

FTA Section 5311 DTR Operating Assistance Application Checklist *(revised April 2014)*

District: _____ DTR: _____ Date application received: _____

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

Project Description: _____

	Federal Share	Net Project Cost
— Operating Assistance Period covered:		
_____ to _____ FY _____	\$ _____	\$ _____

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 (circle 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 ltr 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 report 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 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)

DTR's

Comments: _____

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

Application reviewed by:

District Transit Representative (DTR) Signature Phone number Date