

Annual Request of Certification (ARC) Package

Instructions

The requirements below are to be completed by the subrecipient on an annual basis per OMPT release of the ARC package. Applicable forms will be provided by OMPT. Please attach Agency Documents and Memos using the attachment feature. Please number the filenames with the appropriate document number. Links to documents and plans will NOT be accepted. Please combine all certification documents, forms, and memos and submit to OMPT as one PDF certification package.



**Office of Mobility
& Public Transit**

Annual Requirement		Documentation Type	Completed
1	Signatory Authority	OMPT form	
2	FTA Certifications & Assurances	OMPT form	
3	New or Pending Lawsuits and Complaints	Agency memo	
4	New Lease Agreements	Agency memo	
5	Revenue Certification	Agency memo	
6	Assurance of Availability to the Public	OMPT form	
7	Maintenance Log	Agency document	
8	Source of Local Match	Agency document	
9	Lobby Certification	OMPT form	
10	Executed Written Agreements	Agency document	
11	Written Lease Agreements	Agency document	
12	Section 504/ADA assurances	Agency document	
13	Certification of Equivalent Service	OMPT form	
14	Annual Single Audit Report	Agency document	
15	Certification of no school bus and charter service	OMPT form	
16	Drug-free work place	Agency document	
17	Warranty Recovery Program	Agency document	
18	Organization Chart	Agency document	
19	Board Membership	Agency document	
20	Drug & Alcohol Policy	Agency memo	
21	Title VI Plan	Agency memo	
22	EEO Policy	Agency memo	
23	LEP Policy	Agency memo	
24	Public Participation Plan	Agency memo	
25	Documentation of Organizational Status	Agency memo	
25a	501 3C IRS Letter	Agency document	
25b	Secretary of State Letter	Agency document	
25c	Charter/Articles of Incorporation	Agency memo	
26	CRO Title VI Approval Letter	Agency document	
27	Procurement Policy	Agency doc. or note	
28	Cost Allocation Plan & Approval Letter	Agency document	
29	Vehicle and Facilities Maintenance Plan	Agency memo	
30	Coordinated Public Transit Human Services Plan	Agency doc. or note	
31	Transit Asset Management Plan	Agency doc. or note	
32	ADA Paratransit Plan & Program Documents	Agency memo	
33	Public Transportation Agency Safety Plan	Agency memo	
34	Grievance Procedures	Agency memo	
35	Agency "Three Year Plan"	Agency document	
36	Indirect Cost Rate Calculator	OMPT form	

AUTHORIZING RESOLUTION

Resolution Number: _____

A RESOLUTION AUTHORIZING THE FILING OF AN APPLICATION WITH THE OKLAHOMA DEPARTMENT OF TRANSPORTATION, TRANSIT PROGRAMS DIVISION, FOR A GRANT UNDER 49 U.S.C. SECTION 5311, NONURBANIZED AREA FORMULA PROGRAM.

WHEREAS, pursuant to chapter 53 of title 49 U.S.C., the secretary of Transportation is authorized to make grants for mass transportation projects; and

WHEREAS, the Oklahoma Department of Transportation, hereinafter referred to as the DEPARTMENT, is submitting a Section 5311 Nonurbanized Area Formula grant application to the Federal Transit Administration, hereinafter referred to as the FTA; and

WHEREAS, the (Contracting Agency Name) hereinafter referred to as APPLICANT wishes to receive financial assistance pursuant to the FTA Section 5311 Program finds that will be made available under this grant; and

WHEREAS, the APPLICANT will be required to execute a contract to receive the financial assistance pursuant to the FTA Section 5311 program grant; and,

WHEREAS, the contract will impose certain obligations upon the APPLICANT required by the FTA in accordance with the provisions under the chapter 53 of Title 49 U.S.C., as amended.

NOW, THEREFORE BE IT RESOLVED BY THE (CONTRACTING AGENCY NAME) BOARD OF DIRECTORS THAT (Name of Authorized Representative, Title) is authorized to:

1. submit a grant application to the DEPARTMENT seeking FTA Section 5311 program financial assistance for the purpose of operating a rural public transit system in (Proposed Service Area), Oklahoma;
2. execute certifications and assurances or any other documents as maybe required by the DEPARTMENT and/or FTA, for the purpose of receiving said grant;
3. furnish such additional information as the DEPARTMENT and/or FTA may require in connection with the application of the project;
4. set forth and execute Disadvantaged Business Enterprise policies and procedures in connection with the projects procurement needs; and
5. execute a contract with the DEPARTMENT seeking financial assistance on behalf of the APPLICANT to aid in the financing of above said projects.

CERTIFICATE

The undersigned duly qualified and acting (Title of Authorized Representative) of the (Contracting Agency Board Name) certifies that the foregoing is a true and correct copy of a resolution, adopted at a legally convened meeting of the (Contracting Agency Name) Board of Directors held on (Month, Day, Year).

Signature of Authorized Representative

Date

Title of Authorized Representative

OFFICIAL SEAL

FEDERAL FISCAL YEAR 2023 CERTIFICATIONS AND ASSURANCES FOR FTA ASSISTANCE PROGRAMS

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

Name of Applicant: _____

The Applicant agrees to comply with applicable provisions of Groups 01 – 21.

OR

The Applicant certifies to the applicable provisions of all categories:

Category	Certification
1. Certifications and Assurances Required of Every Applicant-----	
2. Public Transportation Agency Safety Plans -----	
3. Tax Liability and Felony Convictions -----	
4. Lobbying -----	
5. Private Sector Protections -----	
6. Transit Asset Management Plan -----	
7. Rolling Stock Buy America Reviews and Bus Testing -----	
8. Urbanized Area Formula Grants Program-----	
9. Formula Grants for Rural Areas -----	
10. Fixed Guideway Capital Investment Grants and the Expedited Project Delivery for Capital Investment Grants Pilot Program -----	
11. Grants for Buses and Bus Facilities and Low or No Emission Vehicle Deployment Grant Programs -----	
12. Enhanced Mobility of Seniors and Individuals with Disabilities Programs -----	
13. State of Good Repair Program. -----	
14. Infrastructure Finance Programs -----	
15. Alcohol and Controlled Substances Testing. -----	
16. Rail Safety Training and Oversight. -----	
17. Demand Responsive Service -----	
18. Interest and Financing Costs -----	
19. Cybersecurity Certification for Rail Rolling Stock and Operations -----	
20. Tribal Transit Programs -----	
21. Emergency Relief Program -----	

FTA FISCAL YEAR 2023 CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE

AFFIRMATION OF APPLICANT

Name of the Applicant:

BY SIGNING BELOW, on behalf of the Applicant, I declare that it has duly authorized me to make these Certifications and Assurances and bind its compliance. Thus, it agrees to comply with all federal laws, regulations, and requirements, follow applicable federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative makes to the Federal Transit Administration (FTA) in the federal fiscal year, irrespective of whether the individual that acted on his or her Applicant's behalf continues to represent it.

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

The Applicant affirms the truthfulness and accuracy of the Certifications and Assurances it has selected in the statements submitted with this document and any other submission made to FT A, 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 it.

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these Certifications and Assurances, or of the performance of its FTA assisted Award.

Signature _____ Date: _____

Name _____ Attorney for Applicant

Each Applicant for federal assistance to be awarded by FTA must provide an Affirmation of Applicant's Attorney pertaining to the Applicant's legal capacity. The Applicant may enter its electronic signature in lieu of the Attorney's signature within TrAMS, provided the Applicant has on file and uploaded to TrAMS this hard-copy Affirmation, signed by the attorney and dated this federal fiscal year.

ASSURANCE OF AVAILABILITY TO THE PUBLIC

The [REDACTED] assures that transportation services made available through Section 5311 Program Funds will be open to the public. The level of service will be based on the travel demands of the public as well as public comments and suggestions regarding the transportation service availability. A procedure for receiving public comments has been developed and will be maintained throughout the project's life.

The [REDACTED] also assures that:

- all vehicles incorporated in the transit system's fleet will be clearly marked with block lettering, no smaller than 2" high, as "**OPEN TO THE PUBLIC**";
- any new vehicle incorporated into the transit system's fleet will be signed with the transit system's name and logo, using a permanent type of material, within 30 days of delivery;
- a copy of routes and schedules will be published quarterly, at a minimum, and will be made available for public reviewing and comments; and
- If significant changes occur in routes or schedules, a special publication of the change will be made. Routes and schedules will be posted in public places within the service area.

Name and Title of Authorized Official

Signature of Authorized Official

Date

ATTACHMENT A - LOBBYING
(31 U.S.C. § 1352; 49 C.F.R. part 20)

Contractors who apply or bid for an award of \$100,000 or more shall file the certification required by 49 C.F.R. part 20, "New Restrictions on Lobbying." Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 U.S.C. § 1352. Each tier shall also disclose the name of any registrant under the Lobbying Disclosure Act of 1995 who has made lobbying contacts on its behalf with non-Federal funds with respect to that Federal contract, grant or award covered by 31 U.S.C. § 1352. Such disclosures are forwarded from tier to tier up to the recipient.

EXECUTE THE FOLLOWING

ATTACHMENT A - CERTIFICATION REGARDING LOBBYING

**Certification for Contracts, Grants, Loans, and Cooperative Agreements
(To be submitted with each bid or offer exceeding \$100,000)**

The undersigned _____, certifies, to the best of his or her knowledge and belief, that:

A. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

B. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

C. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. Any person who fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.

The CONTRACTOR, _____, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the CONTRACTOR understands and agrees that the provisions of 31 U.S.C. § 3802, *et seq.*, apply to this certification and disclosure, if any.

Signature(_____)

Date

Title(_____)

Certification of Equivalent Service

_____ (name of agency) certifies that its demand responsive service offered to individuals with disabilities (as defined in 49 CFR 37.3), including individuals who use wheelchairs, is equivalent to the level and quality of service offered to individuals without disabilities. Such service, when viewed in its entirety, is provided in the most integrated setting feasible and is equivalent with respect to:

- 1) Response time;
- 2) Fares;
- 3) Geographic service area;
- 4) Hours and days of service;
- 5) Restrictions or priorities based on trip purpose;
- 6) Availability of information and reservation capability; and,
- 7) Constraints on capacity or service availability.

Public Demand Responsive Agencies: In accordance with 49 CFR 37.77, public funded entities operating demand responsive systems for the general public which receive financial assistance under section 18 of the Federal Transit Act must file this certification with the appropriate state program office before procuring any inaccessible vehicle. Public entities receiving FTA funds under any other section of the FTA Act must file the certification with the appropriate FTA regional office. **This certification is valid for no longer than one year from its date of filing.**

By signing this certification, the above-named agency is certifying that it has a mechanism in place to provide rides to individuals with disabilities. The ride must be provided in a manner equivalent to the service provided by the above-named agency to individuals without disabilities.

All Agencies: Attach a description of how you provide rides to individuals with disabilities.

(PRINTED name of authorized official)

(Signature)

(Title)

(Date)