

**SFY201-2019**  
(FFY2018)  
**LEGAL & AUTHORIZING SIGNATURES**  
*Updated February 23, 2018*

**Office of Public Transit**

**Signature of Authorization Form**  
**STATE MASS TRANSIT FUNDS APPLICANTS**

Agency Name:	Telephone: Web Address:
Primary Mailing Address/City/State/Zip:	Secondary Address/City/State/Zip:
Federal ID Number:	DUNS:

**Contractual Agreements**

Shown below are original signatures of individuals authorized to sign contractual agreements for this agency.

Name:  
Title:  
Email:  
Phone:

\_\_\_\_\_  
Print or Type Name, Title & Email

\_\_\_\_\_  
Original Signature and Date

Name:  
Title:  
Email:  
Phone:

\_\_\_\_\_  
Print or Type Name, Title & Email

\_\_\_\_\_  
Original Signature and Date

Name:  
Title:  
Email:  
Phone:

\_\_\_\_\_  
Print or Type Name, Title & Email

\_\_\_\_\_  
Original Signature and Date

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**Authorization to Access Electronic System**  
**SMTF APPLICANTS**

Shown below are original signatures of individuals authorized to access the Office of Public Transit electronic system(s) to initiate and approve documents for this agency.

**Preparers:**

Name:  
Title:  
Email:  
Phone:

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Print or Type

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Original Signature and Date

Name:  
Title:  
Email:  
Phone:

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Print or Type Name, Title & Email

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Original Signature and Date

Name:  
Title:  
Email:  
Phone:

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Print or Type Name, Title & Email

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Original Signature and Date

**Approvers:**

Name:  
Title:  
Email:  
Phone:

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Print or Type Name, Title & Email

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Original Signature and Date

Name:  
Title:  
Email:  
Phone:

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Print or Type Name, Title & Email

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Original Signature and Date

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**(SMTF APPLICANTS)**

**RESOLUTION BY BOARD OF DIRECTORS TO APPLY FOR FUNDING**

The Board of Directors of \_\_\_\_\_  
(agency)

is aware of the provisions of Federal Transit Administration (FTA) program fund requirements for each application it makes to the state of South Carolina for Federal and/or State funding and hereby authorizes \_\_\_\_\_ (\*authorized representative) of \_\_\_\_\_ (Agency) to file application with the South Carolina Department of Transportation (SCDOT) on behalf of \_\_\_\_\_ (agency) for federal and/or state funding to assist in providing community and/or human services transportation services. If this application is approved:

- (1) The Board resolves that the \_\_\_\_\_ (agency) will provide the required match for the capital, operations and administrative charges, the necessary insurance coverage as required under the agreement, and all necessary local match for operating losses; and
- (2) The Board agrees to comply with all FTA and SCDOT Program statutes and regulations, directives, certifications and assurances to carry out the project as described in the application.

***\*Note that Authorized Representative and Witness MUST be 2 separate individuals (2 different names).***

**APPROVED AND ADOPTED**

This \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\* \_\_\_\_\_  
**Signature of Attesting Witness**

\_\_\_\_\_  
**Signature of Chairperson**

\_\_\_\_\_  
**Printed Name of Attesting Witness**

\_\_\_\_\_  
**Printed Name of Chairperson**

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**(SMTF APPLICANTS)**

**ATTORNEY'S CERTIFICATION**  
**FOR**  
**APPLICANT TO APPLY FOR FUNDING**

I have examined the (charter, articles of incorporation, enabling legislation, etc.) under which

\_\_\_\_\_ (*agency*) is legally eligible to apply for funding under Federal Transit Administration statutes and regulations, directives, certifications and assurances. It is my opinion that \_\_\_\_\_ (*agency*) can legally enter into contracts with the State of South Carolina for the purpose of carrying out the proposed program(s) and meets the eligibility requirements of funded grant programs.

\_\_\_\_\_  
*Signature of Attorney*

\_\_\_\_\_  
*Printed Name of Attorney*

\_\_\_\_\_  
*Date*

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**CERTIFICATION**  
**OF**  
**RESTRICTIONS ON LOBBYING**  
**SMTF APPLICANTS**

I, \_\_\_\_\_  
*(Name and title of authorized official)*

hereby certify to the South Carolina Department of Transportation, on behalf of \_\_\_\_\_ that:  
*(Name of Agency)*

1. 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 a Federal department or agency, a Member of the U.S. Congress, an officer or employee of the U.S. Congress, or an employee of a Member of the U.S. 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 thereof.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to 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 (as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (11/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at Title 2 USC section 1601: et seq.)).
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients 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 Title 31 USC Section 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

This certification is a material representation of fact upon which reliance is 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 Title 31 USC Section 1352. 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.

\_\_\_\_\_  
*Signature/Title of Authorized Representative*

\_\_\_\_\_  
*Printed Name/Title of Authorized Representative*

\_\_\_\_\_  
*Date*

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**CERTIFICATION REGARDING DEBARMENT, SUSPENSION,  
AND OTHER RESPONSIBILITY MATTERS—  
PRIMARY COVERED TRANSACTIONS**

**SMTF APPLICANTS**

The Applicant/Subrecipient under this FTA project \_\_\_\_\_  
(Name of Agency)

certifies to the best of its knowledge and belief, that it and its principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
- (b) Have not, within a three-year period preceding this proposal, been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and have not, within a three year period preceding this application/proposal, had one or more public transactions (Federal, State or local) terminated for cause or default;
- (d) Have not, within a three year period preceding this application/proposal, had one or more public transactions (Federal, State or local) terminated for cause or default.

Subrecipient will review the U.S. GSA "System for Award Management," <https://www.sam.gov>, if required by U.S. DOT regulations, 2 C.F.R. part 1200, and

(a) It will include, and require each Third Party Participant to include, a similar provision in each lower tier covered transaction, ensuring that each lower tier Third Party Participant:

- 1. Will comply with Federal debarment and suspension requirements, and
- 2. Reviews the "System for Award Management (SAM)" at <https://www.sam.gov>, if necessary to comply with U.S. DOT regulations, 2 C.F.R. part 1200

(If the applicant/subrecipient is unable to certify to any of the statements in this certification, such Grantee shall attach an explanation to this certification).

THE APPLICANT/SUBRECIPIENT,

\_\_\_\_\_  
(Name of Agency)

CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION AND UNDERSTANDS THAT THE PROVISIONS OF TITLE 49 CFR PART 29 AND FTA CIRCULAR 2015.1 ARE APPLICABLE THERETO.

\_\_\_\_\_  
*Signature/Title of Authorized Representative*

\_\_\_\_\_  
*Printed Name/Title of Authorized Representative*

\_\_\_\_\_  
*Date*

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**CERTIFICATION REGARDING DEBARMENT, SUSPENSION,  
INELIGIBILITY AND VOLUNTARY EXCLUSION –  
LOWER-TIER COVERED TRANSACTIONS**

**SMTF APPLICANTS**

The Applicant/Subrecipient under this FTA project \_\_\_\_\_  
(Name of Agency)

certifies to the best of its knowledge and belief, that it and its prospective lower-tier participants:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency;
- (b) if the prospective lower-tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this certification.
- (c) that subrecipient will review the "System for Award Management (SAM)" at <https://www.sam.gov>, to ensure that lower-tier participants are not debarred or suspended, if necessary to comply with U.S. DOT regulations, 2 C.F.R. part 1200

THE APPLICANT/SUBRECIPIENT,

\_\_\_\_\_  
(Name of Agency)

CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION AND UNDERSTANDS THAT THE PROVISIONS OF TITLE 49 CFR PART 29 AND FTA CIRCULAR 2015.1 ARE APPLICABLE THERETO.

\_\_\_\_\_  
*Signature/Title of Authorized Representative*

\_\_\_\_\_  
*Printed Name/Title of Authorized Representative*

\_\_\_\_\_  
*Date*

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**TITLE VI PROGRAM REPORT**

**SMTF APPLICANTS**

**Reporting Period: July 1, 2016 – Present**

Legal Name of Applicant: \_\_\_\_\_

I certify that to the best of my knowledge that **no complaints or lawsuits** alleging discrimination have been filed against the applicant during the reporting period.

**OR**

The following Title VI **complaints or lawsuits alleging discrimination have been filed with the applicant** during the reporting period:

Complainant Name/Address/Telephone Number	Date	Description	Contacted SCDOT Title VI Office? (Y/N) and Date	Status/Outcome

*(Attach an additional page if required.)*

**I certify that to the best of my knowledge that the statement above is true and correct for the requested reporting period.**

\_\_\_\_\_  
*Signature/Title of Authorized Representative*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Printed Name/Title of Authorized Representative*



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**STATEMENT**  
**REGARDING THE MAXIMUM UTILIZATION OF**  
**DISADVANTAGED BUSINESSS ENTERPRISES (DBEs)**

**SMTF APPLICANTS**

To the extent authorized by applicable Federal law and regulation, the applicant agrees to facilitate, and assures that each Third Party Participant will facilitate participation by small business concerns owned and controlled by socially and economically disadvantaged individuals, also referred to as “Disadvantaged Business Enterprises” (DBEs), in the Project.

THE APPLICANT expresses its commitment to use SCDOT Certified DBEs in all aspects of contracting to the maximum extent feasible. The goals will be set and incorporated into your grant agreement.

THE APPLICANT or its contractors shall take all necessary and reasonable steps in accordance with 49 CFR Part 26 to ensure that certified DBEs have the maximum opportunity to compete for and perform contracts.

THE APPLICANT will make every effort to locate certified DBEs and purchase materials and services for use in the applicant’s grant. THE APPLICANT shall document the steps it intends to take and has taken to obtain DBE participation.

THE APPLICANT is advised that should they find responsible and responsive certified DBEs from which they can purchase these materials or services it will then ensure and affirm that the DBE firm is eligible to receive payment through this grant agreement. SCDOT will make available names of DBEs, that they have certified, that have the capability to furnish these materials (published as the [SCDOT Unified DBE or SBE Directory](#)).

All bidders, proposers and contractors will receive notice of THE APPLICANT’S commitment to the DBE through mail-outs and pre-bid notifications. DBE participation will be a factor in awarding contracts and will be monitored during the performance of the contract.

The APPLICANT is responsible for submitting DBE quarterly reports to SCDOT as required for all applicable Federal programs administered and awarded by SCDOT. Supporting documentation for DBE quarterly reports shall be retained by the applicant for a period of three (3) years following closeout of the contract.

Failure to carry out the requirements set forth in 49 CFR Part 26 shall constitute a breach of contract and, after the notification to FTA and the SCDOT Office of Public Transit, may result in termination of the grant agreement by SCDOT or such remedy as SCDOT deems appropriate.

\_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Title of Authorized Official

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**DBE GOOD FAITH EFFORTS CERTIFICATION**  
**SMTF APPLICANTS**

This is to certify that in all purchase and contract selections the Applicant is committed to and shall make good faith efforts to purchase from and award contracts to Disadvantaged Business Enterprises (DBEs).

**DBE good faith efforts will include the following items that are indicated by check mark(s) or narrative:**

- Write a letter to Certified DBEs in the service area to inform them of purchase or contract opportunities;
- Document telephone calls, emails and correspondence with or on behalf of DBEs;
- Advertise purchase and contract opportunities on local TV Community Cable Network;
- Request purchase/contract price quotes/bids from DBEs;
- Monitor newspapers for new businesses that are DBE eligible;
- Encourage interested eligible firms to become SCDOT certified. Interested firms should contact the SCDOT Office of Business Development and Special Programs (DBE Program Development Unit);
- Consult [SCDOT Unified DBE or SBE Directory](#). A DBE company will be listed in the DBE Directory for each work type or area of specialization that it performs. You may obtain a copy of this Directory at
- Other efforts: Describe: \_\_\_\_\_

Documentation of all good faith efforts shall be retained by the applicant for a period of five (5) years.

I certify that, to the best of my knowledge, the above information describes the DBE good faith efforts of:

\_\_\_\_\_  
*Agency Name*

\_\_\_\_\_  
*Signature/Title of Authorized Representative*

\_\_\_\_\_  
*Printed Name/Title of Authorized Representative*

\_\_\_\_\_  
*Date*

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**Other Provisions**

**ETHICS ACT**

By submitting an application, the Applicant certifies that they have and will comply with, and have not, and will not, induce a person to violate Title 8, Chapter 13 of the South Carolina Code of Laws, as amended (ethics act). The following statutes require special attention: Section 8-13-700, regarding use of official position for financial gain; Section 8-13-705, regarding gifts to influence action of public official; Section 8-13-720, regarding offering money for advice or assistance of public official; Sections 8-13-755 and 8-13-760, regarding restrictions on employment by former public official; Section 8-13-775, prohibiting public official with economic interests from acting on contracts; Section 8-13-790, regarding recovery of kickbacks; Section 8-13-1150, regarding statements to be filed by consultants; and Section 8-13-1342, regarding restrictions on contributions by contractor to candidate who participated in awarding of contract. The state may rescind any contract and recover all amounts expended as a result of any action taken in violation of this provision. If contractor participates, directly or indirectly, in the evaluation or award of public contracts, including without limitation, change orders or task orders regarding a public contract, contractor shall, if required by law to file such a statement, provide the statement required by Section 8-13-1150 to the procurement officer at the same time the law requires the statement to be filed. [02-2A075-2]

**QUALIFICATION OF APPLICANT**

To be eligible for award of a contract, a prospective recipient of State funds must be responsible. In evaluating an Applicant's responsibility, the State Standards of Responsibility [R.19-445.2125] and information from any other source may be considered. An Applicant must, upon request of the State, furnish satisfactory evidence of its ability to meet all contractual requirements. Unreasonable failure to supply information promptly in connection with a responsibility inquiry may be grounds for determining that an Agency is ineligible to receive an award. S.C. Code Section 11-35-1810.

**QUALIFICATIONS – REQUIRED INFORMATION**

In order to evaluate an Applicant's responsibility, the Applicant may, at the request of SCDOT, submit the following information or documentation for itself and any subcontractor, if the value of subcontractor's portion of the work exceeds 10% of the Operating expenses:

- (a) Include a brief history of the Applicant's experience in providing work of similar size and scope.
- (b) Applicant's most current financial statement, financial statements for your last two fiscal years, and information reflecting your current financial position. If you have audited financial statements meeting these requirements, you must provide those statements. [Reference Statement of Concepts No. 5 (FASB, December, 1984)]
- (c) List of failed projects, suspensions, debarments, and significant litigation.

**CERTIFICATION REGARDING DEBARMENT AND OTHER RESPONSIBILITY MATTERS**

(a)(1) By submitting an Application, Applicant certifies, to the best of its knowledge and belief, that-

(i) Applicant and/or any of its Principals-

- (A) Are not presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any state or federal agency;
- (B) Have not, within a three-year period preceding this offer, been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) contract or subcontract; violation of Federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, or receiving stolen property; and
- (C) Are not presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in paragraph (a)(1)(i)(B) of this provision.

(ii) Applicant has not, within a three-year period preceding this offer, had one or more contracts terminated for default by any public (Federal, state, or local) entity.

(2) "Principals," for the purposes of this certification, means officers; directors; owners; partners; and, persons having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a subsidiary, division, or business segment, and similar positions).

(b) Applicant/Subrecipient shall provide immediate written notice to SCDOT if, at any time prior to contract award, Applicant/Subrecipient learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

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(c) If Applicant/Subrecipient is unable to certify the representations stated in paragraphs (a) (1), Applicant/Subrecipient must submit a written explanation regarding its inability to make the certification. The certification will be considered in connection with a review of the Applicant/Subrecipient's responsibility. Failure of the Applicant/Subrecipient to furnish additional information as requested by the State may render the Applicant/Subrecipient non-responsible.

(d) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by paragraph (a) of this provision. The knowledge and information of an Applicant/Subrecipient is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

(e) The certification in paragraph (a) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Applicant/Subrecipient knowingly or in bad faith rendered an erroneous certification, in addition to other remedies available to the State, SCDOT may terminate the contract resulting from this solicitation for default.

**SUBCONTRACTOR – IDENTIFICATION**

If you intend to subcontract with another business for any portion of the work/project and that portion exceeds 10% of your Operating expenses, your application must identify that business and the portion of work which they are to perform. Identify potential subcontractors by providing the business' name, address, phone, taxpayer identification number, and point of contact. In determining your responsibility, the state may evaluate your proposed subcontractors.

**DRUG AND ALCOHOL TESTING.** Applicants or subrecipients that receive only Section 5310 program assistance are not subject to FTA's drug and alcohol testing rules, but must comply with the Federal Motor Carrier Safety Administration (FMCSA) rule for all employees who hold commercial driver's licenses (49 CFR part 382).

Section 5310 recipients and subrecipients that also receive funding under one of the covered FTA programs (Section 5307, 5309, or 5311) should include any employees funded under Section 5310 projects in their testing program.

An FTA compliant testing program, as required by the receipt of FTA operating or capital funding (5307, 5309, 5311), may be used for Section 5310 employees; there is no need to have separate testing programs. Employees of a subrecipient of Section 5310 funds from a state or designated recipient of another FTA program (e.g., 5307 or 5311) should also be included in the designated recipient's testing program.

**DRUG-FREE WORKPLACE**

The Drug-Free Workplace Act of 1988, as well as Section 44-107-30, S.C. Code of Laws (1976), as amended, requires all grantees receiving grants from any federal or state agency to certify they will maintain a drug-free workplace.

**BUDGET ADJUSTMENTS**

(1) Method of Adjustment. Any adjustment in the contract price shall be consistent with the awarded Contract Scope/Project; Is dependent upon the availability of SCDOT-Administered SMTF; and shall be arrived at through whichever one of the following ways is the most valid approximation of the actual cost to the Subrecipient:

- (a) by agreement on a fixed budget adjustment before commencement of the pertinent performance or as soon thereafter as practicable;
- (b) by unit costs specified in the Contract or subsequently agreed upon;
- (c) by the costs attributable to the event or situation covered by the project scope or modification or subsequently agreed upon; or
- (d) in such other manner as the parties may mutually agree;

(2) Submission of Financial or Cost Data. Upon request of SCDOT, the Subrecipient shall provide reasonably available factual information to substantiate that the budget adjustment is reasonable and consistent with the provisions of Section 11-35-1830.

\_\_\_\_\_  
*Agency Name*

\_\_\_\_\_  
*Signature/Title of Authorized Representative*

\_\_\_\_\_  
*Printed Name/Title of Authorized Representative*

\_\_\_\_\_  
*Date*

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**SMTF APPLICANTS**

## **Alcohol Misuse and Prohibited Drug Use**

### **Drug and Alcohol Testing**

In response to passage of the Omnibus Transportation Employee Testing Act of 1991, FTA published two regulations prohibiting drug use and alcohol misuse. These regulations are 49 CFR, Part 653, "Prevention of Prohibited Drug Use in Transit Operations", and 49 CFR, Part 654, "Prevention of Alcohol and Prohibited Drug Misuse in Transit Operations".

Accordingly, the FTA regulations were revised to conform to the amended Part 40. The revised FTA drug and alcohol regulations were combined into a single rule: 49 CFR Part 655, "Prevention of Alcohol Misuse and Prohibited Drug Use in Transit". The revised rule also incorporates comments from the FTA grantees and guidance that FTA has issued in the past several years, including technical assistance, letters of interpretation, audit findings, newsletters, training classes, safety seminars, and public speaking engagements.

Drug and alcohol program requirements must be implemented for small operations (any transit agency that operates in an area of less than 200,000 people as defined by the Bureau of the Census). This definition is unaffected by the size of the transit agency, the number of vehicles in the fleet, or the number of employees. This requirement applies to all Section 5311 funding recipients.

Certification of compliance must be signed by the subrecipient's governing board, representative or other authorized individual or body and submitted to the SCDOT Division of Mass Transit. Failure to certify compliance with the drug and alcohol rules and regulations will result in jeopardizing federal funding from FTA. The Division of Mass Transit will work with the Safety Office to ensure compliance with FTA regulations regarding drug and alcohol testing and drug-free workplace.

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*Agency Name*

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*Signature/Title of Authorized Representative*

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*Printed Name/Title of Authorized Representative*

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*Date*

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***End of Program Signature Documents***