



Print Form

Reset Form

THIS VEHICLE WAS PURCHASED WITH FUNDS THROUGH THE
ILLINOIS CONSOLIDATED VEHICLE PROCUREMENT PROGRAM



FUNDED BY THE
FEDERAL TRANSIT ADMINISTRATION
AND/OR
ILLINOIS DEPARTMENT OF TRANSPORTATION

Program Contact:

Illinois Department of Transportation
Office of Intermodal Project Implementation
115 S. LaSalle Street
11th Floor
Chicago, IL 60603

Zoe Keller, Section Chief - CVP
(312) 793-1455
zoe.keller@illinois.gov

Section I. General Information

Through the Consolidated Vehicle Procurement (CVP) Program, the Illinois Department of Transportation makes grants to municipalities, mass transit districts, counties, and private non-profit organizations for ramp and lift equipped paratransit vehicles. Funding for these grants comes from various sources, including Federal Transit Administration (FTA) Sections 5310, 5311, and 5339 funding programs, as well as State sources.

A. Definitions

Transportation Provider Types

Public Transportation Provider	Organizations providing regular, continuing shared-ride surface transportation services that are open to the general public or open to a segment of the general public defined by age, disability, or low-income status and does not include intercity rail transportation, intercity bus service, charter bus service, school bus service, sightseeing service, or shuttle service.
Specialized Transportation Provider	Non-profit organizations providing transportation services to meet travel demand from mobility-challenged populations, including seniors and individuals with disabilities.

Federal Transit Administration (FTA) Funding Programs

Section 5310	Formula funding to states and designated recipients to meet the transportation needs of older adults and people with disabilities when the transportation service provided is unavailable, insufficient, or inappropriate to meeting these needs. Section 5310 applicants are either private non-profit transportation providers or public transit providers that have been certified by IDOT as eligible to receive Section 5310 funding, in accordance with FTA Circular 9070.1H.
Section 5311	Formula funding to states to support public transportation in rural areas with populations of less than 50,000, where many residents often rely on public transit to reach their destinations. Section 5311 applicants are public transit providers operating in non-urbanized service areas.
Section 5339	Formula funding to states to replace, rehabilitate, and purchase buses and related equipment and to construct bus-related facilities. Section 5339 applicants are public transit providers operating in non-urbanized service areas (populations of less than 50,000) and small urbanized areas (populations between 50,000 and 199,999). Through the CVP program, only paratransit vehicles are eligible projects.

CVP Application Service Categories

Existing Service	Public or specialized transportation services currently offered on a consistent basis.
Expansion Service	Service proposed for additional clients, territories, and/or hours of operation by public or specialized transportation providers within an existing service area.
New Service	Service proposed for previously unserved areas, and/or service proposed by providers not currently involved in IDOT's CVP program.

Geographic Definitions

Northeastern Illinois (NEIL)	Shorthand for the Chicago, IL urbanized area, as defined by the U.S. Census. Inclusive of Cook, DuPage, Kane, Lake, McHenry, and Will, as well as northeastern Grundy County.
Illinois Urbanized Areas	<u>Large (>200,000 population)</u> - NEIL, Peoria, Rock Island, Rockford, and St. Louis <u>Small (population between 50,000 and 199,999)</u> - Bloomington- Normal, Champaign, Decatur, DeKalb, Kankakee, and Springfield

For precise maps of urbanized area boundaries, please visit the [Federal Transit Administration Census Map](#).

B. Application Technical Instructions & Submission Requirements

To ensure veracity of claims regarding vehicle maintenance and driver training, as well as compliance with all necessary State and Federal program requirements, the following items must be uploaded to your organization's 2026 Consolidated Vehicle Procurement Application in Black Cat:

- a. Complete and accurate fillable PDF application document,
- b. Scanned PDF of Page 4 ("Applicant Information"), signed by applicant's authorized representative,
- c. Scanned PDF of Acceptance of Binding IDOT & FTA Certifications and Assurances signed by applicant's authorized representative and Affirmation of Attorney signed by applicant's legal counsel,
- d. Notice of publication of a public meeting held regarding this application and minutes thereof,
- e. Scanned copy of Opinion of Counsel signed by applicant's legal counsel,
- f. Signed Board Resolution designating authorized signatory representative for applicant,
- g. Any and all documentation materials referenced and/or requested in application Sections II, III, and/or IV.

PLEASE NOTE THAT FAILURE TO COMPLY WITH ITEMS A-G ABOVE CAN AND WILL RESULT IN THE FORFEITURE OF SCORING OPPORTUNITIES AND/OR THE INVALIDATION OF YOUR ENTIRE APPLICATION.

C. Application Review Process, Criteria, and Award Timeline

When you upload your application and the required materials mentioned in items A-G above to Black Cat, your application will be ready for submittal. **Signatures must be submitted by the application deadline. Failure to secure signatures and/or upload required documents will result in an incomplete application ineligible for consideration.**

When final review of the application is complete, award recommendation will be submitted to the Secretary of Transportation. Following the Secretary's approval, vehicles will be ordered and titled to subrecipients with an IDOT lien on each vehicle, which will serve as a mechanism for the enforcement of compliance on the part of the grantee with all certifications, assurances and attestations made relative to project performance and use of project equipment.

Your projects will be judged on: consistency with program goals and objectives, meeting public or specialized transportation needs, demonstrated and anticipated use of project equipment, maintenance of any vehicles granted during prior cycles, capacity to financially and administratively manage transportation projects, regional coordination efforts, ability to meet federal and state program requirements, and funding availability.

The Department considers that the submission represents the applicant's intent to undertake or continue the proposed transportation project promptly, with the receipt of the approved vehicle(s).

Additional Guidance

If you have any questions or need additional information, contact

Zoe Keller
Section Chief - CVP
Phone: 312-793-1455
E-mail: zoe.keller@illinois.gov

Or attend a Virtual CVP Application Informational
Meeting (date and time to be determined)

Jeff Waxman
Project Manager -- CVP
Phone: (312) 793-5232
Email: jeffrey.waxman@illinois.gov

Section II. Applicant Information

Applicant Information

Legal Name

City of Ottawa

Mailing Address (Street #, Street Name, City, State, Zip)

301 West Madison St, Ottawa, IL 61301

County/Counties Served

LaSalle, Grundy, Bureau

Contact Name

Robert Hasty

Title

Mayor

Phone

(815) 433-0161

E-mail

mayorhasty@cityofottawa.org

FEIN

36-6006037

UEI (if applicable)

TXPYTA3X9BL5

Urbanized Areas (*check the applicable button*)

- | | | |
|--|--|--|
| ☐ Chicago, IL UZA | ☐ St. Louis, MO-IL UZA | ☐ DeKalb, IL UZA |
| ☐ Davenport, IA-IL UZA | ☐ Bloomington-Normal, IL UZA | ☐ Kankakee, IL UZA |
| ☐ Peoria, IL UZA | ☐ Champaign-Urbana, IL U | ☐ Springfield, IL UZA |
| ☐ Rockford, IL UZA | ☐ Decatur, IL UZA | ☒ N/A, Rural Only |

HSTP Regions (*check all that apply*)

- | | | |
|--|-----------------------------------|------------------------------------|
| ☐ NEIL | ☐ Region 4 | ☐ Region 8 |
| ☐ Region 1 | ☐ Region 5 | ☐ Region 9 |
| ☐ Region 2 | ☐ Region 6 | ☐ Region 10 |
| ☒ Region 3 | ☐ Region 7 | ☐ Region 11 |

For Vehicle Information / Issues

Contact Name

Kim Zimmerman

Title

NCAT Transit Director

Phone

(833) 433-6228

E-mail

kzimmerman@ridencat.com

By this application, it is the intent of City of Ottawa - NCAT to request vehicle(s) through the State of Illinois' Consolidated Vehicle Procurement (CVP) program; and will meet all applicable state, federal and local acceptance, application and maintenance requirements. I certify that the information and statements provided in this application, and all supporting documents are correct and complete.

Signature of Authorized Representative (As authorized by board resolution)

Date

Print name of Authorized Representative

Robert Hasty

Title

Mayor

Section III. Vehicle Request Form & Budget

Example

CVP Vehicles Requested				Information on Vehicles for Which Replacement is Requested				
Vehicle Priority	Vehicle Type Requested*	Purpose for Request	Vehicle Type	Vehicle Year	Mileage	VIN	CVP Contract Number	
+ - +	1	MDL 	Replacement 	MDL	2005	187,000	2P4GP24B1VR220936	588
+ - +	2	LDL 	Expansion 	LDL				

Please fill out the below table to register your 2026 CVP vehicle request.
(Double-click the table to access)

CVP Vehicles Requested			Information on Vehicles for Which Replacement is Requested					
Vehicle Priority	Vehicle Type Requested*	Purpose for Request	Vehicle Type	Vehicle Year	Mileage	VIN	CVP Contract Number	
+ -	MDL	Replacement	MDL	2018	204,106	1FD4E4FS9JDC36485		
+ -	MDL	Replacement	MDL	2017	185,967	1FD4E4FS7HDC62108		
+ -	MDL	Replacement	MDL	2018	201,831	1FD4E4FS5JDC36452		
+ -	MDL	Replacement	LDL	2019	195,029	1FDEE3FS5KDC65358		
+ -	MDL	Replacement	LDL	2019	162,645	1FDEE3FS5KDC65361		
+ -	MDL	Replacement	LDL	2019	197,537	1FDEE3FS7KDC65362		
+ -	MDL	Replacement	MDL	2016	161,694	1FD4E4FS2GDC07807		
+ -	MDL	Replacement	LDL	2017	142,533	1FDEE3FS2HDC66055		
+ -	MDL	Replacement	LDL	2015	237,225	1FDEE3FL2FDA35159		
+ -	MV	Replacement	MV	2008	65,685	1GBDV13WX8D211952		
+ -	MV	Replacement	MV	2016	113,652	2C7WDGCG4GR365042		
+ -	MV	Expansion						

*Requested Vehicle Types and Descriptions

- MV** - Mini-Van w/ramp (2 wheelchairs/5 passengers)
 - LDL** - Light Duty Paratransit w/lift (3 wheelchairs/12 passengers)
 - MDL** - Medium Duty Paratransit w/lift (5 wheelchairs/14 passengers)
 - SMD** - Super Medium Duty Paratransit w/lift (5 wheelchairs/26 passengers)
- Super Medium Duty buses require extensive justification, and **drivers must have CDL**.

Vehicle Replacement Criteria

To be eligible for replacement, current vehicle must meet either **Criteria 1** or **Criteria 2** at time of application.

Type	Criteria 1		Criteria 2
Autos/Mini-Vans/Raised Roof Vans	95,000 Miles	OR	5 yrs, in documented unsafe & poor operating condition
Light Duty Paratransit Vehicle	100,000 Miles	OR	7 yrs, in documented unsafe & poor operating condition
Medium Duty Paratransit/School Bus	120,000 Miles	OR	8 yrs, in documented unsafe & poor operating condition
Super Medium Duty Paratransit Vehicle (>16 passenger)	180,000 Miles	OR	9 yrs, in documented unsafe & poor operating condition
Heavy Duty Transit Vehicle (>30 pass)	280,000 Miles	OR	10 yrs, in documented unsafe & poor operating condition

If vehicle is eligible for replacement under Criteria 2, please provide documentation supporting reason(s) why the vehicle is in unsafe or poor condition, e.g., photos, receipts, repair estimates, etc. If a vehicle needing replacement did not reach the appropriate mileage criteria before becoming unsafe and/or inoperable, please provide a brief explanation as to why. Include the VIN(s) in this narrative. *(Note: this text box will expand upon completion of entry to accommodate longer answers).*

We are requesting replacement of two (2) vehicles under criteria #2 as both are older and maintenance on these will climb as they are kept in service.

VIN 365042 - 2016 Dodge Caravan has approximately 113,000 miles and replacement miles are 120,000 and that is the reason we have it on the grant since by the time the grant comes through this vehicle will be at the mileage cutoff and ready for replacement.

VIN 65685 - 2008 Chevrolet Uplander has lower mileage but is an 18 year old vehicle and the maintenance on this vehicle will start to be more expensive as at this age more parts will begin to fail. The air conditioning on this unit currently does not work. I spoke with a shop and they had advised that it is the rear evaporator and costs to repair that would be approximately \$1,500.00 . I do not have a written estimate as I was not looking to spend that much on a vehicle that is valued from \$500-\$1500.00 per Lou Taglieferre at Center State Bus Sales.

A. Project Budget

Example

Vehicle Type	Passengers	Replacement	Expansion	New Service	Total Units	Unit Costs	Totals Costs
Minivan	6	1			1	\$75,000	\$75,000
Light Duty	12		2		2	\$126,000	\$252,000
Medium Duty	14			3	3	\$130,000	\$390,000
Super-Medium Duty	26					\$189,000	\$0
Total 2026 CVP Request		1	2	3	6		\$717,000

Please enter your vehicle requests into the blank cells below, and make note of your 2026 CVP budget request.

Number of Vehicles Requested

Vehicle Type	Passengers	Replacement	Expansion	New Service	Total Units	Unit Costs	Totals Costs
Minivan	6	2	1		3	\$75,000	\$225,000
Light Duty	12					\$126,000	\$0
Medium Duty	14	12			12	\$130,000	\$1,560,000
Super-Medium Duty	26					\$189,000	\$0
Total 2026 CVP Request		14	1		15		\$1,785,000

B. Project Justification

Please provide a brief defense of your proposal. Make sure to address the following topics:

- Describe the transportation program and needs of individuals in your current/proposed service area.
 - If you are proposing new or expanded service, identify how these needs are currently not being met.**
- Explain how the current transportation program will change if this grant is not approved.

City of Ottawa - NCAT provides demand-response public transportation for LaSalle County Monday through Friday, 6:30am - 6:30pm. The transit service provides over 75,000 rides annually. Last year our total miles were over 900,000 miles. At peak, we have 21 vehicles on the road. I will admit that funding is mostly to blame for not putting more buses on the road but there are days when we have no reserves left to fulfill assignments if a bus were to go down. Due to reduced routes and limited capacity, we are denying about 10 people per day.

NCAT recently developed a Strategic Plan which included a comprehensive operational analysis (COA). The Plan identified several gaps and challenges as well as opportunities and recommendations for improvements. Having newer reliable vehicles will help us address the issues identified in the COA and meet the needs of the community by allowing NCAT to expand service hours, days, destinations, and models (such as deviated-fixed, micro transit) to help us meet the goals of the Strategic Plan. Assuming we can get our funding in place, we intend to add additional routes to our daily service and offer more trips for veterans or specialty medical trips out of County in CY2028.

Section IV. Level of Current Service & Equipment Utilization

A. Hours of Service

Please list the total number of hours each day during which your organization offers paratransit services.

- **Note:** this is a total number of hours, not a range. If you operate 8:00 am - 4:00 pm on Mondays, you will enter 8.
- **New/prospective applicants:** if you do not already offer paratransit services, enter the number of hours in which you are planning to offer service.

	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday	Sunday	Total
Hours of Service	12	12	12	12	12			60

B. Vehicle Usage

Average Number of Vehicles Used to Provide Service on a Daily Basis*	20
Peak Number of Vehicles Used to Provide Service on a Daily Basis*	21

**Note: do not include fixed route vehicles.*

C. Total Annual One-Way Trips

Please enter your transportation program's one-way trip information for January 1, 2025 - December 31, 2025 (Calendar Year 2025).

- This is a "per person" count. E.g., transporting 3 people to a medical appointment 3 trips; transporting 3 people to the store and then back home 6 trips.

CY 2025 One-Way Passenger Trips	75,961
--	--------

D. New or Expansion Service

Please enter the number of one-way trips you project to be served by the vehicle(s) requested for new service and/or expansion in the first year.

Estimated number of one-way trips (first year of new/expansion service)	500
--	-----

Provide a detailed narrative of the reason for requesting new service and/or expansion vehicles. Include information about how your agency has identified unmet needs, what those needs are, and how the additional vehicles will address them. *(Note: this text box will expand upon completion of entry to accommodate longer answers).*

NCAT recently completed a Strategic Plan and additional service hours/days, trip destinations, and new service models were identified as ways to improve service and meet the needs of our riders. While we are only requesting one new expansion vehicle we will also use the replacement minivans for the expanded service recommendations, out of County medical trips and micro transit service.

NCAT will use the minivans to support long distance medical trips outside of LaSalle County for folks needing to access specialized healthcare in Peoria, Joliet, Brookfield (Hines VA Hospital), Princeton, and possibly Bloomington, and Rockford. We currently travel to Peoria twice per month but we know there is a demand for service out of County more often and to other places. While details of the route are still in discussion, we anticipate this service to begin CY2028. The minivans would not be the only vehicles used in the service expansion due to their limited capacity but if possible, they would be the primary vehicles assigned to those routes. We also intend to use our full-size vans (Ford Transit) for extra capacity.

Additionally, the plan identified different service model to enhance transit service. One model recommended is micro transit. NCAT, again, would assign the minivans as the primary vehicle for the micro transit routes.

Certificate of the Publication

Ottawa / Streator Times

Description: NCAT MEETING 9/1/2026
2343830

NORTH CENTRAL AREA TRANSIT
1784 CHESSIE LANE
OTTAWA IL 61350

Shaw Media certifies that it is the publisher of the Ottawa / Streator Times. The Ottawa / Streator Times is a secular newspaper, has been continuously published weekly for more than fifty (50) weeks prior to the first publication of the attached notice, is published in the City of Ottawa, County of LaSalle, State of Illinois, is of general circulation throughout that county and surrounding area, and is a newspaper as defined by 715 ILCS 5/5.

A notice, a true copy of which is attached, was published one time(s) in the Ottawa / Streator Times, namely one time per week for one successive week(s). Publication of the notice was made in the newspaper, dated and published on 08/15/2026

This notice was also placed on a statewide public notice website as required by 715 ILCS 5/2.1.

In witness, Shaw Media has signed this certificate by Jennifer Heintzelman, its Director of Public Notices, at Ottawa, Illinois, on 15th day of August, A.D. 2026

Shaw Media By:

Shaw Media, Director of Public Notices

By: /Jennifer Heintzelman/
its Director of Public Notices

Account Number 10206763

Amount \$270.10

Public Meeting Notice

RE: State of Illinois Paratransit Vehicle Grant for LaSalle County Notice is hereby given that a public meeting will be held by: City of Ottawa – NCAT

Date: September 1, 2026 Time: 11:00 AM

Location: City Hall Council Chambers,

301 W. Madison St. Ottawa, IL 61350

I. For the purpose of considering a project for which financial assistance is being sought from the Illinois Department of Transportation, pursuant to the Illinois Department of Transportation's general authority to make such Grants, and which is generally described as follows:

A. Description of Project: City of Ottawa - NCAT is requesting fifteen (15) paratransit vehicles for daily transportation needs of all residents of LaSalle County for a total of \$1,785,000 to be included in a Consolidated Vehicle Procurement (CVP) Program undertaken by the State of Illinois on behalf of City of Ottawa - NCAT, with federal funds.

B. Relocation: Relocation Assistance will not be required.

C. Environment: This project is being implemented to minimize environmental impact.

D. Comprehensive Planning: This project is in conformance with comprehensive transportation planning in the area.

E. Seniors and Individuals with Disabilities: All new equipment included in this project will meet ADA accessibility rules for the elderly and persons with disabilities.

II. At the hearing the City of Ottawa will afford an opportunity for interested persons or agencies to be heard with respect to the social, economic, and environmental aspects of the project. Interested persons may submit orally or in writing, evidence, and recommendations with respect to said project.

III. A copy of the application for the proposed project for the intended service area will be made available for public inspection at NCAT Transit Center, 1784 Chessie Lane, Ottawa, IL 61350.

If you need assistance in participating in this meeting or event due to a disability as defined under the ADA, please call NCAT's Transit Director 833-433-6228 at least three (3) business days prior to the scheduled meeting or event to request an accommodation.

Kim Zimmerman Transit Director, NCAT

1784 Chessie Lane Ottawa, IL 61350

(Published in The Times Aug. 15, 2026) 2343830

Resolution

No. 092-2026

Resolution authorizing application for a Capital Assistance Grant for paratransit vehicle(s) under the Illinois Department of Transportation's general authority to make such Grants.

WHEREAS, The provision and improvement of public transportation and specialized transportation for seniors and individuals with disabilities is essential to the development of a safe, efficient, functional transportation system; and

WHEREAS, The Illinois Department of Transportation has the authority to make such Grants and makes paratransit vehicles available to private non-profits, general public transportation systems or IDOT Certified Public Provider transportation systems providing specialized paratransit service; and

WHEREAS, Grants for said assets will impose certain obligations upon the recipient.

NOW, THEREFORE, BE IT RESOLVED BY THE GOVERNING BOARD OF the City of Ottawa:

Section 1. That an application be made to the Office of Intermodal Project Implementation (OIPI), Department of Transportation, State of Illinois, for a financial assistance grant under the Illinois Department of Transportation's general authority to make such Grants, for the purpose of providing paratransit vehicles to the City of Ottawa.

Section 2. That Mayor Robert Hasty of the City of Ottawa is hereby authorized and directed to execute and file on behalf of City of Ottawa such application.

Section 3. That Mayor Robert Hasty of the City of Ottawa is authorized to furnish such additional information as may be required by the Office of Intermodal Project Implementation in connection with the aforesaid application for said Grant.

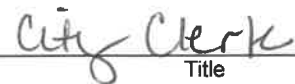
Section 4. That Mayor Robert Hasty of the City of Ottawa is hereby authorized and directed to execute and file on behalf of the City of Ottawa all required Grant Agreements with the Illinois Department of Transportation.

PRESENTED and ADOPTED the 4th day of August, 2026.


(Signature of Designated Official)


ATTEST:


Mayor
Title


City Clerk
Title

Opinion of Counsel

I, the undersigned, am an attorney, licensed by and duly admitted to practice law in the State of Illinois and counsel for and attorney for the City of Ottawa ("Applicant"). In this capacity, my opinion has been requested concerning the eligibility of the City of Ottawa for grant assistance under the Consolidated Vehicle Procurement Program ("Program"), and I hereby advise the following:

1. The City of Ottawa is an eligible subrecipient under the requirement of 49 U.S.C. § 5311 or § 5339, which I have reviewed and verified that Applicant meets the required criteria:
2. There are no provisions in the City of Ottawa's charter or by-laws or in the statutes of the State, the United States of America, or any unit of local government that preclude or prohibit the City of Ottawa from making said application for or contracting with the State for the purpose of receiving an award of paratransit vehicle(s).
3. I have verified with the Applicant and attest that Applicant has no past, pending or threatened litigation, in either federal or state courts, that would adversely affect this application, or that seeks to prohibit the Applicant from contracting with the State for the purpose of receiving an award of paratransit vehicle(s).
4. I have reviewed Applicant's organizational documents, or other relevant information, and certify that Robert Hasty, the Mayor of the City of Ottawa is authorized pursuant to corporate charter, by-laws, ordinance, or by governing board resolution to, (a) submit and execute a grant application for financial assistance under the Program; (b) furnish such additional information as may be required by the Illinois Department of Transportation ("IDOT") in connection with the aforesaid application for said grant; and (c) execute on behalf of the City of Ottawa all required grant agreements with IDOT.

Based upon the foregoing, I am of the opinion that City of Ottawa is an eligible recipient under the provisions of 49 U.S.C. § 5311 or § 5339, and that it is fully empowered and authorized to apply for and to accept the grant from the State.

Signature: 

Date: 8/27/2026

Attorney's Name: Megan Cantlin

Attorney for: City of Ottawa

ARDC Registration Number: 6312478

Not every provision of every certification will apply to every applicant or award. If a provision of a certification does not apply to the applicant or its award, FTA will not enforce that provision.

Text in italic is not part of a certification and is of no legal effect. Its purpose is to provide explanation and context for the certification.

CATEGORY 1. CERTIFICATIONS AND ASSURANCES REQUIRED OF EVERY APPLICANT.

All applicants must make the certifications in this category.

1.1. Standard Assurances.

The certifications in this subcategory appear as part of the applicant's registration or annual registration renewal in the System for Award Management (SAM.gov) and on the Office of Management and Budget's standard form 424B "Assurances—Non-Construction Programs". This certification has been modified in places to include analogous certifications required by U.S. DOT statutes or regulations.

As the duly authorized representative of the applicant, you certify that the applicant:

- (a) Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
- (b) Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- (c) Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- (d) Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- (e) Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728–4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 CFR 900, Subpart F).
- (f) Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to:

- (1) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin, as effectuated by U.S. DOT regulation 49 CFR Part 21, including any amendments thereto;
 - (2) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–1683, and 1685–1686), which prohibits discrimination on the basis of sex, as effectuated by U.S. DOT regulation 49 CFR Part 25;
 - (3) Section 5332 of the Federal Transit Law (49 U.S.C. § 5332), which prohibits any person being excluded from participating in, denied a benefit of, or discriminated against under, a project, program, or activity receiving financial assistance from FTA because of race, color, religion, national origin, sex, disability, or age.
 - (4) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps, as effectuated by U.S. DOT regulation 49 CFR Part 27;
 - (5) The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101–6107), which prohibits discrimination on the basis of age;
 - (6) The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse;
 - (7) The comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
 - (8) Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records;
 - (9) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental, or financing of housing;
 - (10) Any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and,
 - (11) the requirements of any other nondiscrimination statute(s) which may apply to the application.
- (g) Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (“Uniform Act”) (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases. The requirements of the Uniform Act are effectuated by U.S. DOT regulation 49 CFR Part 24.
- (h) Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§ 1501–1508 and 7324–7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

- (i) Will comply, as applicable, with the provisions of the Davis–Bacon Act (40 U.S.C. §§ 276a to 276a-7), the Copeland Act (40 U.S.C. § 276c and 18 U.S.C. § 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§ 327–333), regarding labor standards for federally assisted construction sub-agreements.
- (j) Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
- (k) Will comply with environmental standards which may be prescribed pursuant to the following:
 - (1) Institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514;
 - (2) Notification of violating facilities pursuant to EO 11738;
 - (3) Protection of wetlands pursuant to EO 11990;
 - (4) Evaluation of flood hazards in floodplains in accordance with EO 11988;
 - (5) Assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.);
 - (6) Conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§ 7401 et seq.);
 - (7) Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and
 - (8) Protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
- (l) Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- (m) Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§ 469a-1 et seq.).
- (n) Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
- (o) Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§ 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

- (p) Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§ 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
- (q) Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and 2 CFR Part 200, Subpart F, "Audit Requirements", as adopted and implemented by U.S. DOT at 2 CFR Part 1201.
- (r) Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing the program under which it is applying for assistance.
- (s) Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. § 7104) which prohibits grant award recipients or a subrecipient from:
 - (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect;
 - (2) Procuring a commercial sex act during the period of time that the award is in effect; or
 - (3) Using forced labor in the performance of the award or subawards under the award.

1.2. Standard Assurances: Additional Assurances for Construction Projects.

This certification appears on the Office of Management and Budget's standard form 424D "Assurances—Construction Programs" and applies specifically to federally assisted projects for construction. This certification has been modified in places to include analogous certifications required by U.S. DOT statutes or regulations.

As the duly authorized representative of the applicant, you certify that the applicant:

- (a) Will not dispose of, modify the use of, or change the terms of the real property title or other interest in the site and facilities without permission and instructions from the awarding agency; will record the Federal awarding agency directives; and will include a covenant in the title of real property acquired in whole or in part with Federal assistance funds to assure nondiscrimination during the useful life of the project.
- (b) Will comply with the requirements of the assistance awarding agency with regard to the drafting, review, and approval of construction plans and specifications.
- (c) Will provide and maintain competent and adequate engineering supervision at the construction site to ensure that the complete work confirms with the approved plans and specifications, and will furnish progressive reports and such other information as may be required by the assistance awarding agency or State.

1.3. Procurement.

The Uniform Administrative Requirements, 2 CFR § 200.325, allow a recipient to self-certify that its procurement system complies with Federal requirements, in lieu of submitting to certain pre-procurement reviews. Additionally, 2 CFR § 200.216(e) states that by accepting a grant, the recipient is certifying its compliance with that section (“Prohibition on certain telecommunications and video surveillance equipment or services”).

The applicant certifies that its procurement system complies with:

- (a) U.S. DOT regulations, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 1201, which incorporates by reference U.S. OMB regulatory guidance, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 200, particularly 2 CFR §§ 200.317–200.327 “Procurement Standards;
- (b) Federal laws, regulations, and requirements applicable to FTA procurements; and
- (c) The latest edition of FTA Circular 4220.1 and other applicable Federal guidance.
- (d) 2 CFR § 200.216, “Prohibition on certain telecommunications and video surveillance equipment or services.”

1.4. Increased Micro-Purchase Threshold.

A recipient may establish a micro-purchase threshold that is higher than the Federal micro-purchase threshold. Pursuant to 2 CFR § 200.320(a)(1)(iv), the recipient may self-certify a micro-purchase threshold up to \$50,000. Pursuant to 2 CFR § 200.320(a)(1)(v), the recipient may set a micro-purchase threshold higher than \$50,000, but only with the approval of the recipient’s Federal cognizant agency for indirect costs. To determine an applicant’s cognizant agency for indirect costs, consult the definition of “cognizant agency for indirect costs” in 2 CFR § 200.1.

If the recipient uses a micro-purchase threshold that is higher than the Federal micro-purchase threshold, the recipient certifies:

- (a) The recipient’s micro-purchase threshold does not exceed \$50,000, or the recipient has approval from its Federal cognizant agency for indirect costs to use a higher micro-purchase threshold;
- (b) The recipient has a written justification for its micro-purchase threshold; and
- (c) The recipient has supporting documentation of any of the following:
 - (1) The recipient qualifies as a low-risk auditee, in accordance with the criteria in 2 CFR § 200.520 for the most recent audit;
 - (2) The recipient has an annual internal institutional risk assessment to identify, mitigate, and manage financial risks; or

- (3) For public institutions, a higher threshold is consistent with State law.

1.5. Suspension and Debarment.

Pursuant to Executive Order 12549, as implemented at 2 CFR Parts 180 and 1200, prior to entering into a covered transaction with an applicant, FTA must determine whether the applicant is excluded from participating in covered non-procurement transactions. For this purpose, FTA is authorized to collect a certification from each applicant regarding the applicant's exclusion status. 2 CFR § 180.300. Additionally, each applicant must disclose any information required by 2 CFR § 180.335 about the applicant and the applicant's principals prior to entering into an award agreement with FTA. This certification serves both purposes.

The applicant certifies, to the best of its knowledge and belief, that the applicant and each of its principals:

- (a) Is not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily or involuntarily excluded from covered transactions by any Federal department or agency;
- (b) Has not, within the preceding three years, been convicted of or had a civil judgment rendered against him or her for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; violation of Federal or State antitrust statutes, including those proscribing price fixing between competitors, allocation of customers between competitors, and bid rigging; commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or commission of any other offense indicating a lack of business integrity or business honesty;
- (c) Is not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any offense described in paragraph (b) of this certification; and
- (d) Has not, within the preceding three years, had one or more public transactions (Federal, State, or local) terminated for cause or default.

1.6. Lobbying.

If the applicant will apply for a grant or cooperative agreement exceeding \$100,000, or a loan, line of credit, loan guarantee, or loan insurance exceeding \$150,000, it must make the following certification and, if applicable, make a disclosure regarding the applicant's lobbying activities. This certification is required by 49 CFR § 20.110 and app. A to that part.

This certification does not apply to an applicant that is an Indian Tribe, Indian organization, or an Indian tribal organization exempt from the requirements of 49 CFR Part 20.

1.6.1. Certification for Contracts, Grants, Loans, and Cooperative Agreements.

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, or an employee of a Member 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 subawards at all tiers (including subcontracts, subgrants, 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 section 1352, title 31, U.S. Code. 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.

1.6.2. Statement for Loan Guarantees and Loan Insurance.

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

If any 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 commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement

shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

1.7. Real Property Use

This certification responds to Recommendation #7 in the U.S. Department of Transportation's Office of Inspector General Report FS2024025 (May 20, 2024).

If the applicant will use assistance provided by the Federal Transit Administration to acquire or improve real property, the applicant certifies that it will comply with the requirements of 2 CFR § 200.311, including but not limited to, requirements to use the property for the purposes authorized in its award, and to seek disposition instructions from FTA when the property no longer is needed for any authorized purpose.

CATEGORY 2. PUBLIC TRANSPORTATION AGENCY SAFETY PLANS

This certification is required of each applicant under the Urbanized Area Formula Grants Program (49 U.S.C. § 5307), each rail operator that is subject to FTA's state safety oversight programs, and each State that is required to draft and certify a Public Transportation Agency Safety Plan on behalf of a Small Public Transportation Provider (as that term is defined at 49 CFR § 673.5) pursuant to 49 CFR § 673.11(d).

This certification is required by 49 U.S.C. § 5307(c)(1)(L), 49 U.S.C. § 5329(d)(1), and 49 CFR § 673.13. This certification is a condition of receipt of Urbanized Area Formula Grants Program (49 U.S.C. § 5307) funding.

This certification does not apply to any applicant that only receives financial assistance from FTA under the Formula Grants for the Enhanced Mobility of Seniors Program (49 U.S.C. § 5310), the Formula Grants for Rural Areas Program (49 U.S.C. § 5311), or combination of these two programs, unless it operates a rail fixed guideway public transportation system.

If the applicant is an operator, the applicant certifies that it has established a Public Transportation Agency Safety Plan meeting the requirements of 49 U.S.C. § 5329(d)(1) and 49 CFR Part 673; including, specifically, that the board of directors (or equivalent entity) of the applicant has approved, or, in the case of an applicant that will apply for assistance under 49 U.S.C. § 5307 that is serving an urbanized area with a population of 200,000 or more, the safety committee of the entity established under 49 U.S.C. § 5329(d)(5), followed by the board of directors (or equivalent entity) of the applicant has approved, the Public Transportation Agency Safety Plan or any updates thereto; and, for each recipient serving an urbanized area with a population of fewer than 200,000, that the Public Transportation Agency Safety Plan has been developed in cooperation with frontline employee representatives.

If the applicant is a State that drafts and certifies a Public Transportation Agency Safety Plan on behalf of a public transportation operator, the applicant certifies that:

- (a) It has drafted and certified a Public Transportation Agency Safety Plan meeting the requirements of 49 U.S.C. § 5329(d)(1) and 49 CFR Part 673 for each Small Public Transportation Provider (as that term is defined at 49 CFR § 673.5) in the State, unless the Small Public Transportation Provider provided notification to the State that it was opting out of the State-drafted plan and drafting its own Public Transportation Agency Safety Plan; and
- (b) Each Small Public Transportation Provider within the State that opts to use a State-drafted Public Transportation Agency Safety Plan has a plan that has been approved by the provider's Accountable Executive (as that term is defined at 49 CFR § 673.5), Board of Directors or Equivalent Authority (as that term is defined at 49 CFR § 673.5), and, if the Small Public Transportation Provider serves an urbanized area with a population of 200,000 or more, the safety committee of the Small Public Transportation Provider established under 49 U.S.C. § 5329(d)(5).

CATEGORY 3. TAX LIABILITY AND FELONY CONVICTIONS.

If the applicant is a business association (regardless of for-profit, not for-profit, or tax-exempt status), it must make this certification. Federal appropriations acts since at least 2014 have prohibited FTA from using funds to enter into an agreement with any corporation that has unpaid Federal tax liabilities or recent felony convictions without first considering the corporation for debarment. E.g., Consolidated Appropriations Act, 2026, Pub. L. 119-75, div. E, tit. VII §§ 744-745. U.S. DOT Order 4200.6 defines a "corporation" as "any private corporation, partnership, trust, joint-stock company, sole proprietorship, or other business association", and applies the restriction to all tiers of subawards. As prescribed by U.S. DOT Order 4200.6, FTA requires each business association applicant to certify as to its tax and felony status.

If the applicant is a private corporation, partnership, trust, joint-stock company, sole proprietorship, or other business association, the applicant certifies that:

- (a) It has no unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and
- (b) It has not been convicted of a felony criminal violation under any Federal law within the preceding 24 months.

CATEGORY 4. PRIVATE SECTOR PROTECTIONS.

If the applicant will apply for funds that it will use to acquire or operate public transportation facilities or equipment, the applicant must make the following certification regarding protections for the private sector.

4.1. Charter Service Agreement.

To enforce the provisions of 49 U.S.C. § 5323(d), FTA's charter service regulation requires each applicant seeking assistance from FTA for the purpose of acquiring or operating any public transportation equipment or facilities to make the following Charter Service Agreement. 49 CFR § 604.4.

The applicant agrees that it, and each of its subrecipients, and third-party contractors at any level who use FTA-funded vehicles, may provide charter service using equipment or facilities acquired with Federal assistance authorized under the Federal Transit Laws only in compliance with the regulations set out in 49 CFR Part 604, the terms and conditions of which are incorporated herein by reference.

4.2. School Bus Agreement.

To enforce the provisions of 49 U.S.C. § 5323(f), FTA's school bus regulation requires each applicant seeking assistance from FTA for the purpose of acquiring or operating any public transportation equipment or facilities to make the following agreement regarding the provision of school bus services. 49 CFR § 605.15.

- (a) If the applicant is not authorized by the FTA Administrator under 49 CFR § 605.11 to engage in school bus operations, the applicant agrees and certifies as follows:
 - (1) The applicant and any operator of project equipment agrees that it will not engage in school bus operations in competition with private school bus operators.
 - (2) The applicant agrees that it will not engage in any practice which constitutes a means of avoiding the requirements of this agreement, part 605 of the Federal Mass Transit Regulations, or section 164(b) of the Federal-Aid Highway Act of 1973 (49 U.S.C. 1602a(b)).
- (b) If the applicant is authorized or obtains authorization from the FTA Administrator to engage in school bus operations under 49 CFR § 605.11, the applicant agrees as follows:
 - (1) The applicant agrees that neither it nor any operator of project equipment will engage in school bus operations in competition with private school bus operators except as provided herein.
 - (2) The applicant, or any operator of project equipment, agrees to promptly notify the FTA Administrator of any changes in its operations which might jeopardize the continuation of an exemption under § 605.11.

- (3) The applicant agrees that it will not engage in any practice which constitutes a means of avoiding the requirements of this agreement, part 605 of the Federal Transit Administration regulations or section 164(b) of the Federal-Aid Highway Act of 1973 (49 U.S.C. 1602a(b)).
- (4) The applicant agrees that the project facilities and equipment shall be used for the provision of mass transportation services within its urban area and that any other use of project facilities and equipment will be incidental to and shall not interfere with the use of such facilities and equipment in mass transportation service to the public.

CATEGORY 5. TRANSIT ASSET MANAGEMENT PLAN.

If the applicant owns, operates, or manages capital assets used to provide public transportation, the following certification is required by 49 U.S.C. § 5326(a).

The applicant certifies that it is in compliance with 49 CFR Part 625.

CATEGORY 6. ROLLING STOCK BUY AMERICA REVIEWS AND BUS TESTING.

6.1. Rolling Stock Buy America Reviews.

If the applicant will apply for an award to acquire rolling stock for use in revenue service, it must make this certification. This certification is required by 49 CFR § 663.7.

The applicant certifies that it will conduct or cause to be conducted the pre-award and post-delivery audits prescribed by 49 CFR Part 663 and will maintain on file the certifications required by Subparts B, C, and D of 49 CFR Part 663.

6.2. Bus Testing.

If the applicant will apply for funds for the purchase or lease of any new bus model, or any bus model with a major change in configuration or components, the applicant must make this certification. This certification is required by 49 CFR § 665.7.

The applicant certifies that the bus was tested at the Bus Testing Facility established in accordance with 49 U.S.C. § 5318 (currently the Larson Transportation Institute's Bus Research and Testing Center at Pennsylvania State University) and that the bus received a passing test score as required by 49 CFR Part 665. The applicant has received or will receive the appropriate full Bus Testing Report and any applicable partial testing reports before final acceptance of the first vehicle.

CATEGORY 7. URBANIZED AREA FORMULA GRANTS PROGRAM.

If the applicant will apply for an award under the Urbanized Area Formula Grants Program (49 U.S.C. § 5307), or any other program or award that is subject to the requirements of 49 U.S.C. § 5307, including the Formula Grants for the Enhanced Mobility of Seniors Program (49 U.S.C. § 5310); “flex funds” from infrastructure programs administered by the Federal Highways Administration (see 49 U.S.C. § 5334(i)); projects that will receive an award authorized by the Transportation Infrastructure Finance and Innovation Act (“TIFIA”) (23 U.S.C. §§ 601–609) or State Infrastructure Bank Program (23 U.S.C. § 610) (see 49 U.S.C. § 5323(o)); formula awards or competitive awards to urbanized areas under the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339(a) and (b)); or low or no emission awards to any area under the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339(c)), the applicant must make the following certification. This certification is required by 49 U.S.C. § 5307(c)(1).

The applicant certifies that it:

- (a) Has or will have the legal, financial, and technical capacity to carry out the program of projects (developed pursuant 49 U.S.C. § 5307(b)), including safety and security aspects of the program;
- (b) Has or will have satisfactory continuing control over the use of equipment and facilities;
- (c) Will maintain equipment and facilities in accordance with the applicant’s transit asset management plan;
- (d) Will ensure that, during non-peak hours for transportation using or involving a facility or equipment of a project financed under this section, a fare that is not more than 50 percent of the peak hour fare will be charged for any—
 - (1) Senior;
 - (2) Individual who, because of illness, injury, age, congenital malfunction, or any 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; and
 - (3) Individual presenting a Medicare card issued to that individual under title II or XVIII of the Social Security Act (42 U.S.C. §§ 401 et seq., and 1395 et seq.);
- (e) In carrying out a procurement under 49 U.S.C. § 5307, will comply with 49 U.S.C. §§ 5323 (general provisions) and 5325 (contract requirements);
- (f) Has complied with 49 U.S.C. § 5307(b) (program of projects requirements);
- (g) Has available and will provide the required amounts as provided by 49 U.S.C. § 5307(d) (cost sharing);
- (h) Will comply with 49 U.S.C. §§ 5303 (metropolitan transportation planning) and 5304 (statewide and nonmetropolitan transportation planning);

- (i) Has a locally developed process to solicit and consider public comment before raising a fare or carrying out a major reduction of transportation;
- (j) Either—
 - (1) Will expend for each fiscal year for public transportation security projects, including increased lighting in or adjacent to a public transportation system (including bus stops, subway stations, parking lots, and garages), increased camera surveillance of an area in or adjacent to that system, providing an emergency telephone line to contact law enforcement or security personnel in an area in or adjacent to that system, and any other project intended to increase the security and safety of an existing or planned public transportation system, at least 1 percent of the amount the recipient receives for each fiscal year under 49 U.S.C. § 5336; or
 - (2) Has decided that the expenditure for security projects is not necessary;
- (k) In the case of an applicant for an urbanized area with a population of not fewer than 200,000 individuals, as determined by the Bureau of the Census, will submit an annual report listing projects carried out in the preceding fiscal year under 49 U.S.C. § 5307 for associated transit improvements as defined in 49 U.S.C. § 5302; and
- (l) Will comply with 49 U.S.C. § 5329(d) (public transportation agency safety plan).

CATEGORY 8. FORMULA GRANTS FOR RURAL AREAS.

If the applicant will apply for funds made available to it under the Formula Grants for Rural Areas Program (49 U.S.C. § 5311), it must make this certification. Paragraph (a) of this certification helps FTA make the determinations required by 49 U.S.C. § 5311(b)(2)(C). Paragraph (b) of this certification is required by 49 U.S.C. § 5311(f)(2). Paragraph (c) of this certification, which applies to funds apportioned for the Appalachian Development Public Transportation Assistance Program, is necessary to enforce the conditions of 49 U.S.C. § 5311(c)(2)(D).

- (a) The applicant certifies that its State program for public transportation service projects, including agreements with private providers for public transportation service—
 - (1) Provides a fair distribution of amounts in the State, including Indian reservations; and
 - (2) Provides the maximum feasible coordination of public transportation service assisted under 49 U.S.C. § 5311 with transportation service assisted by other Federal sources; and
- (b) If the applicant will in any fiscal year expend less than 15% of the total amount made available to it under 49 U.S.C. § 5311 to carry out a program to develop and support intercity bus transportation, the applicant certifies that it has consulted with affected

intercity bus service providers, and the intercity bus service needs of the State are being met adequately.

- (c) If the applicant will use for a highway project amounts that cannot be used for operating expenses authorized under 49 U.S.C. § 5311(c)(2) (Appalachian Development Public Transportation Assistance Program), the applicant certifies that—
 - (1) It has approved the use in writing only after providing appropriate notice and an opportunity for comment and appeal to affected public transportation providers; and
 - (2) It has determined that otherwise eligible local transit needs are being addressed.

CATEGORY 9. FIXED GUIDEWAY CAPITAL INVESTMENT GRANTS AND THE EXPEDITED PROJECT DELIVERY FOR CAPITAL INVESTMENT GRANTS PILOT PROGRAM.

If the applicant will apply for an award under any subsection of the Fixed Guideway Capital Investment Program (49 U.S.C. § 5309), including an award made pursuant to the FAST Act's Expedited Project Delivery for Capital Investment Grants Pilot Program (Pub. L. 114-94, div. A, title III, § 3005(b)), the applicant must make the following certification. This certification is required by 49 U.S.C. § 5309(c)(2) and Pub. L. 114-94, div. A, title III, § 3005(b)(3)(B).

The applicant certifies that it:

- (a) Has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award,
- (b) Has or will have satisfactory continuing control over the use of equipment and facilities acquired or improved under its Award.
- (c) Will maintain equipment and facilities acquired or improved under its Award in accordance with its transit asset management plan; and
- (d) Will comply with 49 U.S.C. §§ 5303 (metropolitan transportation planning) and 5304 (statewide and nonmetropolitan transportation planning).

CATEGORY 10. GRANTS FOR BUSES AND BUS FACILITIES AND LOW OR NO EMISSION VEHICLE DEPLOYMENT GRANT PROGRAMS.

If the applicant is in an urbanized area and will apply for an award under subsection (a) (formula grants), subsection (b) (buses and bus facilities competitive grants), or subsection (c) (low or no emissions grants) of the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339), the applicant must make the certification in Category 7 for Urbanized Area Formula Grants (49 U.S.C. § 5307). This certification is required by 49 U.S.C. § 5339(a)(3), (b)(6), and (c)(3), respectively.

If the applicant is in a rural area and will apply for an award under subsection (a) (formula grants), subsection (b) (bus and bus facilities competitive grants), or subsection (c) (low or no emissions grants) of the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339), the applicant must make the certification in Category 8 for Formula Grants for Rural Areas (49 U.S.C. § 5311). This certification is required by 49 U.S.C. § 5339(a)(3), (b)(6), and (c)(3), respectively.

Making this certification will incorporate by reference the applicable certifications in Category 7 or Category 8.

If the applicant will receive a competitive award under subsection (b) (buses and bus facilities competitive grants), or subsection (c) (low or no emissions grants) of the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339) related to zero emissions vehicles or related infrastructure, it must make the following certification. This certification is required by 49 U.S.C. § 5339(d).

The applicant will use 5 percent of grants related to zero emissions vehicles (as defined in 49 U.S.C. § 5339(c)(1)) or related infrastructure under 49 U.S.C. § 5339(b) or (c) to fund workforce development training as described in section 49 U.S.C. § 5314(b)(2) (including registered apprenticeships and other labor-management training programs) under the recipient's plan to address the impact of the transition to zero emission vehicles on the applicant's current workforce; or the applicant certifies a smaller percentage is necessary to carry out that plan.

CATEGORY 11. ENHANCED MOBILITY OF SENIORS AND INDIVIDUALS WITH DISABILITIES PROGRAMS.

If the applicant will apply for an award under the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program (49 U.S.C. § 5310), it must make the certification in Category 7 for Urbanized Area Formula Grants (49 U.S.C. § 5307). This certification is required by 49 U.S.C. § 5310(e)(1). Making this certification will incorporate by reference the certification in Category 7, except that FTA has determined that (d), (f), (i), (j), and (k) of Category 7 do not apply to awards made under 49 U.S.C. § 5310 and will not be enforced.

In addition to the certification in Category 7, the applicant must make the following certification that is specific to the Formula Grants for the Enhanced Mobility of Seniors and Individuals with Disabilities Program. This certification is required by 49 U.S.C. § 5310(e)(2).

The applicant certifies that:

- (a) The projects selected by the applicant are included in a locally developed, coordinated public transit-human services transportation plan;

- (b) The plan described in clause (a) was developed and approved through a process that included participation by seniors, individuals with disabilities, representatives of public, private, and nonprofit transportation and human services providers, and other members of the public;
- (c) To the maximum extent feasible, the services funded under 49 U.S.C. § 5310 will be coordinated with transportation services assisted 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; and
- (d) If the applicant will allocate funds received under 49 U.S.C. § 5310 to subrecipients, it will do so on a fair and equitable basis.

CATEGORY 12. STATE OF GOOD REPAIR GRANTS.

If the applicant will apply for an award under FTA's State of Good Repair Grants Program (49 U.S.C. § 5337), it must make the following certification. Because FTA generally does not review the transit asset management plans of public transportation providers, the asset management certification is necessary to enforce the provisions of 49 U.S.C. § 5337(a)(4). The certification with regard to acquiring restricted rail rolling stock is required by 49 U.S.C. § 5323(u)(4). Note that this certification is not limited to the use of Federal funds.

The applicant certifies that the projects it will carry out using assistance authorized by the State of Good Repair Grants Program, 49 U.S.C. § 5337, are aligned with the applicant's most recent transit asset management plan and are identified in the investment and prioritization section of such plan, consistent with the requirements of 49 CFR Part 625.

If the applicant operates a rail fixed guideway service, the applicant certifies that, in the fiscal year for which an award is available to the applicant under the State of Good Repair Grants Program, 49 U.S.C. § 5337, the applicant will not award any contract or subcontract for the procurement of rail rolling stock for use in public transportation with a rail rolling stock manufacturer described in 49 U.S.C. § 5323(u)(1).

CATEGORY 13. INFRASTRUCTURE FINANCE PROGRAMS.

If the applicant will apply for an award for a project that will include assistance under the Transportation Infrastructure Finance and Innovation Act ("TIFIA") Program (23 U.S.C. §§ 601–609) or the State Infrastructure Banks ("SIB") Program (23 U.S.C. § 610), it must make the certifications in Category 7 for the Urbanized Area Formula Grants Program, Category 9 for the Fixed Guideway Capital Investment Grants program, and Category 12 for the State of Good Repair Grants program. These certifications are required by 49 U.S.C. § 5323(o).

Making this certification will incorporate the certifications in Categories 7, 9, and 12 by reference.

CATEGORY 14. ALCOHOL AND CONTROLLED SUBSTANCES TESTING.

If the applicant will apply for an award under FTA's Urbanized Area Formula Grants Program (49 U.S.C. § 5307), Fixed Guideway Capital Investment Program (49 U.S.C. § 5309), Formula Grants for Rural Areas Program (49 U.S.C. § 5311), or Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339) programs, the applicant must make the following certification. The applicant must make this certification on its own behalf and on behalf of its subrecipients and contractors. This certification is required by 49 CFR § 655.83.

The applicant certifies that it, its subrecipients, and its contractors are compliant with FTA's regulation for the Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations, 49 CFR Part 655.

CATEGORY 15. RAIL SAFETY TRAINING AND OVERSIGHT.

If the applicant is a State with at least one rail fixed guideway system, or is a State Safety Oversight Agency, or operates a rail fixed guideway system, it must make the following certification. The elements of this certification are required by 49 CFR §§ 672.31 and 674.39.

The applicant certifies that the rail fixed guideway public transportation system and the State Safety Oversight Agency for the State are:

- (a) Compliant with the requirements of 49 CFR Part 672, "Public Transportation Safety Certification Training Program"; and
- (b) Compliant with the requirements of 49 CFR Part 674, "State Safety Oversight".

CATEGORY 16. DEMAND RESPONSIVE SERVICE.

If the applicant operates demand responsive service and will apply for an award to purchase a non-rail vehicle that is not accessible within the meaning of 49 CFR Part 37, it must make the following certification. This certification is required by 49 CFR § 37.77.

The applicant certifies that the service it provides to individuals with disabilities is equivalent to that provided to other persons. A demand responsive system, when viewed in its entirety, is deemed to provide equivalent service if the service available to individuals with disabilities, including individuals who use wheelchairs, is provided in the most integrated setting appropriate to the needs of the individual and is equivalent to the service provided other individuals with respect to the following service characteristics:

- (a) Response time;
- (b) Fares;
- (c) Geographic area of service;
- (d) Hours and days of service;

- (e) Restrictions or priorities based on trip purpose;
- (f) Availability of information and reservation capability; and
- (g) Any constraints on capacity or service availability.

CATEGORY 17. INTEREST AND FINANCING COSTS.

If the applicant will pay for interest or other financing costs of a project using assistance awarded under the Urbanized Area Formula Grants Program (49 U.S.C. § 5307), the Fixed Guideway Capital Investment Grants Program (49 U.S.C. § 5309), or any program that must comply with the requirements of 49 U.S.C. § 5307, including the Formula Grants for the Enhanced Mobility of Seniors Program (49 U.S.C. § 5310), "flex funds" from infrastructure programs administered by the Federal Highways Administration (see 49 U.S.C. § 5334(i)), or awards to urbanized areas under the Grants for Buses and Bus Facilities Program (49 U.S.C. § 5339), the applicant must make the following certification. This certification is required by 49 U.S.C. §§ 5307(e)(3) and 5309(k)(2)(D).

The applicant certifies that:

- (a) Its application includes the cost of interest earned and payable on bonds issued by the applicant only to the extent proceeds of the bonds were or will be expended in carrying out the project identified in its application; and
- (b) The applicant has shown or will show reasonable diligence in seeking the most favorable financing terms available to the project at the time of borrowing.

CATEGORY 18. CYBERSECURITY CERTIFICATION FOR RAIL ROLLING STOCK AND OPERATIONS.

If the applicant operates a rail fixed guideway public transportation system, it must make this certification. This certification is required by 49 U.S.C. § 5323(v). For information about standards or practices that may apply to a rail fixed guideway public transportation system, visit <https://www.nist.gov/cyberframework> and <https://www.cisa.gov/>.

The applicant certifies that it has established a process to develop, maintain, and execute a written plan for identifying and reducing cybersecurity risks that complies with the requirements of 49 U.S.C. § 5323(v)(2).

CATEGORY 19. PUBLIC TRANSPORTATION ON INDIAN RESERVATIONS FORMULA AND DISCRETIONARY PROGRAM (TRIBAL TRANSIT PROGRAMS).

Before FTA may provide Federal assistance for an Award financed under either the Public Transportation on Indian Reservations Formula or Discretionary Program authorized under 49 U.S.C. § 5311(c)(1), as amended by the FAST Act, (Tribal Transit Programs), the applicant

must select the Certifications in this Category, except as FTA determines otherwise in writing. Tribal Transit Program applicants may certify to this Category and Category 1 (Certifications and Assurances Required of Every Applicant) and need not make any other certification, to meet Tribal Transit Program certification requirements. If an applicant will apply for any program in addition to the Tribal Transit Program, additional certifications may be required.

FTA has established terms and conditions for Tribal Transit Program grants financed with Federal assistance appropriated or made available under 49 U.S.C. § 5311(c)(1). The applicant certifies that:

- (a) It has or will have the legal, financial, and technical capacity to carry out its Award, including the safety and security aspects of that Award.
- (b) It has or will have satisfactory continuing control over the use of its equipment and facilities acquired or improved under its Award.
- (c) It will maintain its equipment and facilities acquired or improved under its Award, in accordance with its transit asset management plan and consistent with FTA regulations, “Transit Asset Management,” 49 CFR Part 625. Its Award will achieve maximum feasible coordination with transportation service financed by other federal sources.
- (d) With respect to its procurement system:
 - (1) It will have a procurement system that complies with U.S. DOT regulations, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 1201, which incorporates by reference U.S. OMB regulatory guidance, “Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards,” 2 CFR Part 200, for Awards made on or after December 26, 2014,
 - (2) It will 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 former 49 CFR § 18.36, for Awards made before December 26, 2014, or
 - (3) It will inform FTA promptly if its procurement system does not comply with either of those U.S. DOT regulations.
- (e) It will comply with the Certifications, Assurances, and Agreements in:
 - (1) Category 4.1 and 4.2 (Charter Service Agreement and School Bus Agreement),
 - (2) Category 5 (Transit Asset Management Plan),
 - (3) Category 6.1 and 6.2 (Rolling Stock Buy America Reviews and Bus Testing),
 - (4) Category 8 (Formula Grants for Rural Areas),
 - (5) Category 14 (Alcohol and Controlled Substances Testing), and
 - (6) Category 16 (Demand Responsive Service).

CATEGORY 20. EMERGENCY RELIEF PROGRAM.

An applicant to the Public Transportation Emergency Relief Program, 49 U.S.C. § 5324, must make the following certification. The certification is required by 49 U.S.C. § 5324(f) and must be made before the applicant can receive a grant under the Emergency Relief program.

The applicant certifies that the applicant has insurance required under State law for all structures related to the emergency relief program grant application.

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

The Applicant certifies to the applicable provisions of all categories: (check here) X.

The Applicant certifies to the applicable provisions of the categories it has selected:

1

- | | | |
|----|---|-------|
| 12 | State of Good Repair Grants | <hr/> |
| 13 | Infrastructure Finance Programs | <hr/> |
| 14 | Alcohol and Controlled Substances Testing | <hr/> |
| 15 | Rail Safety Training and Oversight | <hr/> |
| 16 | Demand Responsive Service | <hr/> |
| 17 | Interest and Financing Costs | <hr/> |
| 18 | Cybersecurity Certification for Rail Rolling Stock and Operations | <hr/> |
| 19 | Tribal Transit Programs | <hr/> |
| 20 | Emergency Relief Program | <hr/> |

CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE

AFFIRMATION OF APPLICANT

Name of the Applicant: City of Ottawa

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 seek in the future, of 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 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: 4/9/20

Name Robert Hastie Robert Hastie Authorized Representative of Applicant

AFFIRMATION OF APPLICANT'S ATTORNEY

For (Name of Applicant): City of Ottawa

As the undersigned Attorney for the above-named Applicant, I hereby affirm the Applicant has the 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 Megyn Cantlin Date 4/8/2026

Name Megyn Cantlin 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.

