionary or discriminatory specifications in its procurements, as required by 49 U.S.C. 5323(h),
  - c. As provided by the MAP-21 cross-cutting requirement, “Buy America,” your Applicant will comply with 49 U.S.C. 5323(j), as amended by MAP-21,
  - d. Your Applicant will comply with applicable pre-award and post-delivery requirements of 49 U.S.C. 5323(m),
  - e. As provided by MAP-21 cross-cutting requirements, your Applicant will comply with applicable railcar option restrictions of 49 U.S.C. 5325(e), as amended by MAP-21, and
  - f. As required by the MAP cross-cutting requirement, “Veterans Preference/Employment,” your Applicant will comply with 49 U.S.C. 5325(k), as amended by MAP-21,
6. Your Applicant has complied or will comply with, and will require each Subrecipient to comply with, former 49 U.S.C. 5307(b) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 requirements that apply instead:
- a. For a capital project that will substantially affect a community or the public transportation service of a community, your Applicant:
    - (1) Has provided an adequate opportunity for public review and comment on its Project,
    - (2) After providing notice, has held a public hearing on the project if the project affects significant economic, social, or environmental interests,
    - (3) Has considered the economic, social, and environmental effects of the project, and
    - (4) Has found that the project is consistent with official plans for developing the community,
  - b. The notice of a hearing your Applicant published:
    - (1) Included a concise description of the proposed project, and
    - (2) Was published in a newspaper of general circulation in the geographic area the project will serve, and
  - c. Your Applicant’s application for a capital grant that will substantially affect a community, or the public transportation service of a community under former 49 U.S.C. chapter 53 in effect in FY 2012 or a previous fiscal year for a capital project described in paragraph (1) will include the following:
    - (1) A Certification that the applicant has complied with the requirements of 49 U.S.C. 5323(b)(1)(C), and
    - (2) In the environmental record for the project, evidence that your Applicant has complied with the requirements of 49 U.S.C. 5323(b)(1)(C).
7. Your Applicant:
- a. Has or will have the amount of funds required for the local share by former 49 U.S.C. 5307(e) in effect in FY 2012 or a previous fiscal year, except as

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- superseded by MAP-21 cross cutting requirements that apply instead,
- b. Will provide the local share funds from approved non-Federal sources except as permitted by former 49 U.S.C. 5307(e) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead, and
  - c. Will provide the local share funds when needed,
8. Your Applicant has complied or will comply with, and will require each Subrecipient to comply with, 49 U.S.C. 5301, 5303, and 5304, as amended by MAP-21,
  9. Your Applicant has a locally developed process to solicit and consider public comment before:
    - a. Raising a fare, or
    - b. Implementing a major reduction of public transportation,
  10. Each fiscal year:
    - a. Your Applicant will spend at least one (1) percent of its 49 U.S.C. 5307 funding for public transportation security Projects (limited to capital Projects if your Applicant serves an urbanized area with a population of 200,000 or more), including:
      - (1) Increased lighting in or adjacent to a public transportation system (including bus stops, subway stations, parking lots, and garages),
      - (2) Increased camera surveillance of an area in or adjacent to that system,
      - (3) Emergency telephone line or lines to contact law enforcement or security personnel in an area in or adjacent to that system, and
      - (4) Any other Project intended to increase the security and safety of an existing or planned public transportation, or
    - b. Your Applicant will certify that such expenditures for transportation security Projects are not necessary,  
(Information about your Applicant's intentions must be recorded in the "Security" tab page of the TEAM-Web "Project Information" window when it submits its Urbanized Area Formula Program application in TEAM-Web),
  11. If your Applicant serves an urbanized area with a population of at least 200,000 individuals:
    - a. Each fiscal year, your Applicant will ensure that at least one (1) percent of the amount apportioned to the urbanized area is spent for Transit Enhancements, as defined in former 49 U.S.C. 5302(a)(15),
    - b. Your Applicant will include in its quarterly report for the fourth quarter of the preceding Federal fiscal year
      - (1) A list of its Transit Enhancement Project activities during that Federal fiscal year using those former 49 U.S.C. 5307 funds, or
      - (2) Sufficient information to demonstrate that the Designated Recipients in your Applicant's urbanized area together have spent one (1) percent of the amount of funding that must be made available to them for Transit Enhancements or have included the same information in a separate report attached in TEAM-Web, and



## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- c. The report of your Applicant or the Designated Recipients' Transit Enhancement Projects or Project activities is or will be incorporated by reference and made part of its Certifications and Assurances, and
12. As required by the MAP-21 cross-cutting requirement, "Agency Safety Plans," your Applicant will comply with its Public Transportation Agency Safety Plan, as required by 49 U.S.C. 5329, as amended by MAP-21.

### **C. Job Access and Reverse Commute (JARC) Formula Grant Program.**

You must select the Certification in Group 15.C if your Applicant seeks funding for its JARC Project financed with funds made available or appropriated for former 49 U.S.C. 5316 in effect in FY 2012 or a previous fiscal year. In administering program, MAP-21 cross-cutting requirements supersede inconsistent former requirements.

1. The following Certification for the Urbanized Area Formula Grants Program are required by former 49 U.S.C. 5316 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
  - a. Your Applicant will make awards of JARC funding on a competitive basis following:
    - (1) An areawide solicitation in cooperation with the appropriate metropolitan planning organization for applications for funding in compliance with former 49 U.S.C. 5316, and
    - (2) A statewide solicitation for applications for JARC funding in compliance with former 49 U.S.C. 5316,
  - b. Any allocations to Subrecipients of JARC funding authorized by former 49 U.S.C. 5316 will be distributed on a fair and equitable basis,
  - c. As required by former 49 U.S.C. 5316:
    - (1) The projects your Applicant has selected or will select for funding made available or appropriated for that program were derived from a public transit-human services transportation plan that has been:
      - (a) Locally developed, and
      - (b) Coordinated,
    - (2) That locally developed, coordinated plan was produced through a process that included:
      - (a) Representatives of public, private, and nonprofit transportation providers,
      - (b) Representatives of public, private, and nonprofit human services providers, and
      - (c) Participation by the public,
  - d. Before your Applicant transfers funds to a project funded by former 49 U.S.C. 5336, that project has been or will have been coordinated with private

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- nonprofit providers of services,
- e. Before using funds apportioned for projects serving an area other than that for which funding was apportioned under former 49 U.S.C. 5316:
    - (1) The State's chief executive officer, or his or her designee, will have certified that all the JARC program objectives of former 49 U.S.C. 5316 are being met in the area from which the funding would be derived, and
    - (2) If the State has a statewide program for meeting the JARC program objectives of former 49 U.S.C. 5316, the funds can be used for projects anywhere in the State, and
  - f. The requirements of former 49 U.S.C. 5307 will apply to the JARC Program, authorized by former 49 U.S.C. 5316, and
2. The following Certifications for the JARC Program are required by former 49 U.S.C. 5307(d)(1) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
- a. Your Applicant has or will have, and will require each Subrecipient to have:
    - (1) The legal capacity to carry out its proposed Projects,
    - (2) The financial capacity to carry out its proposed Projects,
    - (3) The technical capacity to carry out its proposed Projects,
    - (4) The necessary capacity to carry out the safety aspects of its proposed Projects, and
    - (5) The necessary capacity to carry out the security aspects of its proposed Projects,
  - b. Your Applicant has or will have, and will require each Subrecipient to have satisfactory continuing control over the use of Project equipment and facilities,
  - c. Your Applicant will maintain, and will require each Subrecipient to maintain, its Project equipment and facilities adequately,
  - d. Your Applicant will ensure, and will require each Subrecipient to ensure, that for transportation using or involving a facility or equipment of a Project financed under former 49 U.S.C. 5307 in effect in FY 2012 or a previous fiscal year, the following individuals will be charged a fare not exceeding fifty (50) percent of the peak hour fare:
    - (1) Any elderly individual,
    - (2) Any handicapped individual, as described in 49 CFR part 27,
    - (3) Any individual presenting a Medicare card issued to himself or herself pursuant to title II of the Social Security Act (42 U.S.C. 401 *et seq.*), or
    - (4) Any individual presenting a Medicare card issued to himself or herself pursuant to title XVIII of the Social Security Act (42 U.S.C. 1395 *et seq.*),
  - e. When carrying out a procurement under former 49 U.S.C. 5307 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

cutting requirements that apply instead, your Applicant will, and will require each Subrecipient to:

- (1) Use competitive procurement (as defined or approved by FTA), as required by 49 U.S.C. 5325(a), and
  - (2) Not use exclusionary or discriminatory specifications in its procurements, as required by 49 U.S.C. 5323(h),
- f. Your Applicant has complied or will comply with, and will require each Subrecipient to comply with, former 49 U.S.C. 5307(c) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 requirements that apply instead:
- (1) For a capital project that will substantially affect a community or the public transportation service of a community, your Applicant:
    - (a) Has provided an adequate opportunity for public review and comment on its Project,
    - (b) After providing notice, has held a public hearing on the project if the project affects significant economic, social, or environmental interests,
    - (c) Has considered the economic, social, and environmental effects of the project, and
    - (d) Has found that the project is consistent with official plans for developing the community,
  - (2) The notice of a hearing your Applicant published:
    - (a) Included a concise description of the proposed project, and
    - (b) Was published in a newspaper of general circulation in the geographic area the project will serve, and
  - (3) Your Applicant's application for a capital grant that will substantially affect a community, or the public transportation service of a community under former 49 U.S.C. chapter 53 in effect in FY 2012 or a previous fiscal year for a capital project described in paragraph (1) will include the following:
    - (a) A Certification that the applicant has complied with the requirements of 49 U.S.C. 5323(b)(1)(C), as amended by MAP-21, and
    - (b) In the environmental record for the project, evidence that your Applicant has complied with the requirements of 49 U.S.C. 5323(b)(1)(C).
- g. Your Applicant:
- (1) Has or will have and, as necessary, will require each Subrecipient to have the amount of funds required for the local share by former 49 U.S.C. 5307(e) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross cutting requirements that apply instead,
  - (2) Will provide and, as necessary, will require each Subrecipient to provide, the local share funds from approved non-Federal sources except as permitted by former 49 U.S.C. 5307(e) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- that apply instead, and
- (3) Will provide and, as necessary, will provide the local share funds when needed,
  - h. Your Applicant has complied or will comply with, and will require each Subrecipient to comply with, 49 U.S.C. 5301, 5303, and 5304, as amended by MAP-21,
  - i. Your Applicant has or will have, and will require each Subrecipient to have a locally developed process to solicit and consider public comment before:
    - (1) Raising a fare, or
    - (2) Implementing a major reduction of public transportation, and
  - j. To the extent applicable, as required by the MAP-21 cross-cutting requirement, "Agency Safety Plans," your Applicant will comply with and, as necessary, will require each Subrecipient to comply with its Public Transportation Agency Safety Plan, as required by 49 U.S.C. 5329, as amended by MAP-21.

### **GROUP 16. SENIORS/ELDERLY/INDIVIDUALS WITH DISABILITIES AND NEW FREEDOM PROGRAMS.**

*The Certifications in Group 16 are in addition to other Certifications and Assurances listed previously that are required for Seniors/Elderly/Individuals with Disabilities or New Freedom Program funding.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, you must select the Certifications in Group 16, on behalf of your Applicant, if your Applicant seeks financing for its:*

- *Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Project, financed or to be financed with funds made available or appropriated for 49 U.S.C. 5310, as amended by MAP-21, which among other things authorizes funding for New Freedom Projects and Project Activities,*
- *Formula Grants for the Special Needs of Elderly Individuals and Individuals with Disabilities Project financed or to be financed with funds made available or appropriated for former 49 U.S.C. 5310 in effect in FY 2012 or a previous fiscal year, or*
- *New Freedom Project financed or to be financed with funds made available or appropriated for former 49 U.S.C. 5317 in effect in FY 2012 or a previous fiscal year.*

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*In administering these programs, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

*These three programs have or will have funding available during FY 2013. Accordingly, if your Applicant seeks funding made available or authorized by 49 U.S.C. 5310 or former 49 U.S.C. 5317 in effect in FY 2012 or a previous fiscal year, you should provide the three subgroups of Certifications in Group 16, on behalf of your Applicant, to assure that FTA can select the type of funding it considers most suitable. Before FTA may provide funding made available or appropriated for any of these Projects, on behalf of your Applicant, you must have selected the Certifications in Group 16 and other Certifications and Assurances listed previously that are required for the funding your Applicant seeks. Any provision of the Certifications in Group 16 that does not apply will not be enforced.*

### **A. Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program.**

*You must select the Certification in Group 16.A if your Applicant seeks funding for its Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Project financed with funds made available or appropriated for 49 U.S.C. 5310, as amended by MAP-21.*

1. The following Certification for the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program are required by 49 U.S.C. 5310, as amended by MAP-21. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
  - a. Each of your Applicant's Subrecipients is:
    - (1) A private nonprofit organization, or
    - (2) A State or local governmental authority that:
      - (a) Is approved by a State to coordinate services for seniors and individuals with disabilities; or
      - (b) Certifies that there are no private nonprofit organizations readily available in the area to provide services authorized under the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program,
  - b. Your Applicant will comply with the following Project selection and planning requirements:
    - (1) The Projects your Applicant has selected or will select for funding made available or appropriated for 49 U.S.C. 5310, as amended by MAP-21, are included in a public transit-human services transportation plan that has been:
      - (a) Locally developed, and
      - (b) Coordinated,

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- (2) That public transit-human services transportation plan was developed and approved through a process that included participation by:
      - (a) Seniors,
      - (b) Individuals with disabilities,
      - (c) Representatives of public, private, and nonprofit transportation providers,
      - (d) Representatives of public, private, and nonprofit human services providers, and
      - (e) Other members of the public; and
    - (3) To the maximum extent feasible, the services funded by 49 U.S.C. 5310, as amended by MAP-21, will be coordinated with transportation services funded 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,
  - c. As required by 49 U.S.C. 5310(e)(2)(B), as amended by MAP-21, your Applicant certifies that if it allocates funds received under 49 U.S.C. 5310, as amended by MAP-21, to Subrecipients, it will have allocated those funds on a fair and equitable basis,
  - d. Your Applicant will transfer a facility or equipment financed with funding made available or appropriated for a grant under 49 U.S.C. 5310, as amended by MAP-21, to any other recipient eligible to receive assistance under 49 U.S.C. chapter 53, as amended by MAP-21, only if:
    - (1) The recipient in possession of the facility or equipment consents to the transfer, and
    - (2) The facility or equipment will continue to be used as required under 49 U.S.C. 5310, as amended by MAP-21, and
  - e. The requirements of 49 U.S.C. 5307, as amended by MAP-21, as determined by FTA, will apply to the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities, authorized by 49 U.S.C. 5310, as amended by MAP-21, and
2. FTA has determined certain requirements of 49 U.S.C. 5307, as amended by MAP-21, to be appropriate for which some require Certifications. Therefore, as specified under 49 U.S.C. 5307(c)(1), as amended by MAP-21, your Applicant certifies that:
    - a. Your Applicant has or will have, and will require each Subrecipient to have, the:
      - (1) Legal capacity to carry out its proposed Projects,
      - (2) Financial capacity to carry out its proposed Projects,
      - (3) Technical capacity to carry out its proposed Projects,
      - (4) Necessary capacity to carry out the safety aspects of its proposed Projects, and
      - (5) Necessary capacity to carry out the security aspects of its proposed Projects,
    - b. Your Applicant has or will have, and will require each Subrecipient to have,

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- satisfactory continuing control over the use of Project equipment and facilities,
- c. Your Applicant will maintain, and will require each Subrecipient to maintain its Project equipment and facilities adequately,
  - d. When carrying out a procurement under the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program, your Applicant will, and will require each Subrecipient to:
    - (1) Comply with the general provisions for FTA programs of 49 U.S.C. 5323, as amended by MAP-21, and
    - (2) Comply with the third party procurement requirements of 49 U.S.C. 5325, as amended by MAP-21,
  - e. Your Applicant:
    - (1) Has or will have and, as necessary, will require each Subrecipient to have the amount of funds required for the local share by 49 U.S.C. 5307(d), as amended by MAP-21,
    - (2) Will provide and, as necessary, will require each Subrecipient to provide the local share funds from approved non-Federal sources, except as permitted by 49 U.S.C. 5307(d), as amended by MAP-21, and
    - (3) Will provide and, as necessary, will require each Subrecipient to provide the local share funds when needed,
  - f. Your Applicant has complied or will comply with, and will require each Subrecipient to comply with:
    - (1) The Metropolitan Planning requirements of 49 U.S.C. 5303, as amended by MAP-21, and
    - (2) The State Planning requirements of 49 U.S.C. 5304, as amended by MAP-21, and
  - g. To the extent applicable, your Applicant will comply with, and require its Subrecipients to comply with the requirements for a Public Transportation Agency Safety Plan provided by 49 U.S.C. 5329(d), as amended by MAP-21, to the extent FTA so requires.

### **B. Formula Grants for the Special Needs of Elderly Individuals and Individuals with Disabilities Program.**

*You must select the Certification in Group 16.B if your State Applicant seeks funding for its Formula Grants for the Special Needs of Elderly Individuals and Individuals with Disabilities Project financed with funds made available or appropriated for former 49 U.S.C. 5310 in effect in FY 2012 or a previous fiscal year. In administering this program, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

- 1. The following Certification for the Formula Grants for the Special Needs of Elderly Individuals and Individuals with Disabilities Program are required by former 49 U.S.C. 5310 in effect in FY 2012 or a previous fiscal year, except as

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

superseded by MAP-21 cross-cutting requirements that apply instead. Therefore, except as FTA determines otherwise in writing, on behalf of your State Applicant, you certify that:

- a. Each of your State Applicant's Subrecipients is:
  - (1) A private nonprofit organization, if the public transportation service that would undertake public transportation capital projects planned, designed, and carried out to meet the special needs of elderly individuals and individuals with disabilities is:
    - (a) Unavailable,
    - (b) Insufficient, or
    - (c) Inappropriate,
  - (2) A State or local governmental authority that:
    - (a) Is approved by a State to coordinate services for seniors and individuals with disabilities, or
    - (b) Certifies that:
      - 1 There are not any nonprofit organizations readily available in the area to provide public transportation capital projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities, and
      - 2 When public transportation is:
        - a Insufficient,
        - b Inappropriate, or
        - c Unavailable,
- b. The Projects your State Applicant has selected or will select for funding made available or appropriated for former 49 U.S.C. 5310 are included in a public transit-human services transportation plan that has been:
  - (1) Locally developed, and
  - (2) Coordinated,
- c. That public transit-human services transportation plan was developed and approved through a process that included participation by:
  - (1) Elderly Individuals,
  - (2) Individuals with disabilities,
  - (3) Representatives of public, private, and nonprofit transportation providers,
  - (4) Representatives of human services providers, and
  - (5) Other members of the public,
- d. To the maximum extent feasible, the services funded will be coordinated with transportation services funded 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,
- e. If your State Applicant allocates funds received under former 49 U.S.C. 5310 to Subrecipients, your State Applicant will have allocated those funds on a fair and equitable basis,
- f. The Program of Projects your State Applicant has submitted or will submit contains or will contain an assurance that the Program provides for the



## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- maximum feasible coordination of transportation services funded by former 49 U.S.C. 5310 with transportation services funded by other Government sources, and
- g. Your Applicant will comply with the requirements of former 49 U.S.C. 5307 that FTA determined will apply to the former Formula Grants for the Special Needs of Elderly Individuals and Individuals with Disabilities Program,
2. The following Certification for the Special Needs of Elderly Individuals and Individuals with Disabilities Program are required by former 49 U.S.C. 5307(d)(1) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead. Therefore, except as FTA determines otherwise in writing, on behalf of your State Applicant, you certify that:
- a. Your State Applicant and each of its Subrecipients have or will have the:
- (1) Legal capacity to carry out its proposed Projects,
  - (2) Financial capacity to carry out its proposed Projects,
  - (3) Technical capacity to carry out its proposed Projects,
  - (4) Necessary capacity to carry out the safety aspects of its proposed Projects, and
  - (5) Necessary capacity to carry out the security aspects of its proposed Projects,
- b. Your State Applicant and each Subrecipient has or will have satisfactory continuing control over the use of Project equipment and facilities,
- c. Your State Applicant and each of its Subrecipients will maintain its Project equipment and facilities adequately,
- d. When carrying out a procurement under former 49 U.S.C. 5307 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross cutting requirements that apply instead, your Applicant will, and will require each Subrecipient to, do the following:
- (1) Use competitive procurement (as defined or approved by FTA), as required by 49 U.S.C. 5325(a),
  - (2) Not use exclusionary or discriminatory specifications in its procurements, as required by 49 U.S.C. 5323(h),
  - (3) As provided by the MAP-21 cross-cutting requirement, "Buy America," comply with 49 U.S.C. 5323(j), as amended by MAP-21,
  - (4) Comply with applicable pre-award and post-delivery requirements of 49 U.S.C. 5323(m),
  - (5) As provided by MAP-21 cross cutting requirement, "Rail Car Procurement," comply with the railcar option restrictions of 49 U.S.C. 5325(e), as amended by MAP-21, and
  - (6) As required by the MAP-21 cross-cutting requirement, "Veterans Preference/Employment," comply with 49 U.S.C. 5325(k), as amended by MAP-21,
- e. Your State Applicant:
- (1) Has or will have and, as necessary, will require each Subrecipient to have

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- the amount of funds required for the local share by former 49 U.S.C. 5307(e) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross cutting requirements that apply instead,
- (2) Will provide and, as necessary, will require each Subrecipient to provide the local share funds from approved non-Federal sources except as permitted by former 49 U.S.C. 5307(e) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead, and
  - (3) Will provide and, as necessary, will require each Subrecipient to provide the local share funds when needed,
- f. Your Applicant has complied or will comply with, and will require each Subrecipient to comply with, 49 U.S.C. 5301, 5303, and 5304, as amended by MAP-21, and
  - g. To the extent applicable, as required by the MAP-21 cross-cutting requirement, "Agency Safety Plans," your State Applicant will comply with and, as necessary, will require each Subrecipient to comply with, its Public Transportation Agency Safety Plan, as required by 49 U.S.C. 5329, as amended by MAP-21.

### C. New Freedom Program.

*You must select the Certification in Group 16.C if your Applicant seeks funding for its New Freedom Project financed with funds made available or appropriated for former 49 U.S.C. 5317 in effect in FY 2012 or a previous fiscal year. In administering this program, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

1. The following Certification for the New Freedom Program is required by former 49 U.S.C. 5317 in effect in FY 2012 or a previous fiscal year. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
  - a. Your Applicant will make awards of New Freedom funding on a competitive basis after conducting:
    - (1) An areawide solicitation in cooperation with the appropriate metropolitan planning organization for applications for funding in compliance with former 49 U.S.C. 5317, or
    - (2) A statewide solicitation for applications for New Freedom funding in compliance with former 49 U.S.C. 5317,
  - b. Any allocations to Subrecipients of New Freedom funding authorized by former 49 U.S.C. 5317 will be distributed on a fair and equitable basis,
  - c. Your Applicant will comply with the following Project selection and planning requirements:
    - (1) The projects your Applicant has selected or will select for funding made available or appropriated for that program were derived from a public

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- transit-human services transportation plan that has been:
- (a) Locally developed, and
  - (b) Coordinated,
- (2) That locally developed and coordinated plan was produced through a process that included:
- (a) Representatives of public, private, and nonprofit transportation providers,
  - (b) Representatives of public, private, and nonprofit human services providers, and
  - (c) Participation by the public,
- d. Before your Applicant transfers funds to a project funded by former 49 U.S.C. 5311(c), former 49 U.S.C. 5336, or both:
- (1) The funding to be transferred may be made available only to projects eligible for funding made available or appropriated for former 49 U.S.C. 5317, and
  - (2) The Applicant will have consulted with responsible local officials and publicly owned operators of public transportation in each area for which the amount to be transferred was originally awarded,
- e. Your Applicant may transfer funds to another Subrecipient only if it has consulted with responsible local officials and publicly owned operators of public transportation in each area for which the amount originally was awarded, as provided by former 49 U.S.C. 5317, and
- f. The requirements of former 49 U.S.C. 5307, as determined by FTA, will apply to the New Freedom Program, authorized by former 49 U.S.C. 5317, and
2. The following Certification for the New Freedom Program is required by former 49 U.S.C. 5307(d)(1) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
- a. Your Applicant has or will have, and will require each Subrecipient to have, the:
    - (1) Legal capacity to carry out its proposed Projects,
    - (2) Financial capacity to carry out its proposed Projects,
    - (3) Technical capacity to carry out its proposed Projects,
    - (4) Necessary capacity to carry out the safety aspects of its proposed Projects, and
    - (5) Necessary capacity to carry out the security aspects of its proposed Projects,
  - b. Your Applicant has or will have, and will require each Subrecipient to have, satisfactory continuing control over the use of Project equipment and facilities,
  - c. Your Applicant will maintain, and will require each Subrecipient to maintain, its Project equipment and facilities adequately,

## **FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES**

- d. When carrying out a procurement under former 49 U.S.C. 5317 in effect in FY 2012 or a previous fiscal year superseded by MAP-21 cross cutting requirements that apply, your Applicant will, and will require each Subrecipient to do the following:
  - (1) Use competitive procurement (as defined or approved by FTA), as required by 49 U.S.C. 5325(a),
  - (2) Not use exclusionary or discriminatory specifications in its procurements, as required by 49 U.S.C. 5323(h),
  - (3) As provided by the MAP-21 cross-cutting requirement, “Buy America,” your Applicant will comply with 49 U.S.C. 5323(j), as amended by MAP-21,
  - (4) Comply with applicable pre-award and post-delivery requirements of 49 U.S.C. 5323(m),
  - (5) As provided by MAP-21 cross cutting requirement, “Rail Car Procurement,” comply with the railcar option restrictions of 49 U.S.C. 5325(e), as amended by MAP-21, and
  - (6) As required by the MAP-21 cross-cutting requirement, “Veterans Preference/Employment,” comply with 49 U.S.C. 5325(k), as amended by MAP-21,
- e. Your Applicant:
  - (1) Has or will have and, as necessary, will require each Subrecipient to have the amount of funds required for the local share required by former 49 U.S.C. 5317(g) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross cutting requirements that may apply instead,
  - (2) Will provide and, as necessary, will require each Subrecipient to provide, the local share funds from approved non-Federal sources except as permitted by former 49 U.S.C. 5317(g) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead, and
  - (3) Will provide and, as necessary, will require each Subrecipient to provide, the local share funds when needed,
- f. Your Applicant has complied or will comply with, and will require each Subrecipient to comply with, 49 U.S.C. 5301, 5303, and 5304, as amended by MAP-21, and
- g. To the extent applicable, as required by the MAP-21 cross-cutting requirement, “Agency Safety Plans,” your Applicant will comply with and, as necessary, will require each Subrecipient to comply with, its Public Transportation Agency Safety Plan, as required by 49 U.S.C. 5329, as amended by MAP-21.

### **GROUP 17. RURAL/OTHER THAN URBANIZED AREAS/APPALACHIAN DEVELOPMENT/OVER-THE-ROAD BUS ACCESSIBILITY PROGRAMS.**

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*The Certifications and Assurances in Group 17 are in addition to other Certifications and Assurances listed previously that are required for Rural/Other Than Urbanized Areas/Appalachian Development/or Over-the-Road Bus Accessibility Program funding.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, you must select the Certifications and Assurances in Group 17, on behalf of your Applicant, if your Applicant seeks financing for its:*

- *Formula Grants for Rural Areas Project financed with funding made available or appropriated for 49 U.S.C. 5311(b), as amended by MAP-21, (Separate Certifications and Assurances have been established in Group 18 for an Indian tribe that is an Applicant for a Public Transportation on Indian Reservations Project financed with funding made available or appropriated for 49 U.S.C. 5311(c)(1), as amended by MAP-21.)*
- *Formula Grants for Other Than Urbanized Areas Project financed with funding made available or appropriated for former 49 U.S.C. 5311(b) in effect in FY 2012 or a previous fiscal year,*
  - *Separate Certifications and Assurances have been established in Group 18 for an Indian tribe that is an Applicant for "Tribal Transit" Project financed with funding made available or appropriated for former 49 U.S.C. 5311(c)(1) in effect in FY 2012 or a previous fiscal year.*
- *Appalachian Development Public Transportation Assistance Project financed with funding made available or appropriated for 49 U.S.C. 5311(c)(2), as amended by MAP-21, or*
- *Over-the-Road Bus Accessibility Project financed with funding made available or appropriated for section 3038 of TEA-21, as amended by section 3039 of SAFETEA-LU, 49 U.S.C. 5310 note.*

*In administering these programs, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

*These four programs have or are likely to have funding available during FY 2013. Accordingly, if your Applicant seeks funding made available or authorized by 49 U.S.C. 5311 or former section 3038 of TEA-21, you should provide these Certifications in Group 17, on behalf of your Applicant, to assure that FTA can select the type of funding it considers most suitable.*

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*Before FTA may provide funding made available or appropriated for any of these Projects, on behalf of your Applicant, you must have selected the Certifications in Group 17 and other Certifications and Assurances listed previously that are required for the funding your Applicant seeks. Any provision of the Certifications and Assurances in Group 17 that does not apply will not be enforced.*

### **A. Formula Grants for Rural Areas Program.**

*You must select the Certification in Group 17.A if your Applicant seeks funding for its Formula Grants for Rural Areas Project financed with funds made available or appropriated for 49 U.S.C. 5311(b), as amended by MAP-21.*

The following Certification applies to each State or State organization serving as your Applicant for funding made available or appropriated for the Rural Areas Formula Project authorized by 49 U.S.C. 5311(b), as amended by MAP-21. On behalf of your Applicant, you certify and assure that:

1. Your Applicant has or will have the:
  - a. Legal capacity to carry out its proposed Projects,
  - b. Financial capacity to carry out its proposed Projects,
  - c. Technical capacity to carry out its proposed Projects,
  - d. Necessary capacity to carry out the safety aspects of its proposed Projects, and
  - e. Necessary capacity to carry out the security aspects of its proposed Projects,
2. Your Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. Your Applicant's Project equipment and facilities will be adequately maintained,
4. Your Applicant's program has provided for a fair distribution of Federal funding made available or appropriated for 49 U.S.C. 5311(b), as amended by MAP-21 within the State, including Indian reservations,
5. Your Applicant's program provides or will provide the maximum feasible coordination of public transportation service funded by 49 U.S.C. 5311(b), as amended by MAP-21, with transportation service funded by other Federal sources,
6. Your Applicant's Projects in its Formula Grants for Rural Areas Program are included in:
  - a. The Statewide Transportation Improvement Program, and
  - b. To the extent applicable, a Metropolitan Transportation Improvement Program,
7. Your Applicant has or will have the amount of funds required for the local share, as required by 49 U.S.C. 5311(g), as amended by MAP-21, and
  - a. Will provide the local share funds from approved non-Federal sources except as permitted by Federal law, and
  - b. Will provide the local share funds when needed,

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

8. Your Applicant may transfer a facility or equipment acquired using a grant under 49 U.S.C. 5311(b) to any other recipient eligible to receive assistance under 49 U.S.C. chapter 53, if:
  - a. The recipient in possession of the facility or equipment consents to the transfer, and
  - b. The facility or equipment will continue to be used as required under 49 U.S.C. 5311, as amended by MAP-21, and
9. Each fiscal year:
  - a. Your Applicant will spend at least fifteen (15) percent of its 49 U.S.C. 5311 funding available that fiscal year to develop and support intercity bus transportation within the State, with eligible activities, including:
    - (1) Planning and marketing for intercity bus transportation,
    - (2) Capital grants for intercity bus facilities,
    - (3) Joint-use facilities,
    - (4) Operating grants through purchase-of-service agreements, user-side subsidies, and demonstration Projects, and
    - (5) Coordinating rural connections between small public transportation operations and intercity bus carriers, or
  - b. Your Applicant will provide to the Federal Transit Administrator a Certification of the Governor of the State that:
    - (1) It has consulted with the affected intercity bus service providers about the intercity bus needs of the State, and
    - (2) The State's intercity bus service needs are being met adequately.

### **B. Formula Grants for Other Than Urbanized Areas Program.**

*You must select the Certification in Group 17.B if your Applicant seeks funding for its Formula Grant for Other Than Urbanized Areas Project financed with funds made available or appropriated for former 49 U.S.C. 5311(b), in effect in FY 2012 or a previous fiscal year. In administering this program, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

The following Certification applies to each State or State organization serving as your Applicant for funding made available or appropriated for the Formula Grants for Other Than Urbanized Areas Project authorized by 49 U.S.C. 5311(b)(2) in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross-cutting requirements that apply instead. On behalf of your Applicant, you certify and assure that:

1. Your Applicant has or will have the:
  - a. Legal capacity to carry out its proposed Projects,
  - b. Financial capacity to carry out its proposed Projects,
  - c. Technical capacity to carry out its proposed Projects,
  - d. Necessary capacity to carry out the safety aspects of its proposed Projects, and

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- e. Necessary capacity to carry out the security aspects of its proposed Projects,
2. Your Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. Your Applicant's Project equipment and facilities will be adequately maintained,
4. Your Applicant's program has provided for a fair distribution of Federal funding made available or appropriated for 49 U.S.C. 5311(b) in effect in FY 2012 or a previous fiscal year, within the State, including Indian reservations,
5. Your Applicant's program provides or will provide the maximum feasible coordination of public transportation service funded by former 49 U.S.C. 5311(b) in effect in FY 2012 or a previous fiscal year, with transportation service funded by other Federal sources,
6. Your Applicant's Projects in its Formula Grants for Rural Areas Program are included in:
  - a. The Statewide Transportation Improvement Program, and
  - b. To the extent applicable, a Metropolitan Transportation Improvement Program,
7. Your Applicant has or will have the amount of funds required for the local share, as required by 49 U.S.C. 5311(g) in effect in FY 2012 or a previous fiscal year, and:
  - a. Will provide the local share funds from approved non-Federal sources except as permitted by Federal law,
  - b. Will provide the local share funds when needed,
8. Your Applicant may transfer a facility or equipment acquired using a grant under 49 U.S.C. 5311(b) in effect in FY 2012 or a previous fiscal year to any other recipient eligible to receive assistance under 49 U.S.C. chapter 53, if:
  - a. The Recipient in possession of the facility or equipment consents to the transfer, and
  - b. The facility or equipment will continue to be used as required under 49 U.S.C. 5311 in effect in FY 2012, and
9. Each fiscal year:
  - a. Your Applicant will spend at least fifteen (15) percent of its 49 U.S.C. 5311 funding available that fiscal year to develop and support intercity bus transportation within the State with eligible activities, including:
    - (1) Planning and marketing for intercity bus transportation,
    - (2) Capital grants for intercity bus shelters,
    - (3) Joint-use stops and depots,
    - (4) Operating grants through purchase-of-service agreements, user-side subsidies, and demonstration Projects, and
    - (5) Coordinating rural connections between small public transportation operations and intercity bus carriers, or
  - b. Your Applicant will provide to the Federal Transit Administrator a Certification of the Chief Executive Officer of the State that:
    - (1) It has consulted with the affected intercity bus service providers about the intercity bus needs of the State, and



## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

(2) The State's intercity bus service needs are being met adequately.

### **C. Appalachian Development Public Transportation Assistance Program.**

*You must select the Certification in Group 17.C if your Applicant seeks funding for Appalachian Development Public Transportation Assistance Project financed with funds made available or appropriated for former 49 U.S.C. 5311(c)(2), as amended by MAP-21.*

On behalf of your Applicant, you certify and assure that, in addition to other Certifications and Assurances your Applicant must provide, if your Applicant is unable to use its funding made available or appropriated for this program for public transportation purposes, your Applicant may use the funding for a highway provided that it provides notice and an opportunity for comment and appeal to affected public transportation providers and the Applicant in approving the use determines that local transit needs are being addressed, as required by 49 U.S.C. 5311(c)(2)(D), as amended by MAP-21.

### **D. Over-the-Road Bus Accessibility Program.**

*You must select the Assurance in Group 17.D if your Applicant seeks funding for its Over-the-Road Bus Accessibility Project financed with funds made available or appropriated for repealed section 3038 of TEA-21, as amended by section 3039 of SAFETEA-LU in effect in FY 2012 or a previous fiscal year. In administering this program, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

The Applicant assures that it will comply with all applicable Federal statutes and regulations, and follow applicable Federal guidance in carrying out any Over-the-Road Bus Accessibility Project supported by the FTA grant. The Applicant acknowledges that it is under a continuing obligation to comply with the terms and conditions of the grant agreement issued for its project with FTA. The Applicant understands that Federal laws, regulations, policies, and administrative practices might be modified from time to time and affect the implementation of the project.

The Applicant assures that the Federal requirements for the Over-the-Road Bus Accessibility Program during FY 2012 will apply to the project, unless FTA issues a written determination otherwise. Certifications and Assurances for funding to be awarded under this program in FY 2013 are included in these FTA Certifications and Assurances for FY 2013. Each Applicant must submit Group 01 ("Required Certifications and Assurances for Each Applicant"). Each Applicant seeking more than \$100,000 in Federal funding must provide both Group 01, and Group 02, ("Lobbying").

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

### GROUP 18. PUBLIC TRANSPORTATION ON INDIAN RESERVATIONS AND “TRIBAL TRANSIT” PROGRAMS.

*The Certifications in Group 18 are in addition to other Certifications and Assurances listed previously that are required for Public Transportation on Indian Reservations Program funding or “Tribal Transit” Program funding.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant’s Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, you must select the Certifications in Group 18, on behalf of your Applicant, if your Applicant seeks financing for its:*

- *Formula or discretionary Public Transportation on Indian Reservations Project financed with funding made available or appropriated for 49 U.S.C. 5311(c)(1), as amended by MAP-21, or*
- *Discretionary “Tribal Transit” Project financed with funding made available or appropriated for former 49 U.S.C. 5311(c)(1) in effect in FY 2012 or a previous fiscal year.*

*In administering these programs, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

*Before FTA may provide funding made available or appropriated for any of these Projects, on behalf of your Applicant, you must have selected the Certifications in Group 18 and other Certifications and Assurances listed previously that are required for the funding your Applicant seeks. Any provision of the Certifications in Group 18 that does not apply will not be enforced.*

#### **A. Public Transportation on Indian Reservations Program.**

*You must select the Certification in Group 18.A if your Applicant seek funding for its Public Transportation on Indian Reservations Project financed with funds made available or appropriated for 49 U.S.C. 5311(c)(1), as amended by MAP-21.*

FTA has established terms and conditions for direct Public Transportation on Indian Reservations Program grants financed with funding made available or appropriated for 49 U.S.C. 5311(c)(1), as amended by MAP-21. On behalf of your Applicant, you certify and assure that:

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

1. Your Applicant has or will have the necessary legal, financial, and managerial capability to:
  - a. Apply, receive and disburse 49 U.S.C. 5311(c)(1) funding, and
  - b. Carry out each Project, including the:
    - (1) Safety aspects of its proposed Projects, and
    - (2) Security aspects of its proposed Projects,
2. Your Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. Your Applicant's Project equipment and facilities will be adequately maintained,
4. Your Applicant's Project will achieve maximum feasible coordination with transportation service funded by other Federal sources,
5. Your Applicant will:
  - a. 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 49 CFR 18.36, or
  - b. Inform FTA promptly that its procurement system does not comply with those U.S. DOT regulations, and
6. Your Applicant will comply with the Certifications, Assurances, and Agreements in:
  - a. Group 03.B and 03.C (Charter Service Agreement and School Bus Agreement),
  - b. Group 05.B (Bus Testing),
  - c. Group 06 (Demand Responsive Service),
  - d. Group 07 (Intelligent Transportation Systems), and
  - e. Group 10 (Alcohol and Controlled Substances Testing).

### **B. "Tribal Transit" Program.**

*You must select the Certification in Group 18.B if your Applicant seeks funding for its "Tribal Transit" Project financed with funds made available or appropriated for former 49 U.S.C. 5311(c)(1), in effect in FY 2012 or a previous fiscal year. In administering this program, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

FTA has established terms and conditions for direct "Tribal Transit" Program grants financed with funding made available or appropriated for former 49 U.S.C. 5311(c)(1) in effect in FY 2012 or a previous fiscal year, except as superseded as MAP-21 cross-cutting requirements that apply instead. On behalf of your Applicant you certify that:

1. Your Applicant has or will have the necessary legal, financial, and managerial capability to:
  - a. Apply, receive and disburse 49 U.S.C. 5311(c)(1) funding, and
  - b. Carry out each Project, including the:

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- (1) Safety aspects of its proposed Projects, and
- (2) Security aspects of its proposed Projects,
2. Your Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. Your Applicant's Project equipment and facilities will be adequately maintained,
4. Your Applicant's Project will achieve maximum feasible coordination with transportation service funded by other Federal sources,
5. Your Applicant will:
  - a. 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 49 CFR 18.36, or
  - b. Inform FTA promptly that its procurement system does not comply with those U.S. DOT regulations, and
6. Your Applicant will comply with the Certifications, Assurances, and Agreements in:
  - a. Group 03.B and 03.C (Charter Service Agreement and School Bus Agreement),
  - b. Group 05.B (Bus Testing),
  - c. Group 06 (Demand Responsive Service),
  - d. Group 07 (Intelligent Transportation Systems), and
  - e. Group 10 (Alcohol and Controlled Substances Testing).

### **GROUP 19. LOW OR NO EMISSION/CLEAN FUELS GRANT PROGRAM**

*The Certifications in Group 19 are in addition to other Certifications and Assurances listed previously that are required for Low or No Emission Vehicle Deployment Program funding or Clean Fuels Grant Program funding.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, you must select the Certifications in Group 19, on behalf of your Applicant, if your Applicant seeks financing for its:*

- *Discretionary Low or No Emission Vehicle Deployment Project financed with funding made available or appropriated for 49 U.S.C. 5312(d)(5), as amended by MAP-21, or*
- *Discretionary Clean Fuels Grant Program Project financed with funding made available or appropriated for former 49 U.S.C. 5308 in effect in FY 2012 or a*

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*previous fiscal year.*

*In administering these programs, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

*Before FTA may provide funding made available or appropriated for any of these Projects, on behalf of your Applicant, you must have selected the Certifications in Group 19 and other Certifications and Assurances listed previously that are required for the funding your Applicant seeks. Any provision of the Certifications in Group 19 that does not apply will not be enforced.*

### **A. Low or No Emission Vehicle Deployment.**

*You must select the Certification in Group 19.A, if your Applicant seeks funding for its Low or No Emission Vehicle Development Project financed with funds made available or appropriated for 49 U.S.C. 5312(d)(5), as amended by MAP-21.*

The following Certification for Low or No Emission Vehicle Deployment Program funding made available or appropriated for MAP-21 is required by 49 U.S.C. 5312(d)(5)(C) and by 49 U.S.C. 5307(c)(1), as amended by MAP-21. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

1. Your Applicant has or will have the:
  - a. Legal capacity to carry out its proposed Projects,
  - b. Financial capacity to carry out its proposed Projects,
  - c. Technical capacity to carry out its proposed Projects,
  - d. Necessary capacity to carry out the safety aspects of its proposed Projects, and
  - e. Necessary capacity to carry out the security aspects of its proposed Projects,
2. Your Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities,
3. Your Applicant will maintain its Project equipment and facilities adequately,
4. Your Applicant will ensure that, during non-peak hours, for transportation using or involving a facility or equipment funded for its Project, the following individuals will be charged a fare not exceeding fifty (50) percent of the peak hour fare:
  - a. Any senior,
  - b. Any individual who, because of illness, injury, age, a congenital malfunction, or any other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or who has semi-ambulatory capability), and cannot use a public transportation service or a public transportation facility effectively without special facilities, special planning, or special design,
  - c. Any individual presenting a Medicare card issued to himself or herself pursuant to title II of the Social Security Act (42 U.S.C. 401 *et seq.*), or

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- d. Any individual presenting a Medicare card issued to himself or herself pursuant to title XVIII of the Social Security Act (42 U.S.C. 1395 *et seq.*),
5. When carrying out a procurement under this Program, your Applicant will comply with the:
  - a. General provisions for FTA programs of 49 U.S.C. 5323, and
  - b. Third party procurement requirements of 49 U.S.C. 5325,
6. Your Applicant:
  - a. Has informed or will inform the public of the amounts of its funding available under this Program,
  - b. Has developed or will develop, in consultation with interested parties, including private transportation providers, a proposed Program of Projects for activities to be funded,
  - c. Has published or will publish a Program of Projects in a way that affected individuals, private transportation providers, and local elected officials will have an opportunity to examine and submit comments on the proposed Projects and its performance as an Applicant,
  - d. Has provided or will provide an opportunity for a public hearing to obtain the views of individuals on the proposed Program of Projects,
  - e. Has assured or will assure that the proposed Program of Projects provide for coordination of transportation services with federally funded transportation services supported by United States Government sources other than U.S. DOT,
  - f. Has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final list of Projects, and
  - g. Has made or will make the final list of Projects available to the public,
7. Your Applicant:
  - a. Has or will have the amount of funds required for the local share,
  - b. Will provide the local share funds from approved non-Federal sources, except if otherwise authorized by law, and
  - c. Will provide the local share funds when needed,
8. Your Applicant will comply with:
  - a. The Metropolitan Planning requirements of 49 U.S.C. 5303, as amended by MAP-21, and
  - b. The State Planning requirements of 49 U.S.C. 5304, as amended by MAP-21,
9. Your Applicant has a locally developed process to solicit and consider public comment before:
  - a. Raising a fare, or
  - b. Implementing a major reduction of public transportation, and
10. Your Applicant will comply with its Public Transportation Agency Safety Plan as required by 49 U.S.C. 5329, as amended by MAP-21.

### **B. Clean Fuels Grant Program.**

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*You must select the Certification in Group 19.B if your Applicant seeks funding for its Clean Fuels Grant Project financed with funds made available or appropriated for former 49 U.S.C. 5308 in effect in FY 2012 or a previous fiscal year. In administering this program, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

The following Certification for Clean Fuels Grant Program funding made available or appropriated for former 49 U.S.C. 5308 in effect in FY 2012 or a previous fiscal year is required by former 49 U.S.C. 5308(d)(1) and former 49 U.S.C. 5307(d)(1), except as superseded by MAP-21 cross-cutting requirements that apply instead. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:

1. Your Applicant has or will have the:
  - a. Legal capacity to carry out its proposed projects,
  - b. Financial capacity to carry out its proposed projects,
  - c. Technical capacity to carry out its proposed projects,
  - d. Safety aspects of its proposed projects, and
  - e. Security aspects of its proposed projects,
2. Your Applicant has or will have satisfactory continuing control over the use of project equipment and facilities,
3. Your Applicant will maintain the project equipment and facilities adequately,
4. Your Applicant will ensure that the following individuals will be charged not more than fifty (50) percent of the peak hour fare for transportation during non-peak hours using or involving project facilities or equipment supported under former 49 U.S.C. 5308:
  - a. Elderly individuals,
  - b. Individuals with disabilities, or
  - c. Individuals presenting a Medicare card issued to himself or herself pursuant to title II or title XVIII of the Social Security Act (42 U.S.C. 401 *et seq.* or 42 U.S.C. 1395 *et seq.*),
5. When carrying out a procurement under former 49 U.S.C. 5308 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross cutting requirements that apply instead:
  - a. Your Applicant will use competitive procurement (as defined or approved by FTA), as required by 49 U.S.C. 5325(a),
  - b. Your Applicant will not use exclusionary or discriminatory specifications in its procurements, as required by 49 U.S.C. 5323(h),
  - c. As provided by the MAP-21 cross-cutting requirement, "Buy America," your Applicant will comply with 49 U.S.C. 5323(j), as amended by MAP-21,
  - d. Your Applicant will comply with applicable pre-award and post-delivery requirements of 49 U.S.C. 5323(m),
  - e. As provided by MAP-21 cross cutting requirement, "Rail Car Procurement," your Applicant will comply with the railcar option restrictions of 49 U.S.C. 5325(e), as amended by MAP-21, and

## **FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES**

- f. As required by the MAP-21 cross-cutting requirement, “Veterans Preference/Employment,” your Applicant will comply with 49 U.S.C. 5325(k), as amended by MAP-21,
6. Your Applicant has complied with or will comply with former 49 U.S.C. 5307(c) because it:
  - a. Has informed or will inform the public of the amounts of its Clean Fuels Grant Program funds available under 49 U.S.C. 5308, and the projects it proposes to undertake,
  - b. Has developed or will develop, in consultation with interested parties, including private transportation providers, the projects proposed to be funded,
  - c. Has published or will publish a list of its projects in a way that affected citizens, private transportation providers, and local elected officials will have an opportunity to examine and submit comments on the proposed projects and its performance,
  - d. Has provided or will provide an opportunity for a public hearing to obtain the views of citizens on the proposed projects,
  - e. Has assured or will assure that the proposed Program of Projects provide for coordination of transportation services with federally funded transportation services supported by United States Government sources other than U.S. DOT,
  - f. Has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final list of projects, and
  - g. Has made or will make the final list of projects available to the public,
7. Your Applicant:
  - a. Has or will have the amount of funds required for the local share,
  - b. Will provide the local share funds from approved non-Federal sources except as permitted by Federal law, and
  - c. Will provide the local share funds when needed,
8. Your Applicant has complied or will comply with, and will require each Subrecipient to comply with, 49 U.S.C. 5301, 5303, and 5304, as amended by MAP-21
9. Your Applicant has a locally developed process to solicit and consider public comment before:
  - a. Raising a fare, or
  - b. Implementing a major reduction of public transportation, and
10. Consistent with the MAP-21 cross-cutting requirement, “Safety,” your Applicant will comply with its Public Transportation Agency Safety Plan requirements of 49 U.S.C. 5329, as amended by MAP-21.

### **GROUP 20. PAUL S. SARBANES TRANSIT IN PARKS PROGRAM**

*The Certification in Group 20 is in addition to other Certifications and Assurances listed previously that are required for Paul S. Sarbanes Transit in Parks Program funding,*



## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*former 49 U.S.C. 5320 in effect in FY 2012 or a previous fiscal year. In administering this program, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, you must select the Certification in Group 20, on behalf of your Applicant, if your Applicant seeks financing for its Paul S. Sarbanes Transit in Parks Project financed with funds made available or appropriated for former 49 U.S.C. 5320 in effect in FY 2012 or a previous fiscal year.*

*Before FTA may provide funding made available or appropriated for your Project, on behalf of your Applicant, you must have selected the Certification in Group 20 and other Certifications and Assurances listed previously that are required for the funding your Applicant seeks.*

1. The following Certification for the Paul S. Sarbanes Transit in Parks Program (Parks Program) is required by former 49 U.S.C. 5320 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 requirements that apply instead. Therefore, except as FTA determines otherwise in writing, on behalf of your Applicant, you certify that:
  - a. Your Applicant will consult with the appropriate Federal land management agency during the planning process, and
  - b. The requirements of former 49 U.S.C. 5307, as determined by FTA, will apply to the Parks Program, authorized by former 49 U.S.C. 5320, and
2. FTA has determined certain requirements of former 49 U.S.C. 5307 to be appropriate for the Parks Program, of which some require Certifications. Therefore as specified under former 49 U.S.C. 5307(d)(1), except as superseded by MAP-21 cross-cutting requirements, you certify that:
  - a. Your Applicant has or will have the:
    - (1) Legal capacity to carry out its proposed projects,
    - (2) Financial capacity to carry out its proposed projects,
    - (3) Technical capacity to carry out its proposed projects,
    - (4) Safety aspects of its proposed projects, and
    - (5) Security aspects of its proposed projects,
  - b. Your Applicant has or will have satisfactory continuing control over the use of project equipment and facilities,

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- c. Your Applicant will maintain the project equipment and facilities adequately,
- d. When carrying out a procurement under former 49 U.S.C. 5320 in effect in FY 2012 or a previous fiscal year, except as superseded by MAP-21 cross cutting requirements that apply instead:
  - (1) Your Applicant will use competitive procurement (as defined or approved by FTA), as required by 49 U.S.C. 5325(a),
  - (2) Your Applicant will not use exclusionary or discriminatory specifications in its procurements, as required by 49 U.S.C. 5323(h),
  - (3) As provided by the MAP-21 cross-cutting requirement, "Buy America," your Applicant will comply with 49 U.S.C. 5323(j), as amended by MAP-21,
  - (4) Your Applicant will comply with applicable pre-award and post-delivery requirements of 49 U.S.C. 5323(m),
  - (5) As provided by MAP-21 cross cutting requirement, "Rail Car Procurement," comply with the railcar option restrictions of 49 U.S.C. 5325(e), as amended by MAP-21, and
  - (6) As required by the MAP-21 cross-cutting requirement, "Veterans Preference/Employment," your Applicant will comply with 49 U.S.C. 5325(k), as amended by MAP-21,
- e. Your Applicant has complied or will comply with the requirements of former 49 U.S.C. 5307(c). Specifically, your Applicant:
  - (1) Has made or will make available to the public information on the amounts available for the Parks Program, former 49 U.S.C. 5320, and the projects it proposes to undertake,
  - (2) Has developed or will develop, in consultation with interested parties, including private transportation providers, projects to be financed,
  - (3) Has published or will publish a list of proposed projects in a way that affected citizens, private transportation providers, and local elected officials have the opportunity to examine the proposed projects and submit comments on the proposed projects and the performance of the Applicant,
  - (4) Has provided or will provide an opportunity for a public hearing to obtain the views of citizens on the proposed projects,
  - (5) Has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final list of projects, and
  - (6) Has made or will make the final list of projects available to the public,
- f. Your Applicant:
  - (1) Has or will have the amount of funds required for the local share,
  - (2) Will provide the local share funds from approved non-Federal sources except as permitted by Federal law, and
  - (3) Will provide the local share funds when needed,
- g. Your Applicant has complied or will comply with, and will require each Subrecipient to comply with, 49 U.S.C. 5301, 5303, and 5304, as amended by MAP-21, and

## **FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES**

- h. Your Applicant has a locally developed process to solicit and consider public comment before:
- (1) Raising a fare, or
  - (2) Implementing a major reduction of public transportation.

### **GROUP 21. STATE SAFETY OVERSIGHT GRANT PROGRAM.**

*The Assurance in Group 21 is in addition to other Certifications and Assurances required for State Safety Oversight Grant Program funding.*

*At the time the FY 2013 Certifications and Assurances for various FTA programs were issued, the Certification and Assurance requirements for the State Safety Oversight Grant Program, authorized under 49 U.S.C. 5329(e)(6), as amended by MAP-21, were not formally established.*

*In the interim, however, please select the Assurance for Group 21 if you are applying, on behalf of your Applicant, for funding for a State Safety Oversight Project.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, before FTA provides funding made available or appropriated for a State Safety Oversight Project, on behalf of your Applicant you should select the Assurance in Group 21 and other Certifications and Assurances listed previously that are required for the funding your Applicant seeks. Any provision of the Assurance in Group 21 that does not apply will not be enforced.*

On behalf of your Applicant, you assure that your Applicant will comply with the requirements of those Certifications and Assurances FTA determines will apply to an Applicant for funding made available or appropriated for the State Safety Oversight Program, as required by 49 U.S.C. 5329(e)(6), as amended by MAP-21.

### **GROUP 22. PUBLIC TRANSPORTATION EMERGENCY RELIEF PROGRAM.**

*The Assurance in Group 22 is in addition to other Certifications and Assurances listed previously required for Public Transportation Emergency Relief Program funding.*

*At the time the FY 2013 Certifications and Assurances for various FTA programs were issued, the Certification and Assurance requirements for the Public Transportation*

## **FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES**

*Emergency Relief Program, authorized under 49 U.S.C. 5324, as amended by MAP-21, were not formally established.*

*In the interim, however, please select the Assurance for Group 22 if you apply, on behalf of your Applicant, for funding for a Public Transportation Emergency Relief Project.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, before FTA provides funding made available or appropriated for a Public Transportation Emergency Relief Project, on behalf of your Applicant you should selected the Assurance in Group 22 and other Certifications and Assurances listed previously that are required for the funding your Applicant seeks. Any provision of the Assurance in Group 22 that does not apply will not be enforced.*

As required by 49 U.S.C. 5324(d)(1), as amended by MAP-21, on behalf of your Applicant, you assure that your Applicant will comply with the requirements of the Certifications and Assurances as FTA determines will apply to an Applicant for funding made available or appropriated for the Public Transportation Emergency Relief Program.

### **GROUP 23. EXPEDITED PROJECT DELIVERY PILOT PROGRAM.**

*The Certification in Group 23 is in addition to other Certifications and Assurances listed previously that are required for funding under the Expedited Project Delivery Pilot Program.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of the applicable Certifications and Assurances selected on behalf of your Applicant.*

*If you apply on behalf of your Applicant for funds made available or appropriated for the Expedited Project Delivery Pilot Program authorized by section 20008(b) of MAP-21, you must select the Certification in Group 23.*

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*Before FTA may provide funding made available or appropriated for your Applicant's Project, on behalf of your Applicant, you must have selected the Certification in Group 23 and other Certifications and Assurances listed previously that are required for the funding your Applicant seeks. Any provision of the Certification in Group 23 that does not apply will not be enforced.*

On behalf of your Applicant, you certify that, in addition to other Certifications and Assurances required in connection with its application for funding, your Applicant's existing public transportation system is in a state of good repair, as required by section 20008(b)(5)(D) of MAP-21.

### **GROUP 24. INFRASTRUCTURE FINANCE PROGRAMS.**

*The Certification in Group 24 are in addition to other Certifications and Assurances listed previously that are required for Infrastructure Finance Program funding.*

*Your Applicant is ultimately responsible for compliance with the Certifications and Assurances selected on its behalf that apply to itself or its Project, even if a Subrecipient or other Third Party Participant may be involved in your Applicant's Project, except as FTA determines otherwise in writing. For this reason, we strongly encourage your Applicant to take appropriate measures, including, but not limited to, obtaining sufficient documentation from each Subrecipient and other Third Party Participant to assure the validity of applicable Certifications and Assurances selected on behalf of your Applicant.*

*Except as FTA determines otherwise in writing, you must select the Certifications in Group 24, on behalf of your Applicant, if your Applicant seeks financing for its:*

- *TIFIA Project financed with funds made available or appropriated for 23 U.S.C. 601 – 609, as amended by MAP-21, or previous legislation authorizing funding for TIFIA Projects, or*
- *Deposits to its State Infrastructure Bank.*

*In administering these programs, MAP-21 cross-cutting requirements supersede inconsistent former requirements.*

*Before FTA may provide funding made available or appropriated for your Applicant's Projects, on behalf of your Applicant, you must have selected the Certifications and Assurances in Group 24 and other Certifications and Assurances listed previously that are required for the funding your Applicant seeks. Any provision of the Certifications and Assurances in Group 24 that does not apply will not be enforced.*

#### **A. Transportation Infrastructure Finance and Innovation Act (TIFIA) Program.**

*The Certifications and Assurances apply to requests for Transportation Infrastructure*

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

*Finance and Innovation Act (TIFIA) credit assistance, whether derived from appropriations for MAP-21 or appropriations in effect in FY 2012 or a previous fiscal year. If you apply on behalf of your Applicant for TIFIA credit assistance authorized by 23 U.S.C. 601 – 609, you must select the Certifications and Assurances in Group 24.A.*

On behalf of your Applicant, you certify and assure that as required by 49 U.S.C. 5323(o), as amended by MAP-21, your Applicant certifies that Federal transit laws, specifically 49 U.S.C. 5307, 49 U.S.C. 5309, and 49 U.S.C. 5337, apply to any Project under 49 U.S.C. chapter 53 that receives TIFIA support or financing under 23 U.S.C. 601 – 609, as amended by MAP-21.

1. To comply with 49 U.S.C. 5307, specifically 49 U.S.C. 5307(d)(1), on behalf of your Applicant, you certify that:
  - a. Your Applicant has or will have the:
    - (1) Legal capacity to carry out its proposed Projects,
    - (2) Financial capacity to carry out its proposed Projects,
    - (3) Technical capacity to carry out its proposed Projects,
    - (4) Necessary capacity to carry out the safety aspects of its proposed Projects, and
    - (5) Necessary capacity to carry out the security aspects of its proposed Projects,
  - b. Your Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities,
  - c. Your Applicant will maintain its Project equipment and facilities adequately,
  - d. Your Applicant will ensure that when, during non-peak hours for transportation using or involving a facility or equipment of a TIFIA-financed Project, a fare that is not more than fifty (50) percent of the peak hour fare will be charged to the following individuals:
    - (1) A senior,
    - (2) An individual who, because of illness, injury, age, congenital malfunction, or 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,
    - (3) An individual presenting a Medicare card issued to himself or herself pursuant to title II of the Social Security Act (42 U.S.C. 401 *et seq.*), or
    - (4) An individual presenting a Medicare card issued to himself or herself pursuant to title XVIII of the Social Security Act (42 U.S.C. 1395 *et seq.*),
  - e. When carrying out a TIFIA-funded procurement, your Applicant will comply with:
    - (1) 49 U.S.C. 5323, and
    - (2) 49 U.S.C. 5325,

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- f. Your Applicant has complied with or will comply with 49 U.S.C. 5307(b), as amended by MAP-21, because it:
    - (1) Has made or will make available to the public information on amounts of its TIFIA funding request(s),
    - (2) Has developed or will develop, in consultation with interested parties, including private transportation providers, a proposed Program of Projects for activities to be funded,
    - (3) Has published or will publish a Program of Projects in a way that affected individuals, private transportation providers, and local elected officials will have an opportunity to examine and submit comments on the proposed Program of Projects and its performance as an Applicant or Recipient,
    - (4) Has provided or will provide an opportunity for a public hearing to obtain the views of individuals on the proposed Program of Projects,
    - (5) Has ensured or will ensure that the proposed Program of Projects provide for coordination of transportation services funded by U.S. DOT under TIFIA with federally funded transportation services supported by United States Government sources other than U.S. DOT,
    - (6) Has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final Program of Projects, and
    - (7) Has made or will make the final Program of Projects available to the public,
  - g. Your Applicant:
    - (1) Has or will have at least (twenty) 20 percent of the TIFIA net project costs required for the local share,
    - (2) Will provide the local share funds from approved non-Federal sources, and
    - (3) Will provide the local share funds when needed,
  - h. Your Applicant will comply with:
    - (1) The Metropolitan Planning requirements of 49 U.S.C. 5303, as amended by MAP-21, and
    - (2) The State Planning requirements of 49 U.S.C. 5304, as amended by MAP-21,
  - i. Your Applicant has a locally developed process to solicit and consider public comment before:
    - (1) Raising a fare, or
    - (2) Implementing a major reduction of public transportation, and
  - j. Your Applicant will comply with the 49 U.S.C. 5329(d) requirements for a Public Transportation Agency Safety Plan, and
2. To comply with the interest and financing costs restrictions of 49 U.S.C. chapter 53, your Applicant agrees that it will not seek reimbursement for interest and other financing costs incurred in connection with its Project that must be in compliance with those requirements unless:

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- a. It is eligible to receive Federal funding for those expenses, and
  - b. Its records demonstrate that it has used reasonable diligence in seeking the most favorable financing terms underlying those costs, to the extent FTA may require.
3. To comply with the requirements of 49 U.S.C. 5337(a)(4), your Applicant agrees that it will adopt a transit asset management plan that complies with 49 U.S.C. 5326(d).

### **B. State Infrastructure Banks (SIB) Program.**

*The Certifications and Assurances apply to requests for State Infrastructure Bank (SIB) funding, whether derived from appropriations for MAP-21 or appropriations for Fiscal Year 2012 or a previous fiscal year. If you apply on behalf of your State Applicant for funding to deposit in its SIB, we request that you select the Certifications and Assurances in Group 24.B.*

On behalf of the State organization serving as your Applicant for funding for its State Infrastructure Bank (SIB) Program, you certify and assure that:

1. Your Applicant will comply with the following applicable Federal laws establishing the various SIB programs since 1995:
  - a. 23 U.S.C. 610, as amended by MAP-21,
  - b. 23 U.S.C. 610 or its predecessor before MAP-21 was signed into law,
  - c. Section 1511 of TEA-21, 23 U.S.C. 181 note, or
  - d. Section 350 of the National Highway System Designation Act of 1995, as amended, 23 U.S.C. 181,
2. Your Applicant will comply with or follow the Cooperative Agreement establishing the State's SIB program between:
  - a. Your Applicant and FHWA, FRA, and FTA, or
  - b. Your Applicant and FHWA and FTA,
3. Your Applicant will comply with or follow the Grant Agreement that provides FTA funding for the SIB and is between your Applicant and FTA including the FTA Master Agreement, which is incorporated by reference into the Grant Agreement, except that any provision of the FTA Master Agreement incorporated by reference into that Grant Agreement will not apply if it conflicts with any provision of:
  - a. 23 U.S.C. 610, as amended by MAP-21,
  - b. 23 U.S.C. 610 or its predecessor before MAP-21 was signed into law,
  - c. Section 1511 of TEA-21, 23 U.S.C. 181 note, or section 350 of the National Highway System Designation Act of 1995, as amended, 23 U.S.C. 181 note,
  - d. Federal guidance pertaining to the SIB Program,
  - e. The Cooperative Agreement establishing the State's SIB Program, or
  - f. The FTA Grant Agreement,
4. As required by 49 U.S.C. 5323(o), Federal transit laws, specifically 49 U.S.C. 5307, 49 U.S.C. 5309, and 49 U.S.C. 5337, as amended by MAP-21, apply to any



## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

Project under 49 U.S.C. chapter 53 that receives SIB support or financing under 23 U.S.C. 610 (or any support from 23 U.S.C. 601 – 609),

5. As required by 49 U.S.C. 5323(o) and 49 U.S.C. 5307(d)(1):
  - a. Your Applicant has or will have the:
    - (1) Legal capacity to carry out its proposed Projects,
    - (2) Financial capacity to carry out its proposed Projects,
    - (3) Technical capacity to carry out its proposed Projects,
    - (4) Necessary capacity to carry out the safety aspects of its proposed Projects, and
    - (5) Necessary capacity to carry out the security aspects of its proposed Projects,
  - b. Your Applicant has or will have satisfactory continuing control over the use of Project equipment and facilities,
  - c. Your Applicant will maintain its Project equipment and facilities adequately,
  - d. Your Applicant will ensure that when, during non-peak hours for transportation using or involving a facility or equipment of a SIB-financed Project, a fare that is not more than fifty (50) percent of the peak hour fare will be charged to the following individuals:
    - (1) A senior,
    - (2) An individual who, because of illness, injury, age, congenital malfunction, or 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,
    - (3) An individual presenting a Medicare card issued to himself or herself pursuant to title II of the Social Security Act (42 U.S.C. 401 *et seq.*), or
    - (4) An individual presenting a Medicare card issued to himself or herself pursuant to title XVIII of the Social Security Act (42 U.S.C. 1395 *et seq.*),
  - e. When carrying out a procurement under a SIB-financed Project, your Applicant will comply with the:
    - (1) General provisions for FTA programs of 49 U.S.C. 5323, and
    - (2) Third party procurement requirements of 49 U.S.C. 5325,
  - f. Your Applicant has complied with or will comply with 49 U.S.C. 5307(b), as amended by MAP-21, because it:
    - (1) Has made or will make available to the public information on amounts of its funding requested under the SIB program,
    - (2) Has developed or will develop, in consultation with interested parties, including private transportation providers, a proposed Program of Projects for activities to be funded,
    - (3) Has published or will publish a Program of Projects in a way that affected individuals, private transportation providers, and local elected officials will have an opportunity to examine and submit comments on the

## FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

- proposed Program of Projects and its performance as an Applicant or Recipient,
- (4) Has provided or will provide an opportunity for a public hearing to obtain the views of individuals on the proposed Program of Projects,
  - (5) Has ensured or will ensure that the proposed Program of Projects provide for coordination of transportation services funded by U.S. DOT under 49 U.S.C. 5336 and the SIB Program with federally funded transportation services supported by United States Government sources other than U.S. DOT,
  - (6) Has considered or will consider the comments and views received, especially those of private transportation providers, in preparing its final Program of Projects, and
  - (7) Has made or will make the final Program of Projects available to the public,
- g. Your Applicant:
- (1) Has or will have the amount of funds required for the local share by the SIB Program, but not less than twenty-five (25) percent of each capitalization grant,
  - (2) Will provide the local share funds from approved non-Federal sources, and
  - (3) Will provide the local share funds when needed,
- h. Your Applicant will comply with the:
- (1) The Metropolitan Planning requirements of 49 U.S.C. 5303, as amended by MAP-21, and
  - (2) The State Planning requirements of 49 U.S.C. 5304, as amended by MAP-21,
- i. Your Applicant has a locally developed process to solicit and consider public comment before:
- (1) Raising a fare, or
  - (2) Implementing a major reduction of public transportation, and
- j. As required by 49 U.S.C. 5307(c)(1)(L), it will comply with the 49 U.S.C. 5329(d) requirements for a Public Transportation Agency Safety Plan, and
2. As required by 49 U.S.C. chapter 53, your Applicant certifies that it will not seek reimbursement for interest and other financing costs incurred in connection with its Project unless:
    - a. It is eligible to receive Federal funding for those expenses, and
    - b. Its records demonstrate that it has used reasonable diligence in seeking the most favorable financing terms underlying those costs, to the extent FTA may require.
  3. To comply with the requirements of 49 U.S.C. 5337(a)(4), your Applicant agrees that it will adopt a transit asset management plan that complies with 49 U.S.C. 5326(d).

Selection and Signature Page(s) follow.

**FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES**

# FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

## FEDERAL FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES FOR FEDERAL TRANSIT ADMINISTRATION ASSISTANCE PROGRAMS

(Signature page alternative to providing Certifications and Assurances in TEAM-Web)

Name of Applicant: \_\_\_\_\_

The Applicant agrees to comply with applicable provisions of Groups 01 – 24. \_\_\_\_\_

OR

The Applicant agrees to comply with applicable provisions of the Groups it has selected:

<u>Group</u>	<u>Description</u>	
01.	Required Certifications and Assurances for Each Applicant.	_____
02.	Lobbying.	_____
03.	Private Sector Protections.	_____
04.	Procurement and Procurement System.	_____
05.	Rolling Stock Reviews and Bus Testing.	_____
06.	Demand Responsive Service.	_____
07.	Intelligent Transportation Systems.	_____
08.	Interest and Finance Costs and Leasing Costs.	_____
09.	Transit Asset Management and Agency Safety Plans.	_____
10.	Alcohol and Controlled Substances Testing.	_____
11.	Fixed Guideway Capital Investment Program (New Starts, Small Starts, and Core Capacity) and Capital Investment Program in Effect before MAP-21.	_____
12.	State of Good Repair Program.	_____
13.	Fixed Guideway Modernization Grant Program.	_____
14.	Bus/Bus Facilities Programs.	_____
15.	Urbanized Area Formula Programs and Job Access and Reverse Commute (JARC) Program.	_____
16.	Seniors/Elderly/Individuals with Disabilities Programs and New Freedom Program.	_____
17.	Rural/Other Than Urbanized Areas/Appalachian Development/Over-the-Road Bus Accessibility Programs.	_____
18.	Public Transportation on Indian Reservations and "Tribal Transit Programs.	_____
19.	Low or No Emission/Clean Fuels Grant Programs.	_____
20.	Paul S Sarbanes Transit in Parks Program.	_____
21.	State Safety Oversight Program.	_____
22.	Public Transportation Emergency Relief Program.	_____
23.	Expedited Project Delivery Pilot Program.	_____
24.	Infrastructure Finance Programs.	_____

# FTA FISCAL YEAR 2013 CERTIFICATIONS AND ASSURANCES

**FEDERAL FISCAL YEAR 2013 FTA CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE**  
**(Required of all Applicants for FTA funding and all FTA Grantees with an active Capital or Formula Project)**

## AFFIRMATION OF APPLICANT

Name of Applicant: \_\_\_\_\_

Name and Relationship of Authorized Representative: \_\_\_\_\_

BY SIGNING BELOW, on behalf of the Applicant, I declare that the Applicant has duly authorized me to make these Certifications and Assurances and bind the Applicant's compliance. Thus, the Applicant agrees to comply with all Federal statutes and regulations, and 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 Federal Fiscal Year 2013, irrespective of whether the individual that acted on its Applicant's behalf continues to represent the Applicant.

FTA intends that the Certifications and Assurances the Applicant selects on the other side of this document should apply, as provided, to each Project for which the Applicant seeks now, or may later seek FTA funding during Federal Fiscal Year 2013.

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 \_\_\_\_\_

Authorized Representative of Applicant

## AFFIRMATION OF APPLICANT'S ATTORNEY

For (Name of Applicant): \_\_\_\_\_

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 the Applicant.

I further affirm to the Applicant 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 Project or Projects.

Signature \_\_\_\_\_ Date: \_\_\_\_\_

Name \_\_\_\_\_

Attorney for Applicant

Each Applicant for FTA funding and each FTA Grantee with an active Capital or Formula Project must provide an Affirmation of Applicant's Attorney pertaining to the Applicant's legal capacity. The Applicant may enter its signature in lieu of the Attorney's signature, provided the Applicant has on file this Affirmation, signed by the attorney and dated this Federal fiscal year.