FTA Section 5311 DTR Operating Assistance Application Checklist *(Revised April 2015)*

District: _____ DTR: _____ Date application received: _____

County/Region: _____ Applicant Agency's Name: _____

Project Description: _____

☐ Operating Assistance Period covered: _____ to _____ FY ____ Federal Share $_____ Net Project Cost $_____

☐ **PART I** **Certifications and Assurances of the Subrecipient**
- ☐ General information accurate & complete.
- ☐ Certifying Representative - Original Signature and date.

☐ **PART II** **Certifications and Assurances of the Regional Transportation Planning Agency**
- ☐ General Information accurate & complete.
- ☐ Certifying Representative – Original Signature and date.
- ☐ The applicant is planning on utilizing Toll Credit or In-kind Match.

☐ **PART III** **Project Description – Operating Assistance**
- ☐ General Information accurate & complete.
- ☐ Service Operator (check one): ☐ **Subrecipient** (or) ☐ **THIRD PARTY OPERATOR**, if **THIRD PARTY OPERATOR**, provide the following information:
  - ☐ Service Operator Name: _____
  - ☐ Service Operator (Complete): Name, address, contact person, phone no., email _____
  - ☐ A copy of third-party contract between subrecipient & operator is provided with application.
  - ☐ Third-party agreement covers the entire **time period** requested under this project.
  - ☐ Third-party agreement covers **geographical area** identified in project description.
- ☐ Geographic service area is clearly identified.
- ☐ Type of service (i.e. fixed route, demand responsive) and service provider clearly identified?
- ☐ If the applicant receives both 5311 and 5307 funding, did they provide the cost allocation methodology and cost allocation plan?
- ☐ If the applicant utilizes 5311 funding for paratransit services, did they complete question #5 under project description?
- ☐ If the applicant contracts with a third party operator, did they attach third party contract, original RFP and Caltrans bid related documents approval letter to the application?
- ☐ If the applicant seeks a contract with a third party, did they attach a copy of bid related documents/vendor selection process and/or the estimate of when they would have these documents available?

☐ **PART IV** **Project Budget Worksheet – Operating Assistance (Subrecipient)**
- ☐ General Information accurate & complete.
- ☐ Direct Labor Costs are itemized.
- ☐ Equipment and Supplies Costs are itemized.
- ☐ Other Direct Costs are itemized.
- ☐ Travel Costs are itemized.
- ☐ Costs add up – (1+2+3+4+5=6)

☐ **PART V** **Project Budget Worksheet – Operating Assistance (Third Party Operator)**
- ☐ General Information accurate & complete.
- ☐ Required information (third party contract #, total amount, the type of contract) is provided.

☐ **PART VI** **Project Budget – Operating Assistance**
- ☐ General Information accurate & complete.
- ☐ Local share itemized by source type & amount.

- Source of local share is NOT from federal funds.
- Federal share is within allowable percentage by program.
- Item 7- Budget adds up – Local Share + Federal Share = Net Project Cost (NPC)

PART VII **Labor Union Information for Section 13c Certification**

- Subrecipient is identified.
- Other operators in the service are listed (if applicable).
- Union Representation of Employee is indicated (if applicable).
- Email address is provided.

PART VIII **Coordination of Services with Social Service Agencies**

- General Information accurate & complete.
- Statement documents efforts to notify agencies of the proposed project and to determine the possible coordination and establishment of service agreements.

PART IX **Transit Security and Emergency Preparedness**

- General Information accurate & complete.
- Vehicle inventory is provided.

PART X **Civil Rights**

- A statement that NO lawsuits or complaints were received is indicated on Part VIII form (OR)
- A description of any lawsuits or complaints that have been received or acted on in the last year regarding Title VI or other relevant civil rights requirements was provided.
- Provided a status of lawsuits or an explanation of how complaints were resolved including corrective actions taken.
- Title VI reporting is up to date.

PART XI **DBE**

- General Information accurate & complete.
- Subrecipient's processes for handling protests are indicated.

PART XII **Charter Bus**

- General Information accurate & complete

Additional Documents:

- FTA Annual Certs & Assurance
- Copy of POP
- Procurement related documents (RFP, Bids, Third Party Agreement, Caltrans Approval Ltr, etc)
- Cost Allocation methodology (for 5311 agencies that operate within 5307 urban areas)/Indirect Cost Allocation Plan (if applicable)
- Copy of FHWA/FTA Federal Approved TIP
- ADA Complementary Paratransit Plan
- Copy of EEO
- Authorizing Resolution (Part XIII)
- PDF copy of Drug & Alcohol Policy
- Exhibit E Special 5333(b) Warranty

DTR's Comments

Application is complete: HQs RTIB to prepare the standard agreement.

Application reviewed by:

District Transit Representative (DTR) Signature | Phone number | Date

District Transit Representative (DTR) Name (Print)