

KENTUCKY TRANSPORTATION CABINET  
OFFICE OF TRANSPORTATION DELIVERY  
PUBLIC TRANSPORTATION

Notice of Amendment to Public Transportation Grant Agreement  
Amendment #1

Agency: LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT (LFUCG)

Contract Number: SC 619 2600000460

The contract between the Kentucky Transportation Cabinet and LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT (LFUCG) and being project numbers: P031224442 (KY-2024-012-01), in the amount of \$86,400, effective July 1, 2025 through June 30, 2026 is amended as follows:

- Add SFY26 5303 Federal Funds of \$21,600, P033021442 (KY-2021-030-03), Awarded 07/25/2024.
- The total amended federal award for KY-2021-030-03 was \$2,899,236. The total amount of federal funds obligated to LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT (LFUCG) from KY-2021-030-03 in this agreement is \$21,600.
- Decrease FY26 5303 Federal Funds of \$21,600, P031224442 (KY-2024-012-01).
- Add REVISED SFY26 5303 Line-Item Budget (ATTACHMENT B-5303).

Federal Share Increase: \$0  
State Share Increase: \$0  
Net Decrease: \$0

RECOMMENDED

\_\_\_\_\_  
DATE \_\_\_\_\_  
OTD Regional Program Manager

APPROVED

\_\_\_\_\_  
DATE \_\_\_\_\_  
OTD Executive Director

If approved by the Kentucky Transportation Cabinet,  
the undersigned GRANTEE agrees to the CHANGES ABOVE.

GRANTEE: LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT (LFUCG)

Linda Gordon  
\_\_\_\_\_  
Executive Director/Designee  
DATE 11/21/2025

**METROPOLITAN AREA**  
**PUBLIC TRANSPORTATION GRANT AGREEMENT**  
**BETWEEN**  
**THE KENTUCKY TRANSPORTATION CABINET**  
**AND**  
**LEXINGTON-FAYETTE URBAN COUNTY GOVERNMENT (LFUCG)**  
**SAM # VM1GLHWZXA96**

This **AGREEMENT** is made and entered into this 21<sup>st</sup> day of August 2025, between the Commonwealth of Kentucky, Transportation Cabinet, party of the first part, hereinafter referred to as the **CABINET** and the Lexington-Fayette Urban County Government (LFUCG) party of the second part, hereinafter referred to as the **RECIPIENT**.

**WITNESSETH:**

**WHEREAS**, Sections 5303 (Metropolitan Planning Program, ALN #20.505) and Section 5304 (State Planning and Research Program, ALN #20.505), of the Title 49, United States, Chapter 53, Fixing America's Surface Transportation Act (FAST Act) or Infrastructure Investment and Jobs Act (IIJA): Federal Transit Administration provides funds to assist in providing public transportation; and,

**WHEREAS**, the **RECIPIENT** has executed and filed with the **CABINET** an Application(s) incorporated by reference and also considered as Attachment A, requesting Federal financial participation in a program of public transportation (hereinafter referred to as the **PROJECT**), **CABINET** financial participation, and Local financial participation in accordance with Attachment(s) B-5303, B-5304; and,

**WHEREAS**, the **CABINET** and the Federal Transit Administration (hereinafter referred to as **FTA**), have determined that the **PROJECT** is in accordance with the purpose of the Formula Grant Program(s); and,

**WHEREAS**, the **RECIPIENT** desires, in accordance with its approved unified planning work program (UPWP) and budget(s) to permit the **PROJECT** to include the planning and administration services; and,

**WHEREAS**, the **RECIPIENT** desires in accordance with said UPWP and/or application to provide a program of public transportation to include transportation administration

and planning or to provide coordination of public transportation activities, technical assistance, training, and planning support within the Lexington-Fayette Urban County Government (LFUCG) planning area.

**WHEREAS**, the **RECIPIENT** will agree to abide by guidance Circulars 8100.1C and 5010.1E,

**NOW THEREFORE**, in consideration of the mutual covenants herein set forth the **CABINET** and the **RECIPIENT** hereby agree as follows:

**Section 1**  
**Project Description**

It is understood by both contracting parties that the effective date and duration of each Program Budget is noted in each Specific Program Attachment B, and

The **RECIPIENT** shall undertake and complete the **PROJECT** as described in its Unified planning work program (UPWP) in accordance with the terms and conditions of this **AGREEMENT**, 49 U.S.C. and applicable FTA Circulars, 2 CFR Part 200-Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards (Attachment C); Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (Common Rule (Attachment D), 49 CFR Part 18), Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations (Common Rule (Attachment D), 49 CFR Part 19), and any other regulation or directive issued by the **CABINET** or FTA. It is understood that this **PROJECT** is to provide public transportation services in accordance with the Unified planning work program (UPWP) and to provide coordinating and technical services in accordance with its application. Service adjustments may be necessary; however, no significant change in the basic service concept will be implemented without the mutual approval of both the **CABINET** and the **RECIPIENT**. Unless waived, the **RECIPIENT** shall comply with the requirements of Section 5333(b) of the Federal Transit Act, as stipulated by the U.S. Department of Labor conditions incorporated herein and made a part hereof as Attachment A, Special Section 5333(b) Warranty for Section 5303 or other applicable Labor conditions incorporated herein.

**Section 2**  
**Duration of Project**

The **RECIPIENT** shall carry on and complete the **PROJECT** in accordance with Attachment B (July 1, 2025 – June 30, 2026) (Metropolitan Planning Program & State Planning and Research Program Budget and Period of Performance). Nothing in this **AGREEMENT** should be construed to prevent the duration of the project from being changed by mutual agreement of the **CABINET** and the **RECIPIENT**.

### **Section 3** **Project Funding**

It is expressly understood that funds for this **PROJECT** are being provided through an appropriation authorized under applicable Sections 5303 & 5304 of the Federal Transit Act. This is not a Research and Development Grant.

The total amended federal award for KY-2024-012-01 was \$1,653,128, and the award date was 7/29/2025. The total amount of federal funds obligated to Lexington-Fayette Urban County Government (LFUCG) from KY-2021-030-03 in this agreement is \$86,400.

It is the responsibility of the **CABINET** to obtain these funds from FTA. These funds may be authorized by either a single authorization or by a series of authorizations. The total cost of the **PROJECT** shall not exceed the amount indicated in the budget attached hereto as Attachment B, and made a part hereof unless approved in writing by the **CABINET**. The **RECIPIENT** agrees to provide local matching funds in the amount sufficient, together with the authorized funds, to assure funding for completion of the **PROJECT**. **PROJECT** costs are payable monthly by the **CABINET** upon presentation of invoices, which should include explanations and justifications for such funds requisitioned. Invoices shall comply with the expense categories in Attachment B. Ten (10) percent of the final invoice may be withheld pending completion and acceptance of an audit as required in Section 7.

It is understood that the value and character of all "in-kind" services must be approved by the **CABINET** prior to being credited to the **PROJECT**. All "in-kind" services must meet both **CABINET** and FTA eligibility and applicability requirements for Section 5303 & 5304 funding and the Common Rule (49 CFR Parts 18 and 19).

It is further understood that since this **PROJECT** is to provide public transportation services, budget adjustments may be necessary and may be allowed if they do not exceed the total sum set out above, subject to the approval of the **CABINET**. In order for the **RECIPIENT** to be reimbursed for costs, which are not listed in Attachment B, the **RECIPIENT** must obtain written approval from the **CABINET**.

### **Section 4** **Allowable Costs**

The **PROJECT** costs referred to in this **AGREEMENT** shall be comprised of the allowable costs incident to the performance of the **PROJECT** less applicable credit, to be determined in accordance with the standards set forth in 49 U.S.C. Section's 5303 & 5304 and applicable FTA circulars, 2 CFR Part 200-Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards or other

appropriate federal management circular. **PROJECT** costs will be in accordance with the approved line item budget in Attachment B.

**Statement of Financial Assistance**

This contract is subject to a financial assistance contract between the Kentucky Transportation Cabinet and the Federal Transit Administration.

**Section 5**  
**Assignability**

The **RECIPIENT** shall not assign any portion of the work to be performed under this **AGREEMENT**, except as set forth in the Unified planning work program (UPWP) or application, or execute any contract or amendment thereto, or obligate itself in any manner with any third party with respect to its rights and responsibilities under this **AGREEMENT** without the prior written concurrence of the **CABINET**.

**Section 6**  
**Reporting and Records**

The **RECIPIENT** shall maintain and comply with all reporting requirements outlined by FTA and the **CABINET**. The **RECIPIENT** shall send to the **CABINET** a quarterly progress report, at a minimum.

The **RECIPIENT** shall establish and maintain, separate accounts for the **PROJECT**, either independently or within its existing accounting system, to be known as the **PROJECT** Account. All charges to the **PROJECT** Account shall be supported by properly executed invoices, contracts, or vouchers evidencing in proper detail the nature and propriety of the charges.

All checks, invoices, contracts, vouchers, orders or other accounting documents pertaining in whole or in part to the **PROJECT** shall be clearly identified, readily accessible, and to the extent feasible, kept separate and apart from all other such documents.

The **RECIPIENT** shall retain all records for a period of three (3) years from the date of final payment under this contract.

**Section 7**  
**Audit and Inspection**

The **RECIPIENT** shall have an independent certified audit performed in accordance with OMB 2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards [This supersedes and streamlines Circulars A-21, A-87-A-110, and A122 (which have been placed in OMB guidance's); Circulars A-89, A-

11-, A-102, and A-133. Audits of States, Local Governments and Nonprofit Organizations]. The **RECIPIENT** shall permit the **CABINET**, the Comptroller General of the United States and Secretary of the United States Department of Transportation, or their authorized representatives, to inspect all **EQUIPMENT** and **PROPERTY** purchased by **RECIPIENT** as part of the **PROJECT**, all transportation services rendered by the **RECIPIENT** as part of the **PROJECT**, and all relevant **PROJECT** data and records. The **RECIPIENT** shall also permit the above named persons to review audits and working papers or audit the books, and accounts of the **RECIPIENT** pertaining to the **PROJECT**. **RECIPIENTS**, in accordance with OMB 2 CFR Part 200-Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards are required to submit audit reports within 30 days after receipt of the auditor's report(s) to the Federal Audit Clearing House (FAC). In addition, two (2) original audit reports for each Fiscal Year that federal funds are expended under this **AGREEMENT** are to be submitted to the **CABINET** Office of Transportation Delivery, and postmarked within 30 calendar days after receipt of the Auditor's report or nine (9) months after the end of the Fiscal Year, whichever comes first in accordance with 2 CFR Part 200-Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. If the due date falls on a Saturday, Sunday or Federal Legal Holiday, the audit is due the next business day. The **CABINET** Office of Transportation Delivery will utilize the issue date on the Independent Audit Report Letter as the receipt date unless the **RECIPIENT** provides evidence that the Audit Report was actually received (via hand delivery, Postal Mail or E-mail) on a different date. A **RECIPIENT**'s board approval date of the audit or the Audit Report release date are not accepted dates of receipt. Any **RECIPIENT** expending less than \$1,000,000 in federal funds in a fiscal year, is not required to have a 2 CFR PART 200-Audit, but must submit an annual independent financial audit to the **CABINET** within 30 days after receipt of the auditor's report(s) or nine months after the end of the Fiscal Year, whichever comes first.

Subrecipients are to electronically submit the data collection form to the Federal Audit Clearinghouse (FAC) on time as required by 2 CFR Part 200-Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards. This regulation requires that the data collection form must be submitted to FAC within the earlier of 30 calendar days after receipt of the auditor's report(s), or nine (9) months after the end of the fiscal year.

## **Section 8** **Insurance**

The **RECIPIENT** shall obtain insurance adequate to protect the **PROJECT PROPERTY** and **EQUIPMENT** as well as public liability insurance. The **RECIPIENT** shall certify to the **CABINET** the existence of such coverage before beginning vehicle operations, where applicable.

**Section 9**  
**Responsibility for Claims and Liabilities**

The **RECIPIENT** shall be responsible for and save harmless the **CABINET** for all damage to life and property due to the activities of **RECIPIENT**, its subcontractors, agents or employees, in connection with their services under this **AGREEMENT**.

**Section 10**  
**Compliance with Commonwealth of Kentucky Motor Vehicle Laws**

The **RECIPIENT** shall comply with all Motor Vehicle laws deemed appropriate to this **PROJECT** including Kentucky Revised Statute Chapter 281.

**Section 11**  
**Drug Free Workplace**

The **RECIPIENT** shall comply with the U.S. DOT regulations, Drug-Free Workplace Requirements (grants), 49 C.F.R. Part 29, Subpart F.

**Section 12**  
**Compliance with Civil Rights Act of 1964 and Title VI**

During the performance of this contract, the **RECIPIENT** for itself, its assignees and successors in interest agrees as follows:

1. Compliance with Regulations: The **RECIPIENT** will comply with the regulations of the **CABINET** relative to nondiscrimination in federally assisted programs of the Department of Transportation (Title 49, Code of Federal Regulations, Part 21, hereinafter referred to as the **REGULATIONS**), which are herein incorporated by reference and made a part of this contract.
2. Nondiscrimination: The **RECIPIENT**, with regard to the work performed by it after award and prior to completion of the contract work, will not discriminate on the ground of race, religion, color, sex, national origin, age, or disability in the selection and retention of subcontractors, including procurement of materials and leases of equipment. The contractor will not participate either directly or indirectly in the discrimination prohibited by Section 21.5 of the **REGULATIONS**, including employment practices when the contract covers a program set forth in Appendix B of the **REGULATIONS**.
3. Solicitations for Subcontractors, Including Procurement of Materials and Equipment: In all solicitations either by competitive bidding or negotiations made by the **RECIPIENT** for work to be performed under a subcontract including procurement of materials or equipment, each potential subcontractor or supplier

shall be notified by the **RECIPIENT** of the **RECIPIENT'S** obligations under this contract and the regulations relative to nondiscrimination on the ground of race, religion, color, sex, national origin, age, or disability.

4. Information and Reports: The **RECIPIENT** will provide all information and reports required by the **REGULATIONS**, or orders and instructions issued pursuant thereto, and will permit access to its books, records, accounts, other sources of information and its facilities as may be determined by the Cabinet to be pertinent to ascertain compliance with such regulations, orders and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish this information, the **RECIPIENT** will so certify to the **CABINET** as appropriate, and shall set forth what efforts it has made to obtain the information.
5. Sanctions for Noncompliance: In the event of the **RECIPIENT'S** noncompliance with the nondiscrimination provisions of this contract, the **CABINET** will impose such contract sanctions as it may determine to be appropriate, including but not limited to:
  - a. Withholding payment to the **RECIPIENT** under the contract until the contractor complies; and/or
  - b. Cancellation, termination or suspension of the contract, in whole or in part.

Incorporation of Provisions: The **RECIPIENT** will include the provisions of Paragraphs 1 through 5 in every subcontract, including procurement of materials and leases of equipment unless exempt by the **REGULATIONS**, order or instructions issued pursuant thereto. The **RECIPIENT** will take such action with respect to any subcontract or procurement as the **CABINET** may direct as a means of enforcing such provisions including sanctions for noncompliance; provided however, that in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or supplier as a result of such direction, the **CABINET** may request the State to enter into such litigation to protect the interests of the State.

Title VI of the Civil Rights Act of 1964 provides 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. In pursuit of this objective, the **RECIPIENT** must not (1) provide any service, financial aid, or benefit that is different from that provided to others; (2) subject an individual to segregation or separate treatment; (3) Restrict an individual in the enjoyment of any advantage or privilege enjoyed by others; (4) Deny any individual service, financial aid,

or benefit under the program; (5) Treat individuals differently in terms of whether they satisfy admission, eligibility, or membership; (6) Deny an individual the opportunity to participate in the provision of services; and (7) Deny a person the opportunity to participate as a member of a planning or advisory body. Reference FTA Circular 4702.1A, "Title VI and Title VI-Dependent Guidelines for FTA Recipients."

The Title VI Notice of Protections Against Discrimination (Beneficiary Notice) should be adopted by the **RECIPIENT**. This notice should be posted on the **RECIPIENT** website, if applicable, and disseminated through such measures, including but not limited to, public hearings, posters, flyers, etc.

The **RECIPIENT** must abide by the Title VI Principles regarding Environmental Justice.

The **RECIPIENT** must have a plan to ensure access to programs and activities by persons with Limited English Proficiency (LEP).

### **Section 13** **Compliance with Governor's Code of Fair Practice**

During the performance of this contract, the **RECIPIENT** agrees as follows:

1. The contractor will not discriminate against any employee or applicant for employment because of race, religion, color, national origin, sex, age, or disability. The contractor will take affirmative action to ensure that applicants are employed and that employees are treated during employment without regard to their race, religion, color, national origin, sex, age, or disability. Such action shall include but not be limited to the following: employment, upgrading, demotion or transfer; recruitment, or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notice to be provided setting forth the provisions of this nondiscrimination clause.
2. The contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, religion, color, national origin, sex, age, or disability.
3. The contractor will send to each labor union or representative of workers, with which he had a collective bargaining agreement or other contract or understanding, a notice to be provided advising the said labor union or workers'

representative of the contractor's commitments under this section and shall post copies of the notice in conspicuous places available to employees and applicants for employment. The contractor will take such action with respect to any subcontract or purchase order as the administering agency may direct as a means of enforcing such provisions, including sanctions for noncompliance.

**Section 14**  
**Equal Employment Opportunity**

In connection with the execution of this **AGREEMENT**, the **RECIPIENT** shall not discriminate against any employee or applicant for employment because of race, religion, color, sex, national origin, age, or disability. The **RECIPIENT** shall take affirmative action to insure that applicants are employed, and that employees are treated during their employment, without regard to their race, religion, color, sex, national origin, age, or disability. Such actions shall include, but not be limited to the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff, or termination; rates of pay, or other forms of compensation; and selection of training, including apprenticeship. The **RECIPIENT** will incorporate the foregoing requirements of this paragraph in all subcontracts for services covered by this **AGREEMENT**. Reference FTA Circular 4704.1, "Equal Employment Opportunity Program Guidelines for Grant Recipients."

The **RECIPIENT** must submit for approval an EEO/Affirmative Action Plan if they meet the following threshold: 50 or more transit-related employees and received capital or operating assistance in excess of \$1 million the past year or received planning assistance in excess of \$250,000.

**Section 15**  
**Interest of Members of or Delegates to Congress**

No member of or delegate to the Congress of the United States shall be admitted to any share or part of this **AGREEMENT** or to any benefit arising there from.

**Section 16**  
**Prohibited Interest**

No member, officer, or employee of the **CABINET** or of the **RECIPIENT** during his tenure or for one year thereafter shall have any interest, direct or indirect, in this **AGREEMENT** or the proceeds thereof.

**Section 17**  
**Covenant Against Contingent Fees**

The **RECIPIENT** warrants that no person, selling agency or other organization has been employed or retained to solicit or secure this **AGREEMENT** upon an agreement or understanding for a commission, percentage, brokerage, or contingent fee. For breach or violation of this warrant, the **CABINET** shall have the right to annul this **AGREEMENT** without liability or, in this discretion, to deduct from the compensation, or otherwise recover, the full amount of such commission, percentage, brokerage, or contingent fee.

**Section 18**  
**Applicable Laws**

This **AGREEMENT** shall be in accordance with the laws of the Commonwealth of Kentucky and the Federal Transit Administration.

**Section 19**  
**Discrimination of Persons with Disabilities**

The **RECIPIENT** agrees to comply with the provisions of Section 504 of the Rehabilitation Act of 1973, P.L. 93-112, and with the Americans with Disabilities Act of 1990 (ADA), and applicable Federal regulations relating hereto, issued by the U.S. Department of Transportation, prohibiting discrimination against otherwise qualified persons with disabilities under any program or activity receiving federal financial assistance covered by this **AGREEMENT**.

**Section 20**  
**Disadvantaged Business Enterprise Policy**

It is the policy of the U.S. Department of Transportation that disadvantaged business enterprises as defined in 49 CFR part 26 shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with Federal funds under this **AGREEMENT**. Consequently the DBE requirements of 49 CFR part 26 apply to this **AGREEMENT**.

DBE Obligation: The **RECIPIENT** or its contractor agrees to ensure that disadvantaged business enterprises as defined in 49 CFR part 26 are given a level playing field in order to fairly participate in the performance of contracts and subcontracts financed in whole or in part with Federal funds provided under this **AGREEMENT**. In this regard the **RECIPIENT** or contractors shall take all necessary and reasonable steps in accordance with 49 CFR part 26 to ensure that disadvantaged business enterprises have an opportunity to compete for and perform contracts. The **RECIPIENT** and their contractors shall not discriminate on the basis of race, color, national origin, or sex in

the award and performance of any DOT-assisted contract or in the administration of its DBE program or the requirements of 49 CFR part 26. The **RECIPIENT** shall take all necessary and reasonable steps under 49 CFR part 26 to ensure nondiscrimination in the award and administration of DOT-assisted contracts. The **RECIPIENT'S** DBE program, as required by 49 CFR part 26 and as approved by DOT, is incorporated by reference in this agreement. Implementation of this program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to the **RECIPIENT** of its failure to carry out its approved program, the Department may impose sanctions as provided for under part 26 and may, in appropriate cases, refer the matter for enforcement under 18 U.S.C. 1001 and/or the Program Fraud Civil Remedies Act of 1986 (31 U.S.C. 3801 *et seq.*).

The **RECIPIENT** shall look for ways to achieve the goals of the DBE Program through more race-neutral means in order to create a level playing field and increase opportunities for all small businesses, including DBE firms.

The **RECIPIENT** will make every effort to locate DBE's to purchase materials and services for use in the **PROJECT**. To demonstrate reasonable efforts to meet the Disadvantaged Business Enterprise contract goal, the **RECIPIENT** will provide documentation of the steps it has taken to obtain Disadvantaged Business Enterprise participation, including, but not limited to the following:

1. Attendance at a pre-bid meeting, if any, scheduled by the **RECIPIENT** to inform DBE's of subcontracting opportunities under a given solicitation;
2. Advertisement in general circulation media, trade association publications, and disadvantaged-focus media before bids or proposals are due;
3. Written notification to Disadvantaged Business Enterprises that are available that their interest in the contract is solicited;
4. Efforts made to select portions of the work proposed to be performed by DBE's in order to increase the likelihood of achieving the stated goal;
5. Efforts to negotiate with Disadvantaged Business Enterprises for specific sub-bids including at a minimum:
  - a. The names, addresses, and telephone numbers of Disadvantaged Business Enterprises that were conducted.
  - b. A description of the information provided to Disadvantaged Business Enterprises regarding the plans and specifications for portions of work to be performed.

- c. A statement of why agreement was not reached with Disadvantaged Business Enterprises.
6. Explanation when a **RECIPIENT** determines that a Disadvantaged Business Enterprise is not qualified.
7. Effort made to assist the Disadvantaged Business Enterprise contacted that needed assistance in obtaining bonding or insurance required by the Kentucky Transportation Cabinet.

The **CABINET** will make available names of DBE's, that they have certified, that have the capability to furnish these materials or services. The **RECIPIENT** is advised that should they find a DBE from which they can purchase these materials or services it will then ask that the **CABINET** certify this DBE.

The **RECIPIENT** must create and maintain a bidders list of prime contractors and subcontractors on DOT-assisted projects. The following information must be included:

Firm Name  
Firm Address  
Status as a DBE or non-DBE firm  
Age range of the firm (ranges determined by OTD)  
Range of the Annual Gross Receipts (ranges determined by OTD) over the past three (3) fiscal years  
Number of Employees  
Industry Title (based on NAICS)

If as a condition of assistance the **RECIPIENT** has submitted and the **CABINET** has approved a disadvantaged business enterprise affirmative action program which the **RECIPIENT** agrees to carry out, this program is incorporated into this financial assistance agreement by reference. This program shall be treated as a legal obligation and failure to carry out its terms shall be treated as a violation of this financial assistance agreement. Upon notification to the **RECIPIENT** of its failure to carry out the approved program the U.S. DOT shall impose such sanctions as noted in 49 CFR part 26, which sanctions may include termination of the **AGREEMENT** or other measures that may affect the ability of the **RECIPIENT** to obtain future U.S. DOT financial assistance.

The **RECIPIENT** should take all reasonable steps to eliminate obstacles for small business participation. To qualify as a small business, the standards of the Small Business Administration (SBA) must be met. Steps to help eliminate obstacles include, but are not limited to:

- Encourage bid packages to include portions of the contract that can be reasonably bid by small businesses
- Require a prime contractor to provide subcontracting opportunities of a size that small businesses, including DBEs, can reasonably perform, rather than self-performing all the work involved.
- Placing this statement in every bid package (any procurement \$20,000 and over): "In regard to the arrangement of the solicitation, times for the bid opening, delivery schedules, etc. these will be made in a manner to facilitate participation by Small Businesses Concerns. The definition, size standards, and average gross receipts of Small Businesses are found in 13 CFR Part 121."
- For non-traditional transit grants, Livability Bus Grants, and other transit grants/projects that reach out to other community or State entities, identify alternative acquisition strategies and structured procurements that will allow joint ventures consisting of small businesses, including DBE firms, to be able to competitively compete for prime contracting opportunities.

All this should be accomplished in a race and gender neutral manner.

### **Section 21** **Model Clauses**

Attachment C, Federally Required and Model Contract Clauses and Attachment D, current Federal Transit Administration Master Agreement (FTA MA), are herein made a part of this **AGREEMENT**. The **RECIPIENT** shall abide by the FTA Master Agreement. The **RECIPIENT** shall include the Model Clauses in all subcontracts entered into pursuant to this **AGREEMENT**.

### **Section 22** **Disputes**

Any dispute concerning a question of fact in connection with the work not disposed of by **AGREEMENT** between the **RECIPIENT** and the **CABINET** shall be referred to the Executive Director, Office of Transportation Delivery of the Transportation Cabinet of the Commonwealth of Kentucky, or his/her duly authorized representative.

### **Section 23** **Termination**

The **CABINET** may cancel this **AGREEMENT** at any time by giving thirty (30) days written notice of such cancellation to the **RECIPIENT** for any of the following reasons:

1. The **RECIPIENT** discontinues the use of the **EQUIPMENT** or **PROPERTY** during the **PROJECT** period for the purpose of providing public transportation services;
2. The **RECIPIENT** fails to provide or support public transportation services during the **PROJECT** period;
3. The **RECIPIENT** takes any action pertaining to this **AGREEMENT** without the approval of the **CABINET** and which, under the terms of this **AGREEMENT**, would have required the concurrence of the **CABINET**;
4. The commencement, prosecution or timely completion of the **PROJECT** by the **RECIPIENT** is, for any reason, rendered improbable, impossible or illegal;
5. The **RECIPIENT** shall be in default under any provision of this **AGREEMENT**.

Upon cancellation of this **AGREEMENT** under the provision of this paragraph, the **RECIPIENT** agrees to dispose of the **PROJECT EQUIPMENT** in accordance with the provisions of Section 6 of this **AGREEMENT**.

The **RECIPIENT** reserves the right to cancel this **AGREEMENT** by giving thirty (30) days written notice of such cancellation to the **CABINET**. The parties hereto may terminate this **AGREEMENT** at any time upon mutual written agreement, in which case the **EQUIPMENT** or **PROPERTY** will be disposed of in accordance with the provisions of Section 6 of this **AGREEMENT**.

#### **Section 24** **Federal Award**

All Federal Transit Administration (FTA) Grants and grant amounts referenced in this **AGREEMENT** are subject to Federal Award and no funds will be reimbursed to the **RECIPIENT** by the **CABINET** until Federal Award by FTA is made. The **CABINET** will notify the **RECIPIENT** once Federal Award has been made.

#### **Section 25** **Access to Records**

The contractor, as defined in KRS 45A.030 (9) agrees that the contracting agency, the Finance and Administration Cabinet, the Auditor of Public Accounts, and the Legislative Research Commission, or their duly authorized representatives, shall have access to any books, documents, papers, records, or other evidence, which are directly pertinent to this contract for the purpose of financial audit or program review. Records and other prequalification information confidentially disclosed as part of the bid process shall not be deemed as directly pertinent to the contract and shall be exempt from disclosure as provided in KRS 61.878(1)(c). The contractor also recognizes that any books,

documents, papers, records, or other evidence, received during a financial audit or program review shall be subject to the Kentucky Open Records Act, KRS 61.870 to 61.884.

In the event of a dispute between the contractor and the contracting agency, Attorney General, or the Auditor of Public Accounts over documents that are eligible for production and review, the Finance and Administration Cabinet shall review the dispute and issue a determination, in accordance with Secretary's Order 11-004. (See attachment)

This Section (Section 26) only applies to **RECIPIENT(S)** who are non profit 501(c)(3) corporations and is not applicable to other government agencies. This includes state and federal agencies, local governments and state universities.

#### **Section 26** **Funding Out Provision**

The state agency may terminate this contract if funds are not appropriated to the contracting agency or are not otherwise available for the purpose of making payments without incurring any obligation for payment after the date of termination, regardless of the terms of the contract. The state agency shall provide the contractor thirty (30) calendar days written notice of termination of the contract.

#### **Section 27** **Agreement Change**

Any proposed change in this **AGREEMENT** must be at the mutual consent of the **RECIPIENT** and the **CABINET** and must have prior written approval of the **CABINET**.

#### **SECRETARY'S ORDER 11-004**

#### **FINANCE AND ADMINISTRATION CABINET**

#### **Vendor Document Disclosure**

**WHEREAS**, in order to promote accountability and transparency in governmental operations, the Finance and Administration Cabinet believes that a mechanism should be created which would provide for review and assistance to an Executive Branch agency if said agency cannot obtain access to documents that it deems necessary to conduct a review of the records of a private vendor that holds a contract to provide goods and/or services to the Commonwealth; and

**WHEREAS**, in order to promote accountability and transparency in governmental operations, the Finance and Administration Cabinet believes that a mechanism should be created which would provide for review and assistance to an Executive Branch agency if said agency cannot obtain access to documents that it deems necessary during the course of an audit, investigation or any other inquiry by an Executive Branch agency that involves the review of documents; and

**WHEREAS**, KRS 42.014 and KRS 12.270 authorizes the Secretary of the Finance and Administration Cabinet to establish the internal organization and assignment of functions which are not established by statute relating to the Finance and Administration Cabinet; further, KRS Chapter 45A.050 and 45A.230 authorizes the Secretary of the Finance and Administration Cabinet to procure, manage and control all supplies and services that are procured by the Commonwealth and to intervene in controversies among vendors and state agencies; and

**NOW, THEREFORE**, pursuant to the authority vested in me by KRS 42.014, KRS 12.270, KRS 45A.050, and 45A.230, I, Lori H. Flanery, Secretary of the Finance and Administration Cabinet, do hereby order and direct the following:

- I. Upon the request of an Executive Branch agency, the Finance and Administration Cabinet ("FAC") shall formally review any dispute arising where the agency has requested documents from a private vendor that holds a state contract and the vendor has refused access to said documents under a claim that said documents are not directly pertinent or relevant to the agency's inquiry upon which the document request was predicated.
- II. Upon the request of an Executive Branch agency, the FAC shall formally review any situation where the agency has requested documents that the agency deems necessary to conduct audits, investigations or any other formal inquiry where a dispute has arisen as to what documents are necessary to conclude the inquiry.
- III. Upon receipt of a request by a state agency pursuant to Sections I & II, the FAC shall consider the request from the Executive Branch agency and the position of the vendor or party opposing the disclosure of the documents, applying any and all relevant law to the facts and circumstances of the matter in controversy. After FAC's review is complete, FAC shall issue a Determination which sets out FAC's position as to what documents and/or records, if any, should be disclosed to the requesting agency. The Determination shall be issued within 30 days of receipt of the request from the agency. This time period may be extended for good cause.
- IV. If the Determination concludes that documents are being wrongfully withheld by the private vendor or other party opposing the disclosure from the state agency, the private vendor shall immediately comply with the FAC's Determination. Should the private vendor or other party refuse to comply with FAC's Determination, then the FAC, in concert with the requesting agency, shall effectuate any and all options that it possesses to obtain the documents in question, including, but not limited to, jointly initiating an action in the appropriate court for relief.
- V. Any provisions of any prior Order that conflicts with the provisions of this Order shall be deemed null and void.

## **Section 28** **Disputes, Breaches, Defaults, and Litigation**

- a) *Cabinet/FTA Interest.* Cabinet/FTA has a vested interest in the settlement of any violation of federal law, regulation, or requirement, or any disagreement involving the Award, the accompanying Underlying Agreement, and any Amendments

thereto including, but not limited to, a default, breach, major dispute, or litigation, and Cabinet/FTA reserves the right to concur in any settlement or compromise.

- b) *Notification to Cabinet/FTA; Flow Down Requirement.* If a current or prospective legal matter that may affect the Federal Government or State Government emerges, the Recipient must promptly notify the Cabinet. If a current or prospective legal matter that may affect the Federal Government emerges, the Cabinet must promptly notify the FTA Chief Counsel and FTA Regional Counsel for the Region in which Cabinet is located. In addition, the Recipient must include a similar notification requirement in its subagreements at every tier, for any agreement that is a "covered transaction" according to 2 C.F.R. §§ 180.220 and 1200.220.
1. The types of legal matters that require notification include, but are not limited to, a major dispute, breach, default, litigation, or naming the Federal Government or State Government as a party to litigation or a legal disagreement in any forum for any reason.
  2. Matters that may affect the Federal Government or State Government include, but are not limited to, the Federal and/or State Government's interests in the Award, the accompanying Underlying Agreement, and any Amendments thereto, or the Federal and/or State Government's administration or enforcement of federal and/or state laws, regulations, and requirements.
  3. *Additional Notice to U.S. DOT Inspector General.* The Recipient must promptly notify the Cabinet if the Recipient has knowledge of potential fraud, waste, or abuse occurring on a Project receiving assistance from FTA. The Cabinet must notify the U.S. DOT Inspector General in addition to the FTA Chief Counsel or Regional Counsel for the Region in which the Recipient is located. The notification provision applies if a person has or may have submitted a false claim under the False Claims Act, 31 U.S.C. § 3729, et seq., or has or may have committed a criminal or civil violation of law pertaining to such matters as fraud, conflict of interest, bid rigging, misappropriation or embezzlement, bribery, gratuity, or similar misconduct involving federal assistance. This responsibility occurs whether the Project is subject to this Agreement or another agreement between the Recipient and the Cabinet, or an agreement involving a principal, officer, employee, agent, or Third Party Participant of the Recipient. It also applies to subcontractors at any tier. Knowledge, as used in this paragraph, includes, but is not limited to, knowledge of a criminal or civil investigation by a Federal, state, or local law enforcement or other investigative agency, a criminal indictment or civil complaint, or probable cause that could support a criminal indictment, or any other credible information in the possession of the Recipient. In this paragraph, "promptly" means to refer

information without delay and without change. This notification provision applies to all divisions of the Recipient, including divisions tasked with law enforcement or investigatory functions.

- c) *Federal Interest in Recovery.* The Federal Government retains the right to a proportionate share of any proceeds recovered from any third party, based on the percentage of the federal share for the Underlying Agreement. Notwithstanding the preceding sentence, the Recipient may return all liquidated damages it receives to its Award Budget for its Underlying Agreement rather than return the federal share of those liquidated damages to the Federal Government, provided that the Recipient receives FTA's prior written concurrence.
- d) *Enforcement.* The Recipient must pursue its legal rights and remedies available under any third party agreement or any federal, state, or local law or regulation.

**Section 29**  
**MOA/PSC Exception Standard Terms and Conditions**  
**Revised May 2025**

Whereas, the first party, the state agency, has concluded that either state personnel are not available to perform said function, or it would not be feasible to utilize state personnel to perform said function; and

Whereas, the second party, the Contractor, is available and qualified to perform such function; and

Whereas, for the abovementioned reasons, the state agency desires to avail itself of the services of the second party;

**NOW THEREFORE**, the following terms and conditions are applicable to this contract:

**1.00 Effective Date**

This contract is not effective until the Secretary of the Finance and Administration Cabinet or his authorized designee has approved the contract and until the contract has been submitted to the Legislative Research Commission, Government Contract Review Committee ("LRC"). However, in accordance with KRS 45A.700, contracts in aggregate amounts of \$10,000 or less are exempt from review by the committee and need only be filed with the committee within 30 days of their effective date for informational purposes.

KRS 45A.695(7) provides that payments on personal service contracts and memoranda of agreement shall not be authorized for services rendered after government contract review committee disapproval, unless the decision of the committee is overridden by the Secretary of the Finance and Administration Cabinet or agency head if the agency has been granted delegation authority by the Secretary.

The vendor shall be paid, upon the submission of proper invoices to the receiving agency at the prices stipulated for the supplies delivered and accepted, or services rendered. Unless otherwise specified, payment will not be made for partial deliveries accepted. Payments will be made within thirty (30) working days after receipt of goods or a vendor's invoice in accordance with KRS 45.453 and KRS 45.454.

#### **2.00 LRC Policies**

**This section does not apply to governmental or quasi-governmental entities.** Pursuant to KRS 45A.725, LRC has established policies which govern rates payable for certain professional services. These are located on the LRC webpage (<https://apps.legislature.ky.gov/moreinfo/Contracts/homepage.html>) and would impact any contract established under KRS 45A.690 et seq., where applicable.

#### **3.00 Choice of Law and Forum**

**This section does not apply to governmental or quasi-governmental entities.** This contract shall be governed by and construed in accordance with the laws of the Commonwealth of Kentucky. Any action brought against the Commonwealth on the contract, including but not limited to actions either for breach of contract or for enforcement of the contract, shall be brought in Franklin Circuit Court, Franklin County, Kentucky in accordance with KRS 45A.245.

#### **4.00 EEO Requirements**

**This section does not apply to governmental or quasi-governmental entities.** The Equal Employment Opportunity Act of 1978 applies to All State government projects with an estimated value exceeding \$500,000. The contractor shall comply with all terms and conditions of the Act.

#### **5.00 Cancellation**

Both parties shall have the right to terminate and cancel this contract at any time not to exceed thirty (30) days' written notice served on the Contractor by registered or certified mail.

#### **6.00 Funding Out Provision**

The state agency may terminate this contract if funds are not appropriated to the contracting agency or are not otherwise available for the purpose of making payments without incurring any obligation for payment after the date of termination, regardless of the terms of the contract. The state agency shall provide the Contractor thirty (30) calendar days' written notice of termination of the contract due to lack of available funding.

#### **7.00 Reduction in Contract Worker Hours**

The Kentucky General Assembly may allow for a reduction in contract worker hours in conjunction with a budget balancing measure for some professional and non-

professional service contracts. If under such authority the agency is required by Executive Order or otherwise to reduce contract hours, the agreement will be reduced by the amount specified in that document. If the contract funding is reduced, then the scope of work related to the contract may also be reduced commensurate with the reduction in funding. This reduction of the scope shall be agreeable to both parties and shall not be considered a breach of contract.

#### **8.00 Authorized to do Business in Kentucky**

**This section does not apply to governmental or quasi-governmental entities.**

The Contractor affirms that it is properly authorized under the laws of the Commonwealth of Kentucky to conduct business in this state and will remain in good standing to do business in the Commonwealth of Kentucky for the duration of any contract awarded.

The Contractor shall maintain certification of authority to conduct business in the Commonwealth of Kentucky during the term of this contract. Such registration is obtained from the Secretary of State, who will also provide the certification thereof.

#### **Registration with the Secretary of State by a Foreign Entity**

Pursuant to KRS 45A.480(1)(b), an agency, department, office, or political subdivision of the Commonwealth of Kentucky shall not award a state contract to a person that is a foreign entity required by KRS 14A.9-010 to obtain a certificate of authority to transact business in the Commonwealth ("certificate") from the Secretary of State under KRS 14A.9-030 unless the person produces the certificate within fourteen (14) days of the bid or proposal opening. Therefore, foreign entities should submit a copy of their certificate with their solicitation response. If the foreign entity is not required to obtain a certificate as provided in KRS 14A.9-010, the foreign entity should identify the applicable exception in its solicitation response. Foreign entity is defined within KRS 14A.1-070.

**For all foreign entities required to obtain a certificate of authority to transact business in the Commonwealth, if a copy of the certificate is not received by the contracting agency within the time frame identified above, the foreign entity's solicitation response shall be deemed non-responsive or the awarded contract shall be cancelled.**

Businesses can register with the Secretary of State at <https://onestop.ky.gov/Pages/default.aspx>

#### **9.00 Invoices for fees**

**This section does not apply to governmental or quasi-governmental entities.**

The Contractor shall maintain supporting documents to substantiate invoices and shall furnish same if required by state government.

**10.00 Travel expenses, if authorized**

**This section does not apply to governmental or quasi-governmental entities.**

The Contractor shall be paid for no travel expenses unless and except as specifically authorized by the specifications of this contract or authorized in advance and in writing by the Commonwealth. The Contractor shall maintain supporting documents that substantiate every claim for expenses and shall furnish same if requested by the Commonwealth.

**11.00 Other expenses, if authorized herein**

**This section does not apply to governmental or quasi-governmental entities.**

The Contractor shall be reimbursed for no other expenses of any kind, unless and except as specifically authorized within the specifications of this contract or authorized in advance and in writing by the Commonwealth.

If the reimbursement of such expenses is authorized, the reimbursement shall be only on an out-of-pocket basis. Request for payment of same shall be processed upon receipt from the Contractor of valid, itemized statements submitted periodically for payment at the time any fees are due. The Contractor shall maintain supporting documents that substantiate every claim for expenses and shall furnish same if requested by the Commonwealth.

**12.00 Purchasing and specifications**

**This section does not apply to governmental or quasi-governmental entities.**

The Contractor certifies that he/she will not attempt in any manner to influence any specifications to be restrictive in any way or respect nor will he/she attempt in any way to influence any purchasing of services, commodities or equipment by the Commonwealth of Kentucky. For the purpose of this paragraph and the following paragraph that pertains to conflict-of interest laws and principles, "he/she" is construed to mean "they" if more than one person is involved and if a firm, partnership, corporation, or other organization is involved, then "he/she" is construed to mean any person with an interest therein.

**13.00 Conflict-of-interest laws and principles**

**This section does not apply to governmental or quasi-governmental entities.**

The Contractor certifies that he/she is legally entitled to enter into this contract with the Commonwealth of Kentucky, and by holding and performing this contract, he/she will not be violating either any conflict of interest statute (KRS 45A.330-45A.340, 45A.990, 164.390), or KRS 11A.040 of the executive branch code of ethics, relating to the employment of former public servants.

**14.00 Campaign finance**

**This section does not apply to governmental or quasi-governmental entities.**

The Contractor certifies that neither he/she nor any member of his/her immediate family having an interest of 10% or more in any business entity involved in the performance of

this contract, has contributed more than the amount specified in KRS 121.056(2), to the campaign of the gubernatorial candidate elected at the election last preceding the date of this contract. The Contractor further swears under the penalty of perjury, as provided by KRS 523.020, that neither he/she nor the company which he/she represents, has knowingly violated any provisions of the campaign finance laws of the Commonwealth, and that the award of a contract to him/her or the company which he/she represents will not violate any provisions of the campaign finance laws of the Commonwealth.

#### **15.00 Access to Records**

The state agency certifies that it is in compliance with the provisions of KRS 45A.150, "Access to contractor's books, documents, papers, records, or other evidence directly pertinent to the contract." The Contractor, as defined in KRS 45A.030, agrees that the contracting agency, the Finance and Administration Cabinet, the Auditor of Public Accounts, and the Legislative Research Commission, or their duly authorized representatives, shall have access to any books, documents, papers, records, or other evidence, which are directly pertinent to this agreement for the purpose of financial audit or program review. The Contractor also recognizes that any books, documents, papers, records, or other evidence, received during a financial audit or program review shall be subject to the Kentucky Open Records Act, KRS 61.870 to 61.884. Records and other prequalification information confidentially disclosed as part of the bid process shall not be deemed as directly pertinent to the agreement and shall be exempt from disclosure as provided in KRS 61.878(1)(c).

#### **16.00 Social security**

**This section does not apply to governmental or quasi-governmental entities.**

The parties are cognizant that the state is not liable for social security contributions, pursuant to 42

U.S. Code, section 418, relative to the compensation of the second party for this contract.

Any exceptions to this stipulation require an attachment or exhibit that explicitly addresses, and provides a basis for, payment of second party's social security contributions by the state, pursuant to 42 U.S. Code, section 418.

#### **17.00 Violation of tax and employment laws**

KRS 45A.485 requires the Contractor and all subcontractors performing work under the contract to reveal to the Commonwealth any final determination of a violation by the Contractor within the previous five (5) year period of the provisions of KRS chapters 136, 139, 141, 337, 338, 341, and 342. These statutes relate to corporate and utility tax, sales and use tax, income tax, wages and hours laws, occupational safety and health laws, unemployment insurance laws, and workers compensation insurance laws,

respectively. Disclosure of any violations is required prior to the award of any state contract and throughout the duration the contract.

Failure to disclose violations, shall be grounds for the Commonwealth's disqualification of a contractor or subcontractor from eligibility for future state contracts for a period of two (2) years.

To comply with KRS 45A.485, the Contractor and all subcontractors performing work under this contract shall report any such final determination(s) of any violation(s) within the previous five (5) years to the Commonwealth by providing a list of the following information regarding any violation(s): (1) specific KRS violated, (2) date of any final determination of a violation, and (3) state agency which issued the final determination.

A list of any disclosures made prior to award of a contract shall be attached to the contract.

The Contractor affirms that it has not violated any of the provisions of the above statutes within the previous five (5) year period, aside from violations explicitly disclosed and attached to this contract. Contractor further affirms that it will (1) communicate the above KRS 45A.485 disclosure requirements to any subcontractors and (2) disclose any subcontractor violations it becomes aware of to the Commonwealth.

#### **18.00 Non-Discrimination**

The Equal Employment Opportunity Act of 1978 (the "Act"), KRS 45.560 to 45.640, applies to all State government contracts or subcontracts in an amount exceeding \$500,000. The contractor shall comply with all terms and conditions of the Act.

During the performance of this contract, the Contractor agrees as follows:

- (a) The Contractor shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, age forty (40) and over, disability, veteran status, or national origin or.
- (b) The Contractor shall take affirmative action in regard to employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination rates of pay or other forms of compensation, and selection for training, so as to ensure that applicants are employed and that employees are treated during employment without regard to their race, color, religion, sex, age forty (40) and over, disability, veteran status, and national origin. Such action shall include, but not be limited to the following:
- (c) The Contractor shall state in all solicitations or advertisements for employees placed by or on behalf of the Contractor that all qualified applicants will
- (d) receive consideration for employment without regard to race, color, religion, sex, age forty (40) and over, disability, veteran status, or national origin.

- (e) The Contractor shall post notices in conspicuous places, available to employees and applicants for employment, setting forth the provisions of this non-discrimination clause.

The Contractor shall send a notice to each labor union or representative of workers with which he/she has a collective bargaining agreement or other contract or understanding advising the said labor union or workers' representative of the Contractor's commitments under this nondiscrimination clause.

The Contractor's noncompliance with the nondiscrimination clauses of this contract shall constitute a material breach of the contract.

Each Contractor shall, for the length of the contract or at the point at which the contract is covered by this Act and until its conclusion, furnish such information as required by the Act and any rules, regulations and orders issued pursuant thereto and permit access to all books and records pertaining to his employment practices and work sites by the contracting agency and the Cabinet to ascertain compliance with the Act.

This section applies to agreements disbursing federal funds, in whole or part, only when the terms for receiving those funds mandate its inclusion.

#### **19.00 Bidder, Offeror, or Contractor Mandatory Representations Compliance with Commonwealth Law**

The contractor represents that, pursuant to KRS 45A.485, they and any subcontractor performing work under the contract will be in continuous compliance with the KRS chapters listed below and have revealed to the Commonwealth any violation determinations within the previous five (5) years:

- KRS Chapter 136 (CORPORATION AND UTILITY TAXES)
- KRS Chapter 139 (SALES AND USE TAXES)
- KRS Chapter 141 (INCOME TAXES)
- KRS Chapter 337 (WAGES AND HOURS)
- KRS Chapter 338 (OCCUPATIONAL SAFETY AND HEALTH OF EMPLOYEES)
- KRS Chapter 341 (UNEMPLOYMENT COMPENSATION)
- KRS Chapter 342 (WORKERS' COMPENSATION)

#### **Boycott Provisions**

The contractor represents that, pursuant to KRS 45A.607, they are not currently engaged in, and will not for the duration of the contract engage in, the boycott of a person or an entity based in or doing business with a jurisdiction with which Kentucky can enjoy open trade. **Note:** The term Boycott does not include actions taken for bona fide business or economic reasons, or actions specifically required by federal or state law.

**Lobbying Prohibitions**

The contractor represents that they, and any subcontractor performing work under the contract, have not violated the agency restrictions contained in KRS 11A.236 during the previous ten (10) years, and pledges to abide by the restrictions set forth in such statute for the duration of the contract awarded.

The contractor further represents that, pursuant to KRS 45A.328, they have not procured an original, subsequent, or similar contract while employing an executive agency lobbyist who was convicted of a crime related to the original, subsequent, or similar contract within five (5) years of the conviction of the lobbyist.

**IN WITNESS WHEREOF**, and intending to be legally bound hereby, the parties hereto have caused this **AGREEMENT** to be executed upon signature by proper officers and representatives on the date and year first written above:

Applicant:

*Linda Gorton* 8/19/25  
Lexington-Fayette Urban County Government (LFUCG) Date  
Mayor

Recommended Grant Approval:

*Tabitha Martin* 08/20/25  
Tabitha Martin, Regional Program Manager Date  
Office of Transportation Delivery

Approved:

*Vickie S. Bourne*  
Vickie S. Bourne, Executive Director  
Office of Transportation Delivery

08/21/25

Date

200 Mero Street  
Frankfort, KY 40622

Phone: (502) 564-7433

Form and Legality:

*Todd Shipp*  
Todd Shipp (Aug 7, 2025 07:49:25 EDT)  
Todd Shipp, Asst. General Counsel  
Office of Legal Services

08/07/25

Date

# LFUCG FY2026 5303 Contract

Final Audit Report

2025-08-07

Created:	2025-08-06
By:	Tabitha Martin (Tabitha.Martin@ky.gov)
Status:	Signed
Transaction ID:	CBJCHBCAABAAZWmqyJjOeCgkeSjix1oB68mw7e7XcC51

## "LFUCG FY2026 5303 Contract" History

-  Document created by Tabitha Martin (Tabitha.Martin@ky.gov)  
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-  Document emailed to todd.shipp@ky.gov for signature  
2025-08-06 - 7:25:11 PM GMT
-  Email viewed by todd.shipp@ky.gov  
2025-08-06 - 10:23:56 PM GMT- IP address: 54.145.55.175
-  Signer todd.shipp@ky.gov entered name at signing as Todd Shipp  
2025-08-07 - 11:49:23 AM GMT- IP address: 205.204.186.47
-  Document e-signed by Todd Shipp (todd.shipp@ky.gov)  
Signature Date: 2025-08-07 - 11:49:25 AM GMT - Time Source: server- IP address: 205.204.186.47
-  Agreement completed.  
2025-08-07 - 11:49:25 AM GMT

# LFUCG FY2026 5303 Contract - Signed by LFUCG

Final Audit Report

2025-08-21

Created:	2025-08-20
By:	Tabitha Martin (Tabitha.Martin@ky.gov)
Status:	Signed
Transaction ID:	CBJCHBCAABAAi3E-KeDcdflf_7iuEyBdUBg7qTSW8-w5

## "LFUCG FY2026 5303 Contract - Signed by LFUCG" History

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Signature Date: 2025-08-20 - 5:48:26 PM GMT - Time Source: server- IP address: 205.204.186.47
-  Document emailed to Vickie Bourne (vickie.bourne@ky.gov) for signature  
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-  Email viewed by Vickie Bourne (vickie.bourne@ky.gov)  
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-  Document e-signed by Vickie Bourne (vickie.bourne@ky.gov)  
Signature Date: 2025-08-21 - 10:31:13 AM GMT - Time Source: server- IP address: 205.204.186.47
-  Agreement completed.  
2025-08-21 - 10:31:13 AM GMT



FY26 \$

ATTACHMENT B-5303

Lexington-Fayette Urban County Government  
 LFUCG  
 SECTION 5303 FY2026  
 KY-2024-012-01 (ALN #20.505)  
 P031224442

KYTC/OFFICE OF TRANSPORTATION DELIVERY  
 SEC 5303 URBANIZED AREA TRANSP PLANNING  
 WORK PROGRAM/INVOICE FORM  
 JULY 1, 2025 - JUNE 30, 2026

ALI CODE	CAPITAL DESCRIPTION	CURRENT MONTHLY EXPENSES	YEAR TO DATE EXPENSES	APPROVED AMOUNT	BALANCE
<b>ALI Code 44.21.00 (P031224442) - Program Support Admin</b>		\$ -	\$ -	\$ 18,007.00	\$ 18,007.00
	Federal Share 80%	\$ -	\$ -	\$ 18,007.00	\$ 18,007.00
	Local Share 20%	\$ -	\$ -	\$ -	\$ -
<b>ALI Code 44.21.00 (P031224442) - Program Support Admin</b>		\$ -	\$ -	\$ 15,998.00	\$ 15,998.00
	Federal Share 80%	\$ -	\$ -	\$ 15,998.00	\$ 15,998.00
	Local Share 20%	\$ -	\$ -	\$ -	\$ -
<b>ALI Code 44.25.00 (P031224442) - Transportation Improven</b>		\$ -	\$ -	\$ 35,496.00	\$ 35,496.00
	Federal Share 80%	\$ -	\$ -	\$ 35,496.00	\$ 35,496.00
	Local Share 20%	\$ -	\$ -	\$ -	\$ -
<b>ALI Code 44.27.00 (P031224442) - Long Term Planning Plai</b>		\$ -	\$ -	\$ 15,999.00	\$ 15,999.00
	Federal Share 80%	\$ -	\$ -	\$ 15,999.00	\$ 15,999.00
	Local Share 20%	\$ -	\$ -	\$ -	\$ -
<b>ALI Code (Program Code) - Description</b>		\$ -	\$ -	\$ 18,000.00	\$ 18,000.00
	Federal Share 80%	\$ -	\$ -	\$ 18,000.00	\$ 18,000.00
	Local Share 20%	\$ -	\$ -	\$ -	\$ -
<b>ALI Code (Program Code) - Description</b>		\$ -	\$ -	\$ 4,500.00	\$ 4,500.00
	Federal Share 80%	\$ -	\$ -	\$ 4,500.00	\$ 4,500.00
	Local Share 20%	\$ -	\$ -	\$ -	\$ -
<b>ALI Code (Program Code) - Description</b>		\$ -	\$ -	\$ -	\$ -
	Federal Share 80%	\$ -	\$ -	\$ -	\$ -
	Local Share 20%	\$ -	\$ -	\$ -	\$ -
<b>ALI Code (Program Code) - Description</b>		\$ -	\$ -	\$ -	\$ -
	Federal Share 80%	\$ -	\$ -	\$ -	\$ -
	Local Share 20%	\$ -	\$ -	\$ -	\$ -
<b>ALI Code (Program Code) - Description</b>		\$ -	\$ -	\$ -	\$ -
	Federal Share 80%	\$ -	\$ -	\$ -	\$ -
	Local Share 20%	\$ -	\$ -	\$ -	\$ -

FY 2021

ALI Code (Program Code) - Description	\$ -	\$ -	\$ -	\$ -
Federal Share 80%	\$ -	\$ -	\$ -	\$ -
Local Share 20%	\$ -	\$ -	\$ -	\$ -
<b>TOTAL EXPENSES</b>	\$ -	\$ -	\$ 108,000.00	\$ 108,000.00
TOTAL FEDERAL SHARE 80%	\$ -	\$ -	\$ 86,400.00	\$ 86,400.00
TOTAL LOCAL SHARE 20%	\$ -	\$ -	\$ 21,600.00	\$ 21,600.00

AGENCY APPROVED SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_

KYTC APPROVAL \_\_\_\_\_