Title VI Program Update 2022-2025

1.0 Introduction

1.1 Paratransit, Inc. Profile

Founded in 1978, Paratransit, Inc. is a private nonprofit corporation dedicated to providing transportation services to individuals with disabilities, the elderly, and related agencies throughout the Sacramento County area.

In 1979, using Paratransit, Inc. as a model, Assemblyman Walter Ingalls authored Assembly Bill (AB) 120, the Social Service Transportation Improvement Act. This landmark legislation included a provision calling for the designation of a Consolidated Transportation Services Agency (CTSA) in each California County. Paratransit, Inc. was the first such agency designated in California.

Since 1981, Paratransit, Inc. has served as the CTSA for the Sacramento urbanized area and is recognized as a national leader in coordinated transportation programs. As the designated CTSA, Paratransit, Inc. works with social service agencies such as the United Cerebral Palsy Association of Northern California, ACC Senior Services (formerly Asian Community Center), and the Elk Grove Adult Community Training program, to increase transportation options for seniors, individuals with disabilities and people with low incomes. For over 30 years, Paratransit has worked with a variety of local nonprofit agencies to provide transportation services, accessible vehicles, low-cost vehicle maintenance, and travel training programs.

1.2 Requirements and Guidance

As a condition of Paratransit, Inc.'s funding from the Federal Transit Administration (FTA) and Subrecipient Agreements with Sacramento Regional Transit District (RT), Paratransit, Inc. is required annually to submit Certifications and Assurances. In addition, on a triennial basis, Paratransit, Inc. is required to submit to RT evidence documenting compliance with FTA Circular 4702.1B on Title VI of the Civil Rights Act of 1964, which states in Section 601:

No person in the United States shall, on the grounds of race, color or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance.

There are two Presidential Executive Orders that place further emphasis upon Title VI protections of race and national origin.

- Executive Order #12898 directs federal agencies to develop strategies to address disproportionately high and adverse human health or environmental effects of their programs on minority and low-income populations.
- Executive Order #13166 directs federal agencies to evaluate services provided and implement a system that ensures that persons with Limited English Proficiency are able to meaningfully access the services provided consistent with and without unduly burdening the fundamental mission of each federal agency. Additionally, each federal agency shall ensure that recipients of federal financial assistance provide meaningful access to their Limited English Proficiency applicants and beneficiaries.
- Circular 4703.1 went into effect on August 15, 2012 to provide recipients of FTA financial assistance with guidance to incorporate environmental justice principles into plans, projects and activities that receive funding from FTA.
- Circular 4702.1B went into effect on October 1, 2012 to assist grantees in complying with Title VI of the Civil Rights Act of 1964. The purpose of this Circular is to provide recipients of FTA financial assistance with instructions and guidance necessary to carry out the US Department of Transportation's Title VI regulations (49 CFR part 21).

2.0 General Requirements

2.1 Notice to the Public

Requirement: All recipients must provide a copy of the recipient's Title VI notice to the public that indicates that the recipient complies with Title VI, and informing members of the public of the protections against discrimination afforded to them by Title VI, as well as a list of locations where the notice is posted.

Policy: Paratransit, Inc. posts its Title VI notice in English and Spanish in the public portions of our Administration building located at 2501 Florin Road and online at www.paratransit.org. The Notice to Public can be found in Appendix 5.

2.1 Complaint Procedures and Form

Requirement: All recipients must provide a copy of instructions to the public regarding how to file a Title VI discrimination complaint, including a copy of the complaint form.

Policy: The procedure for filing a Title VI complaint can be found online at www.paratransit.org and may also be obtained from Paratransit, Inc.'s Administration Department. Paratransit, Inc. staff is available to assist complainants with filing a Title VI complaint.

Paratransit, Inc. has developed procedures for filing, tracking and investigating Title VI complaints. The procedures, including a complaint form provided by Paratransit, Inc. are included in Appendix 2.

2.2 Investigations, Complaints and Lawsuits

Requirement: All recipients must provide a list of any public transportation related Title VI investigations, complaints and lawsuits filed with the recipient since the time of the last submission.

Policy: Paratransit, Inc. has developed procedures for tracking and monitoring Title VI complaints and lawsuits and has procedures for investigation of complaints.

Paratransit, Inc. has not received any complaints of discrimination pursuant to Title VI. A statement noting that no complaints have been received is included as Appendix 3.

2.3 Inclusive Public Involvement

Requirement: Pursuant to 49 CFR 21.5(b)(7), and to engage in community outreach consistent with the DOT Order on Environmental Justice, recipients and sub-recipients shall seek out and consider the viewpoints of minority and low income populations in the course of conducting public outreach and involvement activities. An agency's public participation plan shall offer early and continuous opportunities for the public to be involved in the identification of social, economic and environmental impacts of proposed transportation decisions.

Policy: Paratransit, Inc. staff actively reaches out to organized community groups (i.e., ACC Senior Services, Hmong Heritage Center, senior facilities, public transportation providers, etc.) to conduct travel training classes. During these classes, informational packets are disseminated and interpreters are available to assist with patrons who have limited English proficiency. The dates that Paratransit, Inc. reached out to various communities over the past 3 years are:

January 2021, March 2021, April 2021, May 2021, June 2021, August 2021, September 2021, October 2021, November 2021, March 2022, July 2022, August 2022, October 2022, November 2022, December 2022, January 2023, March 2023, April 2023, May 2023, June 2023, July 2023, August 2023, September 2023, and October 2023.

Also, Paratransit, Inc. staff participates in several advisory committees, including the Transit Coordinating Committee of the Sacramento Area Council of Governments, and the Mobility Advisory Council of the Sacramento Regional Transit District. Through these advisory councils, Paratransit, Inc. staff participates in public outreach efforts on community and regional transportation and transit service planning efforts.

2.4 Language Assistance Plan

Requirement: All recipients are required to provide a Language Assistance Plan (LAP), which specifies policies and procedures for providing language assistance to LEP populations, in accordance with U.S. Department of Transportation LEP Guidance.

2.4.1 Four Factor Analysis

The U.S. Department of Transportation (DOT) issued its *Policy Guidance Concerning Recipient's Responsibilities to Limited English Proficiency (LEP) Persons*. This policy states that DOT recipients are required to take reasonable steps to ensure meaningful access to programs by LEP persons. This coverage extends to the recipient's entire program. There are four factors for agencies to consider when assessing language needs and determining what steps they should take to ensure access for LEP persons, regardless of whether or not the agency chooses not to prepare a written LEP plan:

- The number or proportion of LEP persons eligible to be served or likely to be encountered by a program, activity or service of the recipient;
- 2) The frequency with which LEP individuals come in contact with } the program;
- 3) The nature and importance of the program, activity or service provided by the recipient to people's lives; and
- 4) The resources available to the recipient and costs. A brief description of the self-assessment undertaken in each of the areas follows.

2.4.1a The number or proportion of LEP persons eligible to be served or likely to be encountered by a program, activity or service of the recipient.

People of Spanish or Asian decent are the primary LEP persons likely to be encountered by Paratransit, Inc. programs and transit services. For the Sacramento Urbanized Area, the American Community Survey of the U.S. Census Bureau shows that

among the area's population, 86.2% spoke English as a first language or spoke it "very well" as a second language. For groups who spoke English "less than very well", 35% are Hispanic, 11% are of Chinese descent, and 25% are of other Asian descent, including Hmong, Vietnamese, Korean and Filipino. Appendix 4 contains a table that lists the languages spoken at home by the ability to speak English for the population within the Sacramento Urbanized Area five years and older.

2.4.1b The frequency with which LEP individuals come in contact with the program.

Paratransit, Inc. has assessed the frequency at which staff has or could possibly have contact with LEP persons. This includes examining census data, phone inquiries, requests for translated documents and staff feedback. As discussed above, census data indicate that there is a fairly large percentage of the general population, who are Spanish speaking persons or those of Asian descent. As a demand-response transportation provider, it is necessary to recognize these segments of the general population. Phone inquiries and staff feedback also indicate that Spanish-speaking and Asian language LEP persons have regular contact with the service or program.

2.4.1c The nature and importance of the program, activity or service provided by the recipient to people's lives.

Public transportation and regional transportation planning is vital to many people's lives. According to the Department of Transportation's *Policy Guidance Concerning Recipient's Responsibilities to Limited English Proficient (LEP) Persons*, "Providing public transportation access to LEP persons is crucial. An LEP person's ability to utilize effective public transportation may affect his or her ability to obtain health care, or education, or access to employment."

The American Community Survey data from 2022 indicate that, of those who take public transportation to work in the Sacramento

Urbanized Area, 17.1 percent are of Hispanic or Latino origin, and 9.4 percent are of Asian descent. In addition, of those within the urbanized area, who take public transportation 12.3 percent speak English "less than very well." Although these figures are generalized to "public transportation" and are not segregated into fixed-route vs. demand-responsive services, it is reasonable to assume that the data would indicate that Paratransit's services are important to these populations as a primary means to get to work and other destinations.

2.4.1d The resources available to the recipient and costs

Paratransit, Inc. assessed its available resources that are currently being used, and those that could be used, to provide language assistance. Notwithstanding the significant cuts in funding for public transportation service in the Sacramento urbanized area, and the resulting cuts in ADA-related transportation services, Paratransit, Inc. provides a reasonable degree of services for limited English speaking persons.

2.5 Interactions with the Limited English Proficiency Population

Paratransit, Inc. employs the following to ensure meaningful input is received:

- Paratransit's automated telephone answering system provides information in both English and Spanish, and calls are routed as appropriate to English or Spanish speaking call representatives.
- Paratransit ensures that staff or contract interpreters are available to work with customers who speak Spanish, Vietnamese, Russian, Hmong and Chinese.
- Paratransit, Inc. works with organizations such as the ACC Senior Services and the Hmong Heritage Center to recruit translators as needed for public presentations and mobility training sessions.

When Paratransit, Inc. staff makes community presentations to groups whom they know in advance are limited English speakers, Paratransit staff will hire an interpreter to translate information from the presentation to meeting attendees.

- When customers communicate with Paratransit, Inc. and state a language preference, requested materials are provided in the requested language.
- Notices that are posted on the Paratransit, Inc. vehicles are provided in English and Spanish, as drivers most frequently interact with Spanish-speaking individuals. Paratransit, Inc. provides these notices to other limited-English speaking customers upon request.
- Paratransit, Inc. relies on council members and community leaders who have close ties to their respective LEP constituents. The council member or community leader can act as a trusted messenger to help facilitate conversations between Paratransit, Inc. and the LEP community.

2.6 LEP Training and Implementation by Paratransit, Inc. staff

Paratransit, Inc. employs the following to ensure meaningful input is received:

- When new hires start employment, Paratransit, Inc. management distributes an Administrative Handbook that contains all Paratransit, Inc. policies and procedures. The Administrative Handbook will be updated to include Paratransit, Inc.'s policy on outreach to and communication with limited-English speaking persons.
- As new policies/procedures are developed, or existing policies/procedures are amended, these new documents are distributed to affected employees through various methods, including but not limited to paper distribution, electronic documents, postings in employee break rooms, and scheduled group or individual training sessions.

• Vehicle operators, who are the most direct point of contact for LEP persons, have several methods to respond to an LEP individual. In many instances, LEP individuals are accompanied by a companion who speaks English and can translate for the customer. In addition, many vehicle operators are bilingual. If vehicle operators are not bilingual, they are instructed to ask for assistance from a bilingual passenger. In the few cases where there is no one on the bus who can offer language assistance when needed, the vehicle operator contacts dispatch, and a supervisor is sent to the bus to assist.

2.7 Safe Harbor Provisions

The Safe Harbor requirements state, "if a recipient provides written translation of vital documents for each eligible LEP language group that constitutes five percent (5%) or 1,000 persons, whichever is less, of the total population of persons eligible to be served or likely to be affected or encountered, then such action will be considered strong evidence of compliance with the recipient's written translation obligations. Translation of non-vital documents, if needed, can be provided orally."

Based on the Four Factor analysis, as described above, Paratransit, Inc. has identified the following documents to be made available:

- Paratransit, Inc. Policy Statement of Non-Discrimination and Title VI Civil Rights Protections
- 2. Title VI Facility and Vehicle Notifications
- 3. Paratransit, Inc. Implementation Procedure for Policy on Nondiscrimination and Title VI Civil Rights Protection
- 4. Paratransit, Inc. Title VI Complaint Procedure

2.8 Monitoring, Evaluation and Updates to the plan

The Paratransit, Inc. Title VI program and Language Assistance Plan are designed to be living documents that are updated accordingly. Paratransit, Inc. monitors our services and service area statistics:

1. Through contact with our passengers both on-board and in the call

center

- 2. Through updated American Community Survey data
- 3. Through formal comments obtained by the public and local officials
- 4. Through active engagement in the regulatory process and monitoring of updates to regulations and best practices
- 5. Through outreach in our travel training program with partner agencies on their changing customer demographics.

Based on the information received, Paratransit, Inc. reviews all comments and updates the plan and outreach documents accordingly. All data is reviewed as needed and at a minimum, a new plan is updated and adopted by the Board every three years.

2.9 Committee and Board Composition

Committee and Board Composition Requirement: Recipients that have transit-related, non-elected planning boards, advisory councils or committees or similar bodies, the membership of which is selected by the recipient, must provide a table depicting the racial breakdown of the membership of those committees and a description of efforts made to encourage the participation of minorities on such committees or councils.

Policy: Paratransit, Inc. does not have any non-elected planning boards, advisory councils or committees, or similar bodies.

2.10 Construction Projects

Requirement: If the recipient has constructed a facility, such as a vehicle storage facility, maintenance facility, operation center, etc., the recipient shall include a copy of the Title VI equity analysis conducted during the planning stage with regard to the location of the facility.

Title 49 CFR Section 21.9 (b)(3) states, "In determining the site or location of facilities, a recipient or applicant may not make selections with the purpose or effect of excluding persons from, denying them the benefits of, or subjecting them to discrimination under any program to which this regulation applies, on the ground of race, color or national origin."

Title 49 CFR part 21, Appendix C, Section (3) (iv) provides, "The location of

projects requiring land acquisition and the displacement of persons from their residences and businesses may not be determined on the basis of race, color or national origin."

For the purposes of this requirement, "facilities" does not include bus shelters, as these are transit amenities and are covered in Chapter IV of Circular 4702.1B, nor does it include transit stations, power substations, etc., as those are evaluated during project development and the CEQA and NEPA processes. Facilities included in this provision include, but are not limited to, storage facilities, maintenance facilities, operations centers, etc.

Policy: Paratransit, Inc. has a process in place to identify and monitor these projects in the planning and project development phases to ensure that the proper analysis is conducted. Paratransit, Inc. did not have any construction projects, as defined by this regulation, during the time since the last program submittal.

2.11 Subrecipient Monitoring

Recipients shall include a narrative or description of efforts used to ensure subrecipients are complying with Title VI, as well as a schedule of subrecipient Title VI program submissions.

Policy: Paratransit, Inc. does not have any pass-through agreements with subrecipients and no such agreements are expected during the term of this Title VI plan.

2.12 Board Approval

Requirement: A copy of board meeting minutes, resolution, or other appropriate documentation showing the Board of Directors reviewed and approved the Title VI program must be included.

Policy: This Title VI update will be posted to the Paratransit, Inc. website once approved by Paratransit, Inc. and is scheduled to go to the Board of Directors at its June 2022 meeting.

2.13 Required Submission of the Title VI Program

To ensure compliance with 49 CFR Section 21.9 (b), FTA requires that all

recipients document their compliance by submitting a Title VI program to FTA's regional civil rights officer once every three years.

3 Description of Service

Paratransit, Inc. funds and provides demand-responsive services to individuals for the General Public . Paratransit, Inc. uses its revenues to provide service to the public. The following is a description of the current services offered:

Mobility Training

Paratransit, Inc. offers training on how to ride the local fixed route and light rail service at no cost to the individual. Training includes help planning how to get to and from favorite destinations and one-on-one training riding with passengers on the bus until they can navigate independently on their own. Because there may be non-ADA denials, Paratransit, Inc. encourages anyone who wants to learn how to ride to take this free training. Companions are also eligible to receive training along with Paratransit passengers.

4 General Reporting Requirements

Chapter IV of FTA Circular 4702.1B speaks to the general reporting requirements required of recipients of FTA funding and its subrecipients to ensure that their activities comply with the DOT Title VI regulations and/or the DOT Order on Environmental Justice and the DOT Guidance on Limited English Proficiency (LEP). Reporting requirements covering nine general areas are identified in this chapter. Summaries of these requirements and Paratransit Inc.'s efforts in meeting them are outlined below.

4.1 Annual Title VI Assurance

Applicants shall submit their annual Title VI assurance as part of their annual Certification and Assurances submission to FTA. Recipients shall collect Title VI assurances from subrecipients prior to passing through FTA funds (these Title VI assurances can be submitted as part of a standard list of

assurances provided by subrecipients to their direct recipient).

Paratransit, Inc. annually submits its Certifications and Assurances to both the California Department of Transportation (Caltrans), Division of Mass Transportation, as a subrecipient of Section 5310 funds and to the Sacramento Regional Transit District as a subrecipient of Section 5307, 5309 and 5339 funds. The Executive Director and Chief Legal Counsel sign the annual Certifications and Assurances document and submit it with Paratransit, Inc.'s Section 5310 applications to Caltrans. Paratransit, Inc.'s latest signed copy of the Certifications and Assurances is included in this document as Appendix 1.

4.2 Notifying Beneficiaries of Protection

In order to comply with 49 CFR Section 21.9 (d), recipients and subrecipients shall provide information to beneficiaries regarding their Title VI obligations and appraising beneficiaries of the protections against discrimination afforded to them by Title VI.

Paratransit, Inc. has established a Policy Statement, per Title VI, for those who are benefiting from services, and/or contracts, funded with federal assistance and has made that Policy Statement available to the public. This Policy Statement addresses Paratransit, Inc.'s commitment to avoiding discrimination on the basis of race, color or national origin. In addition, Paratransit, Inc. has developed an Implementation Procedure and Complaint Process that provides the following additional information:

- A description of Title VI and the civil rights protections it affords
- Instructions on how to file a Title VI complaint
- A description of the process for handling complaints and notifying the complainant
- A description of who can file complaints and where to file them.

Paratransit's "Policy Statement on Non-Discrimination and Title VI Civil Rights Protections," which includes a public notification of rights, is shown in Appendix 2. All of these documents can be translated into various languages upon request. In addition, Paratransit's Title VI Policy Statement and Implementation Procedure are included on Paratransit's web site at

www.paratransit.org

Appendix 1

FY 2022 Certifications and Assurances Executed by Paratransit, Inc.

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. Refer to FTA's accompanying Instructions document for more information.

Text in italics is guidance to the public. It does not have the force and effect of law, and is not meant to bind the public in any way. It is intended only to provide clarity to the public regarding existing requirements under the law or agency policies.

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;
 - (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 subagreements.
- (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 § 200.324, allow a recipient to self-certify that its procurement system complies with Federal requirements, in lieu of submitting to certain pre-procurement reviews.

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 §§ 200.317–200.326 "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.

1.4. 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;
- (d) Has not, within the preceding three years, had one or more public transactions (Federal, State, or local) terminated for cause or default.

1.5. Coronavirus Response and Relief Supplemental Appropriations Act, 2021, and CARES Act Funding.

The applicant certifies:

- (a) To the maximum extent possible, funds made available under title IV of division M of the Consolidated Appropriations Act, 2021 (Public Law 116–260), and in title XII of division B of the CARES Act (Public Law 116–136; 134 Stat. 599) shall be directed to payroll and operations of public transit (including payroll and expenses of private providers of public transportation); or
- (a) The applicant certifies that the applicant has not furloughed any employees.

1.6. American Rescue Plan Act Funding.

The applicant certifies:

- (a) Funds made available by Section 3401(a)(2)(A) of the American Rescue Plan Act of 2021 (Public Law 117-2) shall be directed to payroll and operations of public transportation (including payroll and expenses of private providers of public transportation); or
- (b) The applicant certifies that the applicant has not furloughed any employees.

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 pursuant to 49 CFR § 673.11(d). This certification is required by 49 U.S.C. § 5329(d)(1) and 49 CFR § 673.13.

This certification does not apply to any applicant that receives financial assistance from FTA exclusively 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.

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.

If the applicant is a State, the applicant certifies that:

- (a) It has drafted a public transportation agency safety plan for each small public transportation provider within 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 has a public transportation agency safety plan that has been approved by the provider's Accountable Executive (as that term is defined at 49 CFR § 673.5) and Board of Directors or Equivalent Authority (as that term is defined at 49 CFR § 673.5).

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, 2021, Pub. L. 116-260, div. E, title 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. 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.

4.1. 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.

4.2. 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.

CATEGORY 5. 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.

5.1. 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.

5.2. 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 6. 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 7. ROLLING STOCK BUY AMERICA REVIEWS AND BUS TESTING.

7.1. 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.

7.2. 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 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 8. 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 9. 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. § 5310(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 10. 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 11. 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 8 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 9 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 8 or Category 9.

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 subsection (c)(1)) or related infrastructure under subsection (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 12. 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 8 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 8, except that FTA has determined that (d), (f), (i), (j), and (k) of Category 8 do not apply to awards made under 49 U.S.C. § 5310 and will not be enforced.

In addition to the certification in Category 8, 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 13. 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 14. 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 8 for the Urbanized Area Formula Grants Program, Category 10 for the Fixed Guideway Capital Investment Grants program, and Category 13 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 8, 10, and 13 by reference.

CATEGORY 15. 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 16. 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, "Sate Safety Oversight".

CATEGORY 17. 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 18. 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 19. 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), a new subsection added by the National Defense Authorization Act for Fiscal Year 2020, Pub. L. 116-92, § 7613 (Dec. 20, 2019). 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 20. 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 Category 21, 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 05.1 and 05.2 (Charter Service Agreement and School Bus Agreement),
 - (2) Category 06 (Transit Asset Management Plan),

- (3) Category 07.1 and 07.2 (Rolling Stock Buy America Reviews and Bus Testing),
- (4) Category 09 (Formula Grants for Rural Areas),
- (5) Category 15 (Alcohol and Controlled Substances Testing), and
- (6) Category 17 (Demand Responsive Service).

CATEGORY 21. 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.

FEDERAL FISCAL YEAR 2022 CERTIFICATIONS AND ASSURANCES FOR FTA ASSISTANCE PROGRAMS

(Signature pages alternate to providing Certifications and Assurances in TrAMS.) Name of Applicant: The Applicant certifies to the applicable provisions of all categories: (*check here*) Or. The Applicant certifies to the applicable provisions of the categories it has selected: Category Certification Certifications and Assurances Required of Every Applicant 01 02 Public Transportation Agency Safety Plans 03 Tax Liability and Felony Convictions 04 Lobbying **Private Sector Protections** 05 06 Transit Asset Management Plan 07 Rolling Stock Buy America Reviews and Bus Testing 08 Jrbanized Area Formula Grants Program 09 Formula Grants for Rural Areas 10 Fixed Guideway Capital Investment Grants and the Expedited Project Delivery for Capital Investment Grants Pilot Program 11 Frants for Buses and Bus Facilities and Low or No Emission

⁷ehicle Deployment Grant Programs

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 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

Signature	Date:
Name	Authorized Representative of Applicant
AFFIRMATION OF APP	PLICANT'S ATTORNEY
For (Name of Applicant):	
As the undersigned Attorney for the above-named Applicant, under state, local, or tribal government law, as applicable, to a Assurances as indicated on the foregoing pages. I further affir Assurances have been legally made and constitute legal and be	make and comply with the Certifications and m that, in my opinion, the Certifications and
I further affirm that, to the best of my knowledge, there is no might adversely affect the validity of these Certifications and assisted Award.	
Signature	Date:
Name_	Attorney for Applicant

In signing this document, I declare under penalties of perjury that the foregoing Certifications and Assurances, and

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.

Appendix 2

Paratransit, Inc. Policy Statement of Non-Discrimination and Title VI Civil Rights Protections

Paratransit, Inc. Policy Statement on Non-Discrimination

Paratransit, Inc. treats its customers with respect, integrity and loyalty.

The Board of Directors of Paratransit, Inc. takes this opportunity to express one of its highest priorities in the area of operating federally-funded programs (i.e., employment and training, community services, etc.) This priority is assuring that administration of Paratransit, Inc., and federally-funded programs administered by Paratransit, Inc. operate with the common goal of providing equal opportunity to federally-funded staff and participants.

Paratransit, Inc. operates its programs without regard to race, color, creed, national origin, religion, sex, sexual preference, marital status, age, medical condition, or disability in accordance with Title VI of the Civil Rights Act, California Civil Code Section 51(b), or other applicable law. For more information, contact Paratransit, Inc.'s Administrative Office at (916) 429-2009 or email paratransit@paratransit.org.

Paratransit, Inc will take positive measures toward eliminating architectural barriers, artificial barriers and achieving equal opportunity through its continued implementation of its Affirmative Action Program. Paratransit, Inc. will also take positive measures to accomplish its objectives of the program and to ensure that no person is discriminated against because of sex, age, race, creed, handicap, religion, national origin, political affiliation or belief, or heritage.

The Board of Directors specifically prohibits any form of sexual harassment within Paratransit, Inc. or any federally-funded program. Any federally-funded staff member, participant, or applicant to a federally funded program who feels he or she has been discriminated against, should contact Paratransit, Inc.'s Equal Opportunity Officer/ADA Coordinator by telephone at (916) 429-2009 (TDD 429-2568; FAX 429-2409) or in writing at 2501 Florin Road, Sacramento, CA 95822.

Policy Statement on Title VI Civil Rights Protections

The Civil Rights Act of 1964, Title VI, states that, "No person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance."

Paratransit, Inc. is committed to complying with the requirements of Title VI in all of its federally funded programs and activities.

Filing a Title VI Complaint

Persons who believe that they have been aggrieved by an unlawful discriminatory practice under Title VI may file a complaint with Paratransit, Inc. For more information on filing a complaint, contact Paratransit, Inc.'s Administrative Office. Complaints must be in writing and must be filed within 180 days following the date of the alleged discriminatory occurrence.

Email: paratransit@paratransit.org

Phone: (916) 429-2009

Fax: (916) 429-2409

Mail: Paratransit, Inc.

Attn: Civil Rights Coordinator

2501 Florin Road

Sacramento, CA 95822

Appendix 3

Paratransit, Inc. Implementation Procedure for Policy on Nondiscrimination and Title VI Civil Rights Protection

Paratransit, Inc. Implementation Procedure for Policy on Nondiscrimination and Title VI Civil Rights Protection

1.0 Policy

The Board of Directors of Paratransit, Inc., takes this opportunity to express one of its highest priorities in the area of operating federally-funded programs (i.e., employment and training, community services, etc.). This priority is assuring that administration of Paratransit, Inc., and federally-funded programs administered by Paratransit, Inc., operate with the common goal of providing equal opportunity to federally-funded staff and participants.

Paratransit, Inc., will take positive measures toward eliminating architectural barriers and achieving equal opportunity through its continued implementation of its Affirmative Action Program. Paratransit, Inc., will also take positive measures to accomplish its objectives of the program and to ensure that no person is discriminated against because of sex, age, race, creed, color, handicap, religion, national origin, sexual orientation, political affiliation or belief, or heritage, per the Civil Rights Act of 1964 (as outlined in Title VI of the Act). The Board of Directors also specifically prohibits any form of sexual harassment within Paratransit, Inc., or any federally-funded program.

2.0 Applicability

This policy applies to any staffmember of, participant in, or applicant to any federally-funded program operated or administered by Paratransit, Inc.

- **2.1** The Paratransit, Inc., Civil Rights Coordinator is designated to coordinate and investigate allegations of noncompliance with the Policy on Nondiscrimination and Title VI Civil Rights Protections.
- **2.2** Information regarding this policy may be obtained from the Civil Rights Coordinator *Via* telephone: Voice: (916) 429-2009 Ext. 302; TDD: 429-2568; FAX: 429-2409.

Paratransit, Inc. Implementation Procedure for Policy on Nondiscrimination and Title VI Civil Rights Protection

3.0 **Grievance Procedure**

- 3.1 Allegations of noncompliance with this policy shall be signed by the applicable person and mailed to the address below within 180 days of the date of the alleged discrimination. The written allegation must contain the following information:
 - Your name, address, and how to contact you (i.e. phone number, email address, etc)
 - · How, when, where, and why you believe you were discriminated against. Include the location, names, and contact information of any witnesses.

This information should provide sufficient detail to help the designated investigator find a prompt and equitable resolution, and, if applicable, the specific remedy sought by the grievant.

The complaint may be filed through several methods:

In writing: Paratransit, Inc.

Civil Rights Coordinator

P.O. Box 231100

Sacramento, California 95823-0401

Download and Complete a Printable Form: Online at www.paratransit.org as a PDF document.

Email:

paratransit@paratransit.org

By Phone: (916) 429-2009

By Fax:

(916)429-2409

By TTD:

(916) 429-2568

Complaint Assistance: Paratransit staff will assist in writing a complaint if the complainant is unable to do so.

Complainants may also file a Title VI complaint with an external entity such as the FTA, other federal or state agency, or a federal or state court. However, should a complaint be filed with the City and an external entity simultaneously, the external complaint will supersede the City's complaint

Paratransit, Inc. Implementation Procedure for Policy on Nondiscrimination and Title VI Civil Rights Protection

and the City's complaint procedures will be suspended pending the external entity's findings.

The complainant also will be advised of his/her right to appeal the response to federal and state authorities as appropriate. The City will use its best efforts to respond to a Title VI complaint within sixty (60) working days of its receipt of such a complaint, unless a complaint is filed with the City and an external entity simultaneously as noted previously.

In addition to the complaint process at the City, a complainant may file a Title VI complaint with the:

U.S. Department of Transportation Federal Transit Administration Office of Civil Rights, Region IX 201 Mission Street, Suite 1650 San Francisco, California 94105-1839.

- 3.2 The following definitions control the timelines of this grievance procedure:
 - 3.2.1 The day of receipt by Paratransit, Inc., of the allegation shall be the File Date of the allegation.
 - 3.2.2 A business day is a day when the Paratransit, Inc., administrative office is open, which is between 8:00 a.m. and 5:00 p.m. Monday through Friday, excluding holidays.
- 3.3 If the allegation details are sufficient, the allegation shall be immediately investigated and a response shall be mailed to the grievant within thirty (30) business days after the File Date.
- 3.4 If the allegation details are insufficient, the grievant shall be notified in writing within fifteen (15) business days after the File Date of the specific additional information needed to make it complete.
 - 3.4.1 If the grievant fails to provide the additional needed information within thirty (30) business days after the File Date, the grievance shall be closed.

Paratransit, Inc. Implementation Procedure for Policy on Nondiscrimination and Title VI Civil Rights Protection

3.4.2 If the grievant provides the additional information needed to complete the allegation. it shall be immediately investigated and a response shall be mailed to the grievant no later than sixty (60) business days after the File Date.

3.5 All written responses to allegations of discrimination shall undergo review by Paratransit, Inc., legal staff before being mailed to any grievant. Disciplinary actions administered to employees of Paratransit, Inc., resulting from this grievance procedure will not be divulged.

4.0 Notice

The Paratransit, Inc., Policy on Nondiscrimination and Title VI Civil Rights Protections shall be published in the Paratransit, Inc., **Policies Related to Individual Users of Paratransit's Service** as it may be amended from time to time. The Collective Bargaining Agreement Between Paratransit, Inc., and the Drivers' union contain a similar nondiscrimination policy applicable to both parties. This implementation procedure shall be provided upon request, in accessible formats as necessary, to applicable persons and other interested persons.

Attachment: Title VI Complaint Form

Appendix 4

Paratransit, Inc. languages Spoken at Home by Ability to Speak English for Population 5+ Years



Appendix 5 Notice to Public

Title VI

Title VI is a section of the Civil Rights Act of 1964 requiring that "No person in the United States shall on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance."

If you believe that you have received discriminatory treatment by Paratransit, Inc., on the basis of your race, color or national origin, you have the right to file a complaint with the Paratransit, Inc., Title VI Coordinator. For more information, call (916) 429-2009.

Titulo VI

Título VI es una sección de la ley de derechos civiles de 1964 que requieren que "ninguna persona en los Estados Unidos será por motivos de raza, color u origen nacional, excluida de la participación en, negarán los beneficios de o someterse a discriminar bajo cualquier programa o actividad que reciba asistencia financiera federal."

Si usted cree que ha recibido un trato discriminatorio por Paratransit, Inc., en base a su raza, color u origen nacional, usted tiene el derecho de presentar una queja con el Coordinador de Paratransit, Inc., título VI. Para obtener más información, llame al (916) 429-2009.