

Next stop: mobility improvements.

METRO GRANT SUBRECIPIENT GUIDEBOOK



Metro

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SUBRECIPIENT PROCESSES AND PROCEDURES GUIDEBOOK

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Metro Grants Management and Oversight Subrecipient Processes and Procedures Guidebook

Chapter 1: Introduction

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SUBRECIPIENT PROCESSES AND PROCEDURES GUIDEBOOK

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Chapter 1 INTRODUCTION

1.1 INTRODUCTION

This Guidebook’s aim is to provide information and ‘how to’ instructions for entities managing grant funds from the Grants Management and Oversight (GM&O) Unit at the Los Angeles County Metropolitan Transportation Authority, herein referred to as Metro and/or LACMTA.

This Guidebook is also intended to outline the rules that must be followed for subrecipients to ensure that federal funds are lawfully expended.

Most of this information is also disseminated during Metro’s periodic solicitations during which interested entities may wish to apply for available federal funding opportunities.

Subrecipient

Subrecipient is an entity that receives a sub-award from a ‘Pass-through Entity,’ such as Metro.

Pass-through Entity

A pass-through entity is a recipient that provides assistance through a sub-award to carry out a Grant Agreement.

1.1.1 WHY THIS GUIDEBOOK?

This Guidebook standardizes policies and procedures to create operational consistency and improve business continuity and planning.

Goals of this Guidebook

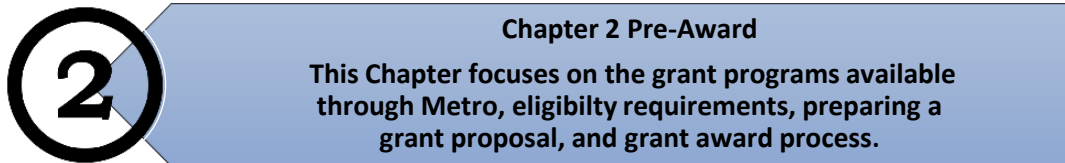
The goals of this Guidebook is to help subrecipients:

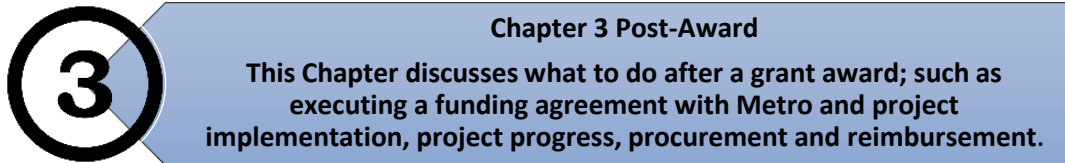
- Maintain a point of reference for grant management processes
- Understand the requirements of grant funded projects
- Understand the processes to meet grantor compliance requirements

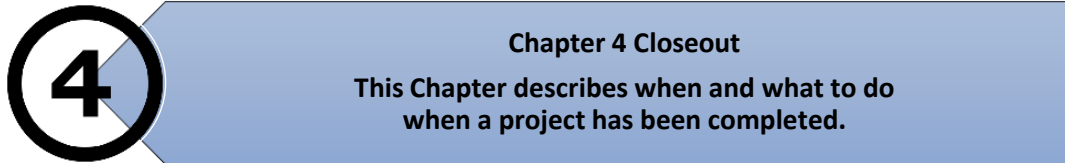
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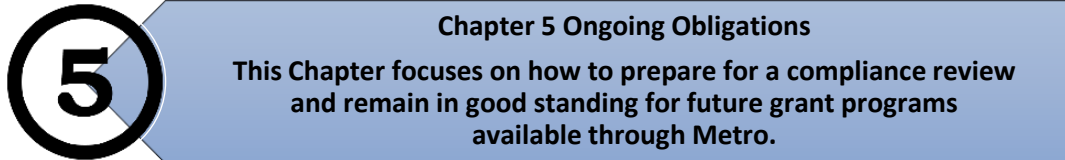
The Guidebook introduces subrecipients to the general requirements and processes for applying, managing, complying and closing out grants from Metro. Subrecipients should become familiar with its content, follow and refer to the applicable resources, use the templates and resources provided to prepare applicable documents, use the Guidebook to address general questions, and share applicable grant requirements with staff from your organization and/or third party contractors.

In regards to format of the Guidebook, it was developed using the most commonly asked questions from subrecipients and organized by subject areas for each applicable chapter in a manner to follow a linear lifecycle format to best assist subrecipients along the grant pass-through process; which includes pre-award, post-award, closeout and ongoing obligations, also referred to as “continuing control.” The following is an overview of the following chapters within this Guidebook:

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2 **Chapter 2 Pre-Award**
This Chapter focuses on the grant programs available through Metro, eligibility requirements, preparing a grant proposal, and grant award process.
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3 **Chapter 3 Post-Award**
This Chapter discusses what to do after a grant award; such as executing a funding agreement with Metro and project implementation, project progress, procurement and reimbursement.
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4 **Chapter 4 Closeout**
This Chapter describes when and what to do when a project has been completed.
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5 **Chapter 5 Ongoing Obligations**
This Chapter focuses on how to prepare for a compliance review and remain in good standing for future grant programs available through Metro.

Furthermore, the Guidebook includes reference material that will be helpful resources to subrecipients. This reference material will include the following features:

- Highlighted Notations throughout the Guidebook to point out and identify important issues, including definitions and important reminders and/or conditions;
- Appendices at the end of each chapter that contain checklist, templates, forms, and other supporting documentation. Furthermore, the Guidebook Exhibits in the Appendix are numbered by Chapter Number and applicable exhibit number for that Chapter. For example, the first exhibit in Chapter 2 is identified as Exhibit 2-1, and the first exhibit in Chapter 3 is identified as Exhibit 3-1.

1.1.3 WHAT IS THE PASS-THROUGH POLICY AND WHAT ARE OUR ROLES & RESPONSIBILITIES?

This section contains Metro’s pass-through policy and the roles and responsibilities for the grant programs managed by the GM&O Unit.

A. Pass-Through: Purpose

The singular purpose of this Program is to expedite the delivery of specified federal funds to cities and local agencies within Los Angeles County. To this end, the Los Angeles County Metropolitan Transportation Authority (LACMTA) may serve as a pass-through grant sponsor for interested cities and local agencies, according to all existing and future amended financial control policies.

B. Pass-Through: Specified Funds

For purposes of this Program, the LACMTA will only consider assisting interested cities and local agencies within Los Angeles County in obtaining federal funds for which the requesting city or agency is the pre-Designated Recipient, such as Section 5310, federal highway funding earmarked by Congress or programmed by LACMTA, such as Congestion Management Air Quality (CMAQ), and other federal funds awarded to the city or local agency for transportation related projects. Federal Transit Administration (FTA) Section 5307 Urban Formula Program funding provided to Los Angeles County municipal operators is specifically excluded from the authorizations established by this Program.

C. Pass Through: Interested Cities and Local Agencies

The LACMTA will only consider assisting cities and local agencies within Los Angeles County that are not, at the time of their request, approved federal or state transportation funds Direct Recipients. For the purposes of this Program, the term “local agencies” will include private or quasi-public developments that may receive funds for transportation related improvements.

D. Pass Through: Financial Responsibility

The LACMTA and all interested cities and local agencies will execute a Funding Agreement which establishes that the city or local agency is financially responsible for all project costs, including local match funds and overages, pertaining to their project. In some cases, LACMTA would retain an amount not to exceed 5% of the total grant amount available to cover our costs for preparing and submitting a grant application, and for managing the grant. The exact amount of this service fee will be negotiated between authorized representatives of the city or local agency and the LACMTA’s Chief Executive Officer or the Chief Executive Officer’s Designee.

As a resource, *Table 1-1 Stakeholder Roles by Metro Grant Program* lists the stakeholder role by applicable Metro grant program along with type of federal grant program (Discretionary, Earmark, and Formula).

Table 1-1: Stakeholder Roles by Metro Grant Program

	CMAQ	FTA Section 5309*	FTA Section 5310	FTA Section 5316	FTA Section 5317
Roles					
Grantor	FTA	FTA	FTA	FTA	FTA
Designated Recipient	N/A	N/A	Metro	SCAG**	SCAG**
Direct Recipient	Metro	Metro	Metro	Metro	Metro
Pass-through Entity	Metro	Metro	Metro	Metro	Metro
Subrecipient	Sub	Sub	Sub	Sub	Sub
Type of Grant					
Discretionary	X				
Earmarks		X			
Formula	X		X	X	X

*only old projects

**Southern California Association of Governors (SCAG)

E. Roles and Responsibilities

The following Responsibilities by Roles Tables are provided to give subrecipients an understanding of the general roles and functions by the major areas of the grant pass-through process:

- Pre-Award
- Post-award
- Closeout
- Ongoing Obligations

The tables are not meant to be comprehensive but instead meant to identify the major grant pass-through responsibilities to subrecipients and roles most likely to perform the function. The responsibilities and roles will be discussed in detail in the applicable chapter.

Table 1-2: Pre Award Roles and Responsibilities

Pre Award Roles and Responsibilities	Grantor	Metro	Subrecipient
Grant Formula Allocations	R	P	
Competitive Solicitation	R	P	
Grant Applicant Eligibility - DUNS Registration		R	P
Grant Applicant Eligibility - Rules & Requirements		R	P
Grant Applicant Eligibility - DUNS Registration		R	P
Grant Proposal Development & Submittal		R	P
Grant Proposal Pre-Evaluation		P	S
Grant Proposal Evaluation		P	S
Grant Proposal Selection		P	
Grant Proposal Notice of No Recommended Award		P	S
Grant Proposal Preliminary Award Notice		P	S
Grant Proposal - Metro Governing Board Adoption		P	
Grant Application - Metro Grant Application Support	R	P	S
Grant Proposal - Final Award Notice		P	S
<i>P = PRIMARY RESPONSIBLE PARTY S = SUPPORTING ACTION PARTY R = REVIEW AND/OR SUPPORT</i>			

Table 1-3: Post-Award Roles and Responsibilities

Post-Award Roles and Responsibilities	Grantor	Metro	Subrecipient
Grant Project Start-up - Project Manager Designation		R	P
Grant Project Start-up - Subrecipient Workshop		P	S
Grant Funding Agreement		P	S
Grant Project Set-up		R	P
Grant Project Records	R	R	P
Grant Procurement Requirements		R	P
Grant Procurement Certification		R	P
Grant Third-Party Subcontracting	S	R	P
Grant Quarterly Project Reports	R	R	P
Grant Quarterly Financial Reports	R	P	S
Annual FTA Subrecipient Self-Certification	R	R	P
Other Reports, Certifications, etc.	R	R	P
Grant Project Change - Budget Revisions & Amendments	S	R	P
Grant Reimbursement	R	R	P
Metro Retention		R	P
<i>P = PRIMARY RESPONSIBLE PARTY</i> <i>S = SUPPORTING ACTION PARTY</i> <i>R = REVIEW AND/OR SUPPORT</i>			

Table 1-4: Closeout Roles and Responsibilities

Closeout Roles and Responsibilities	Grantor	Metro	Subrecipient
Grant Project Completion Verification <ul style="list-style-type: none"> • All project tasks with grant funds are closed • All project tasks are complete and closed (project complete) • All project invoices and payments are executed • Grant reimbursement invoices are complete • Grant funding balance is zero (0) or a defined balance remains • There are no outstanding claims with grant fund linkage • Execution period for the Grant is equal to or past the end date for closing 		R	P
Notice of Project Completion		S	P
Project Completion Review		P	S
Request of Final Acceptance		S	P
Closeout Certification	R	P	S
<i>P = PRIMARY RESPONSIBLE PARTY</i> <i>S = SUPPORTING ACTION PARTY</i> <i>R = REVIEW AND/OR SUPPORT</i>			

Table 1-5: Ongoing Obligations Roles and Responsibilities

Ongoing Obligations Roles and Responsibilities	Grantor	Metro	Subrecipient
Annual Ongoing Certifications		S	P
Audit Preparation		R	P
Audit Notice		P	S
Audit Documentation Submittal		S	P
Audit Desk Review		P	S
Audit Site Review		P	S
Audit Findings	R	P	S
Corrective Actions	R	S	P
<i>P = PRIMARY RESPONSIBLE PARTY S = SUPPORTING ACTION PARTY R = REVIEW AND/OR SUPPORT</i>			

Metro Grants Management and Oversight Subrecipient Processes and Procedures Guidebook

Chapter 2: Pre-Award

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Chapter 2 PRE-AWARD

Chapter 2 assists subrecipients in the pre-award process of a grant proposal including determining whether they are eligible and have the capacity to comply with the applicable requirements. The Chapter will address grant programs available from GM&O, eligibility and the applicable rules and requirements subrecipients need to follow and comply by.

2.1 GRANT PROGRAMS AVAILABLE THROUGH METRO

There are a few possible funding opportunities available through the GM&O Unit at Metro that may change regularly due to available funding and resources. The processes for these funding opportunities also vary based on Metro's role, such as designated and Direct Recipient, but more importantly the type of funding; **Discretionary** and **Formula**.

A. Discretionary Grants

The GM&O Unit provides the opportunity for interested subrecipients in Los Angeles County to apply through a competitive process for formula grant programs allocated to Metro. About every two years, the GM&O Unit solicits a funding opportunity for the available pass-through formula grant program funds. The amount and programs may vary from each cycle due to the funding levels available along with changes to the programs and balance of funds from prior cycles. The solicitation is released after Metro's governing Board reviews and approves the solicitation along with any other applicable material; such as the Program Management Plans and the Los Angeles County Coordinated Plan. During the most recent solicitation, GM&O made available over \$15 million in grant funds for the following three FTA programs:

- Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities
- Section 5316 Job Access and Reverse Commute (JARC)
- Section 5317 New Freedom

Furthermore, the GM&O Unit also provides opportunities for subrecipients to collaborate and partner with Metro on national and regional competitive funding opportunities. The GM&O Unit actively and aggressively searches for funding opportunities and regularly seeks partnership opportunities from entities outside of Metro.

The following table provides a summary of the discretionary grant programs that may be available through Metro; **Table 2-1 GM&O Grant Programs: Discretionary**.

Discretionary v Formula Grants

Discretionary Grants are those grants that are competitive on a national or regional basis and are awarded based upon an evaluation of the grant proposal by either the grantor or designated recipient. The evaluation is typically based on some selection criteria within the solicitation and proposal requirements or grant application. These funds are also referred to as competitive funds.

Formula Grants are apportioned and allocated grant funds provided to Metro for the execution of Metro projects. Typically, the formula funds are allocated geographically, such as to States, Counties, regions/urbanized areas, cities, and/or transit operators.

Table 2-1 – GM&O Grant Programs: Discretionary

GRANT PROGRAM	STATUTORY REFERENCE	PURPOSE	ELIGIBLE RECIPIENTS	ELIGIBLE ACTIVITIES	MATCH	FUNDING AVAILABILITY	PROGRAM GUIDANCE
FTA Section 5307/5340 Urbanized Area Formula Program	49 U.S.C. Section 5307 and 5340 / FAST ACT Sections 3004, 3016	Contribute to the improvement of the condition of the public ferry systems by providing financial assistance for capital projects.	Designated Recipients or eligible Direct Recipients of Section 5307 funds, includes public entities engaged in providing a public transportation passenger ferry service. Metro may coordinate and partner with public ferry system providers in LA County.	Eligible projects are capital projects including ferries, terminals, and related infrastructure.	80% Federal & 20% Local, unless proposal meets exception for 85% & 90% match.	Obligated within 5 years after the fiscal year in which the amount is awarded.	FTA Circular C 9030.1E
FTA Section 5309 Fixed Guideway Capital Investment Grants* *only old projects	49 U.S.C. Section 5309 / FAST Section 3005	Invest in capital equipment and facilities to allow for efficient and improved public transportation services.	States and local governments, such as public agencies, private companies engaged in public transportation and private non-profit organizations, are eligible to receive funds under the Bus Program & include public entities in the urbanized areas to which funds are apportioned.	Assets: Buses and bus facilities, fixed guideway modernization, New Starts & Small Starts, and the support new fixed guideway capital projects. Additional activities include elements that may be incorporated into a Section 5309 capital investment grant.	80% Federal & 20% Local, unless the grant recipient requests a lower percentage.	Obligated within 2 years after the fiscal year in which the amount is apportioned.	FTA Circular C 9300.1B
FTA Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities	49 U.S.C. Section 5310 / FAST Act Section 3006	Improve mobility for seniors & individuals with disabilities by removing barriers to transportation service & expanding transportation mobility options.	Program limits Direct Recipients to only Designated Recipients. Eligible subrecipients include; Private nonprofit organizations, State or local governmental authorities and operators of public transportation (including taxis) that provide shared-ride service to the public.	Minimum of 55% of funds must be used for capital project. The remaining 45% is eligible for expanded projects.	The match requirements vary by project type and if Transportation Development Credits (TDC) are applied.	Obligated within 2 years after the fiscal year in which the amount is apportioned.	FTA Circular C 9070.1G

GRANT PROGRAM	STATUTORY REFERENCE	PURPOSE	ELIGIBLE RECIPIENTS	ELIGIBLE ACTIVITIES	MATCH	FUNDING AVAILABILITY	PROGRAM GUIDANCE
FTA Section 5316 Job Access and Reverse Commute (JARC)	49 U.S.C. Section 5316 / SAFETEA-LU	Improve access to transportation services to employment and employment related activities for low-income individuals.	Grant program is repealed as of 2013. Metro is currently disturbing available competitively funding from past allocations to eligible subrecipients through competitive solicitations.	Capital, planning & operating expenses supporting development & maintenance of transportation services designed to transport low-income individuals to and from jobs or related supporting activities.	80% Federal & 20% Local, unless proposal meets exception for 50%, 85%, 90% and 100% toll credits match.	Obligated within 2 years after the fiscal year in which the amount is apportioned.	FTA Circular C 3050.1
FTA Section 5317 New Freedom	49 U.S.C. Section 5317 / SAFETEA-LU	Reduce barriers to transportation services & expand the transportation options available to people with disabilities beyond the requirements of ADA.	Grant program is repealed as of 2013. Metro is currently disturbing available competitively funding from past allocations to eligible subrecipients through competitive solicitations.	Capital & operating expenses supporting new public transportation services beyond those required by the ADA and alternatives designed to assist individuals with disabilities.	80% Federal & 20% Local, unless proposal meets exception for 50%, 85%, 90% and 100% toll credits match.	Obligated within 2 years after the fiscal year in which the amount is apportioned.	FTA Circular C 9045.1

B. Formula Grant Programs

FTA Formula Programs are usually appropriated on annual basis to States and Urbanized Areas (UZA) and distributed using a formula that ranges from a combination of bus revenue vehicle miles, bus passenger miles, fixed guideway revenue vehicle miles, fixed guideway route miles as well as population and population density. There are three distinct large UZAs in for Los Angeles County:

- Lancaster-Palmdale UZA
(Medium; Over 200,000 population)
- Los Angeles – Long Beach – Anaheim UZA
(Large; Over 1 Million population)
- Santa Clarita UZA
(Medium; Over 200,000 population)

In collaboration with Southern California Association of Governments (SCAG), on an annual basis, Metro is responsible for coordinating and finalizing allocations of federal formula grant apportionments to eligible recipients in Los Angeles County, including subrecipients. This includes verifying amounts for accuracy, swap and transfer of funds, programming of federal funds and ongoing tracking of obligated funds in order to ensure timely use of funds.

Urbanized Area (UZA)

An Urbanized Area is an area encompassing a population of not less than 50,000 people that has been defined and designated in the most recent decennial census as an urbanized area by the secretary of the U.S. Department of Commerce.

There are three types of UZAs:

- *Large UZA: Population is greater than or equal to 1 million*
- *Medium UZA: Population is 200,000 through 999,999*
- *Small UZA: Population is 50,000 through 199,999*

Areas under 50,000 in population are referred to as non-urban and/or rural areas. Formula funds for these areas are typically allocated to the States, followed by pass-through grants to eligible subrecipients in non-urban, rural areas. For subrecipients receiving FTA funds from the State in Los Angeles County, it is in the best interest of Metro to provide guidance and support to these subrecipients to ensure appropriate allocations and resources as well as improve overall transportation within all areas of Los Angeles County.

The following table provides a summary of the various formula grant programs available through Metro; **Table 2-2 GM&O Grant Programs: Formula.**

Table 2-2 – GM&O Grant Programs: Formula

GRANT PROGRAM	STATUTORY REFERENCE	PURPOSE	ELIGIBLE RECIPIENTS	ELIGIBLE ACTIVITIES	MATCH	FUNDING AVAILABILITY	PROGRAM GUIDANCE
FTA Section 5307/5340 Urbanized Area Formula Program	49 U.S.C. Section 5307 and 5340 / FAST ACT Sections 3004, 3016	Finance assistance for transit capital, operating assistance & related planning in urbanized areas.	Metro allocates funding to recipients & in coordination with SCAG, authorizes recipients to receive program funds directly from FTA. Eligible recipients are public fixed route operators. Metro also allocates a set aside for subrecipients who are LA County public transit operators & met specific thresholds.	Planning, engineering, design and evaluation of transit projects and other technical transportation-related studies.	80% of net project cost. Federal share may be 90% for cost of ADA/CAA vehicle equipment & bicycle projects. Federal share may not exceed 50% for operating.	Obligated within five years after the fiscal year in which the amount is apportioned.	FTA Circular C 9030.1E
FTA Section 5311 Rural Area Formula Program	49 U.S.C. Section 5311 / FAST Act Section 3007	Capital, planning, & operating assistance to support public transportation in rural areas with populations less than 50k.	Funding is allocated by the State through Metro to eligible recipients in non-urban and rural areas for Los Angeles County. Please note, eligible recipients under these program become subrecipients of the State and not Metro.	Planning, capital, operating, job access & reverse commute projects, & the acquisition of public transportation services.	80% of the net cost for capital projects & 50% of the net cost for operating assistance.	In coordination with Caltrans, Metro distributes the allocations on annual basis.	FTA Circular C 5100.1
FTA Section 5337 State of Good Repair	49 U.S.C. Section 5337 / FAST Act Section 3015	Financial assistance to public transit agencies that operate rail fixed-guideway and high-intensity motorbus systems for the maintenance, replacement, and rehabilitation of capital assets and transit asset management plans.	Metro allocates funding to eligible recipients in coordination with SCAG, & authorizes Direct Recipients. Metro may swap program funds with Section 5307 for eligible Direct Recipients. Direct Recipients must be providers of public fixed guideway & high intensity motorbus systems for at least 7 years. Metro does not sub-award Section 5337 funds.	Projects that maintain, rehabilitate, & replace capital assets, as well as projects that implement transit asset management plans.	80% Federal & 20% Local	Obligated within 3 years after the fiscal year in which the amount is apportioned.	FTA Circular C 5300.1

FTA Section 5339 Bus and Bus Facilities	49 U.S.C. Section 5339 / FAST Act Section 3017	Replace, rehabilitate & purchase buses and related equipment & to construct bus-related facilities including technological changes or innovations to modify low or no emission vehicles or facilities.	Metro allocates funding to eligible recipients in coordination with SCAG, & authorizes Direct Recipients. Metro may swap program funds with Section 5307 for eligible Direct Recipients. Direct Recipients must be fixed route bus operators & receive direct 5307 & 5311 funds. Metro does not sub-award Section 5339 funds.	Capital projects to replace, rehabilitate and purchase buses, vans, related equipment, and to construct facilities.	80% Federal and 20% Local	Funds must be obligated within three years after the fiscal year in which the amount is apportioned.	
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ONLINE RESOURCES

FTA Section 5307/5340 - Urbanized Area Formula Program: Program Guidance and Application Instructions

https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FINAL_FTA_circular9030.1E.pdf

FTA Section 5309 - Capital Investment Program Guidance and Application Instructions

https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/Final_C_9300_1_Bpub.pdf

FTA Section 5310 - Enhanced Mobility of Seniors and Individuals With Disability Program Guidance and Application Instructions

https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/C9070_1G_FINAL_circular_4-20-15%281%29.pdf

FTA Section 5311 - Formula Grants for Rural Areas: Program Guidance and Application Instructions

https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FTA_Circular_9040_1Gwith_index_-_Final_Revised_-_vm_10-15-14%281%29.pdf

FTA Section 5312 - Research, Technical, Assistance and Training Programs: Application Instructions and Program Management Guidelines:

https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FTA_Cir_6100.1E.docx_4.08.2015_%282%29_0.pdf

2.2 ELIGIBILITY REQUIREMENTS

This section describes the most common eligible subrecipients and projects for the grant programs discussed in the previous section. Furthermore, this section provides a step by step process for registering for a DUNS Number, which is required for all subrecipients.

Note: Per [2 CFR 25.110](#), the term for DUNS Number has been replaced by the term “Unique Entity Identifier” (UEI). The term DUNS Number will be used for this Guidebook as the term is more recognizable and familiar for subrecipients, however, the term UEI Number may be used interchangeably with DUNS Number and may completely replace the term in related grant forms, documents and user systems, as well as updates to this Guidebook.

A. Eligible Subrecipients: Nonprofits and Local Government

Based on the subrecipients identified in the previous section for the different grant programs available through Metro, the most common types of eligible subrecipients are:

- Private nonprofit organizations; and
- State or local governmental authorities, including a political subdivision of a State, such as a city or county; a state authority or an authority of a political subdivision of a State; and a public corporation, board, or commission established under the laws of a State; such as a public transportation operator for rail, bus and ferry services.

NOTE: Some grant programs may have expanded eligible subrecipients beyond the two types of subrecipients noted in this section. For the purpose of this Guidebook, the two most common eligible subrecipients are referred to but may not be limited to. Applicants need to verify the applicable grant program guidance for recipient eligibility.

For subrecipients declaring eligibility as either a private nonprofit organization or a local government authority, verification and/or certification is required from subrecipients. **Exhibit 2-1 Applicant Certification**, is an example of a form that may be used by Metro for interested subrecipients to verify their eligibility. It is recommended that potential subrecipients review the form to determine that it can be completed, and that the required documentation is available.

1. DUNS Number and SAM.gov Profile

Most, if not all, pass-through grant programs from Metro are from federal grantors. Given this, Metro and all applicable recipients, including subrecipients and contractors, must comply and follow federal requirements. One of the initial requirements in receiving funds from a grantor is the federal government requirement (OMB 2 CFR 200.32) for all subrecipients to have an active Data Universal Number System (DUNS) Number. The DUNS Number is a nine-digit identification number that serves to identify the recipient and used to establish entity’s business credit file, which is often referenced by grantors, lenders and potential business partners to help predict the reliability and/or financial stability of working with entity. Subrecipients applying to Metro for federal funds must have an active DUNS number. Subrecipients will not be awarded federal funding from Metro without a DUNS number.

2. Acquiring and Maintaining DUNS Number

Applicants that currently do not have a DUNS number can obtain one for free from Dun & Bradstreet. The following items are the various steps to verify and acquire a DUNS Number from Duns & Bradstreet.

Step 1: Verify No DUNS Number.

Verify entity has not registered for a DUNS number by doing a records search on the federal government's directory site, **System for Award Management**; herein referred to as SAM.GOV. Visitors can do records search on SAM.GOV by entering entities' DUNS numbers, name, type, location, phone number and more. Please note entities name may have been entered incorrectly, as an acronym and/or under different name or parent/umbrella entity. Once verified entity does not have a DUNS number, please move to Step 2. If entity has a DUNS number but the account is inactive, subrecipients are required to have an active DUNS number for GM&O funds. Please refer to Step 5 in regards to keeping account active.

Step 2: Collect Information Need to Apply for DUNS Number

Detailed information in regards to the entity is needed to apply for DUNS number. It is recommended entities gather all the following information, before applying on the online registration form:

- Legal name of entity
- Headquarters or main facility information, including name and address
- Any other names associated with entity or doing business as (DBA)
- Mailing address, including full nine-digit zip code number, state, and city
- Main telephone number.
- Names, titles and contact information for the point of contacts
- Number of employees at your location
- Type of entity, business, etc.

Step 3: Initiate Application and Entity Verification

Entities can begin the DUNS Number process by initiating the [DUNS number online application](#). Most entities will be U.S. government entities and grant recipients will be taken to the DUNS iUpdate portal for government entities; [SAM.GOV](#). Other types of entities, such as businesses, will be directed to the following [Duns & Bradstreet iUpdate portal](#). Before completing registration, user for entity will be required to verify identity by answering series of questions based on geographical and demographic information. The user for entity will be given two opportunities to verify identity. If unsuccessful, the user for entity will be required to have to complete a Duns & Bradstreet Government iUpdate Personal/Business Identification Certification, which requires backup documentation and notarization. If successful, entity will need to create a username and password. It is recommended that the user use entity's email domain account and have multiple users serve as backup for entity in the case of employment turnover.

Step 4: Complete and submit DUNS Number Application

Enter all the required information collected in Step 2 and submit application for DUNS number.

Step 5: Retrieve, Record and Share DUNS Number

Once submitted, the system will process and if no issues, provide a DUNS number at no charge within three business days for grant subrecipients and government contractors. For businesses, it may take up to 30 calendar days. Duns & Bradstreet also offer expedited options for a fee.

It is recommended to save, record, and share the DUNS number with applicable staff.

Step 6: Updating and Maintaining DUNS Number Account

Once registered, entities will be able to monitor and update their account through the applicable online web portal identified in Step 3. Entities are required to update their DUNS number account once every twelve months. If account is not updated, the account will become inactive and entity will not be eligible for federal and Metro grants. If annual update is due or account is inactive, entity users must sign-in to the applicable iUpdate portal, review entity information, and if necessary, update entity information, including point of contacts.

Once update account is accepted, account will become automatically active for the next twelve months. This is the same for inactive accounts. It is recommended entities have multiple users verifying and updating DUNS number account and set an annual reminder to various staff.

Acquiring DUNS Number Summary

- 1) *Verify DUNS Number.*
If none, skip to Step 3.
If active, end.
If inactive, skip to Number 6.
- 2) *Collect Information for DUNS number application*
- 3) *Initiate application and entity verification*
- 4) *Complete and submit DUNS Application*
- 5) *Retrieve, Record and Share DUNS Number*
- 6) *Updating & Maintaining DUNS Account.*

3. DUNS Account Suspended and Debarred

Federal requirements require Metro to ensure that none of its subrecipients are either suspended, debarred, ineligible or voluntarily excluded from participation in federally assisted transactions or procurements. In order to comply and verify the status of subrecipients using the DUNS government iUpdate portal, SAM.GOV, the GM&O Unit at Metro has established routine procedures to perform federal suspension and debarment checks associated with each subrecipient prior to grant awards. It is recommended subrecipients whom may have a suspended and debarred status notify Metro at their earliest convenience and provide a justification to the reason for the suspension and/or debarment.

B. Eligible Projects: Capital, Operating and Planning

Based on the eligible projects identified by grant funding program in Section 2.1, the most common types of eligible projects for GM&O are:

- Capital
- Operating Assistance
- Planning

NOTE: *Some grant programs may have expanded eligible projects beyond the types of eligible projects noted in this section. For the purpose of this Guidebook, the most common eligible projects are referred to but may not be limited to. Applicants need to verify the applicable grant program solicitation for applicable project eligibility.*

1) Capital

Category of reimbursable projects that includes all activities identified in Chapter 53 of Title 49 of the United States Code ([49 U.S.C. § 5302\(3\)](#)).

Examples include but not limited to, the purchase, replacement, and/or rehabilitation of rolling stock, non-revenue vehicles, terminals, stations, facilities, and related equipment. Other projects under capital include mobility management and acquisition of transportation services under a contract, lease or other arrangement, including both contracted services for capital and operating costs and demonstration and innovated/development projects.

2) Operating Assistance

Operating costs necessary to operate, maintain, and manage a public transportation system. Operating expenses usually include such costs as driver salaries, fuel, and items having a useful life of less than one year. Other examples include travel training programs, volunteer drive programs, and operating service enhancements, such as incremental cost of providing same day service or door-to-door service.

3) Planning

Planning related activities that include data gathering, analysis, recommendations, conceptual drawing and designs, outreach, surveys, charrettes, and focus groups. Other activities may also include engineering design and project evaluation.

2.3 HOW TO PREPARE A GRANT PROPOSAL?

This section discusses the general rules and requirements for the applicable grant programs and the general content of a Metro grant proposal. Furthermore, resources are included to complete a general grant proposal from Metro.

A. Rules and Requirements

As a recipient of grant funding, it is a requirement to work in compliance with the rules and regulations that are set forth in the grant documentation; which includes the grant proposal solicitation and Funding Agreement. It is important and crucial to understand the legal requirements for the grant programs available through Metro, including the federal and state regulations, circular rules, and special conditions, certifications and provisions which apply to grant funding. Furthermore, subrecipients have an affirmative duty to review the rules and requirements in order to comply and incorporate all applicable flow-down requirements from Funding Agreements between Metro and subrecipient, including the applicable requirements listed in this section, into such third-party contracts.

1) [The Code of Federal Regulations, Title 2, Chapter 2, Part 200](#)

Establishes uniform administrative requirements, cost principles, and audit requirements for Federal awards to non-Federal entities (recipients, subrecipients, contractors, subcontractors, etc.).

2) [US DOT/FTA Master Agreement](#)

FTA annually issues a Master Agreement that updates the description of all relevant federal requirements for all of FTA's programs. Metro's Master Agreement with FTA requires Metro and its subrecipients, contractors, and subcontractors to comply with Federal and State requirements set forth in the [FTA Master Agreement](#). Subrecipients are subject to the same Federal and State requirements as Metro.

3) Funding Authorization Bills

An authorization bill is a legislation that authorizes the activities of the various federal agencies and programs. Applicable funding and authorizations bills to govern US federal surface transportation spending by applicable years are listed below:

- For federal fiscal years 2015 to 2020 (current authorization):
[Fixing America's Surface Transportation \(FAST\) Act](#)
- For federal fiscal years 2013 and 2014:
[Moving Ahead for Progress in the 21st Century Act \(MAP-21\)](#)
- For federal fiscal years 2006 through 2012:
[Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users \(SAFETEA-LU\)](#)

4) [FTA Circular C 5010.1E Award Management Requirements](#)

The purpose of this circular is to assist recipients in administering FTA-funded projects and in meeting award responsibilities and reporting requirement. Recipients have a responsibility to comply with regulatory requirements and to be aware of all pertinent material to assist in the management of federally assisted awards. The effective date of the final circular was March 21, 2017. FTA updated its Award Management Requirements Circular (formerly "Grant Management Requirements" Circular) to incorporate changes to FTA's programs resulting from enactment of FTA's most recent authorizing legislation, the FAST Act and the MAP-21.

5) Grant Programs Circulars

Furthermore, each federal grant program has a circular, which provide the application instructions and program guidance instructions. As noted in the tables in Section 2.1, the applicable grant program guidance circulars include:

- [FTA Section 5307/5340 - Urbanized Area Formula Program: Program Guidance and Application Instructions](#)
- [FTA Section 5309 - Capital Investment Program Guidance and Application Instructions](#)
- [FTA Section 5310 - Enhanced Mobility of Seniors and Individuals With Disability Program Guidance and Application Instructions](#)
- [FTA Section 5311 - Formula Grants for Rural Areas: Program Guidance and Application Instructions](#)
- [FTA Section 5312 - Research, Technical, Assistance and Training Programs: Application Instructions and Program Management Guidelines](#)
- [FTA Section 5316 - The Job Access and Reverse Commute \(JARC\) Program Guidance and Application Instructions](#)
- [FTA Section 5317 - New Freedom Program Guidance and Application Instructions](#)
- [FTA Section 5337 - Bus and Bus Facilities Formula Program: Guidance and Application Instructions](#)
- [FTA Section 5539 - State of Good Repair Grants Program: Guidance and Application Instructions](#)

6) Other Requirements

Subrecipients are also required to be cognizant of, and insure that their practices conform to, the administrative requirements when applying and accepting grant funds from Metro. Subrecipients should be aware of the specific requirements, as it may differ from the fund source, grantor, pass-

through entity, and/or project type. This awareness will also assist subrecipients in determining if they have the necessary resources to receive and manage grants from Metro. The specific requirements and certifications that subrecipients may need to comply and provide supporting documentation are provided in the following **Table 2-3 Regulatory Requirements List**. Please note, subrecipients may be subject to additional requirements and certifications not identified in the list, or none of the requirement in the list.

Table 2-3 Regulatory Requirements List

Regulatory Requirement		Applicability	Occurrence	Guidebook Reference or Exhibit
Applicant Certification		All FTA 5310 Subrecipients	For all FTA 5310 grant proposal submittals	Exhibit 2-1
Current Grant Subrecipient Compliance Certification		Current active FTA Sections 5310, 5316 and 5317 subrecipients	For all FTA 5310, 5316, 5317 grant proposal submittals	Exhibit 2-2
Debarment/Suspension Certification		All Subrecipients	For all grant proposal submittals	Exhibit 2-3
Subrecipient Self-Certification Form		All Subrecipients with an active project or current asset not yet disposed or fully depreciated.	Annually	Exhibit 2-4
Civil Rights	Civil Rights Certification	All Subrecipients	All applicants	Exhibit 2-5
	FTA Title VI Plan Checklist	All Subrecipients	All subrecipients	Exhibit 2-6
	Environmental Justice Analysis	Construction Project Subrecipients	For all grant construction, rehabilitation & renovation submittals	Exhibit 2-7
	Americans Disability Act (ADA) Policy Information	Information for subrecipients that operate transportation services	Updated as needed	Exhibit 2-8
	Disadvantage Business Enterprise (DBE) Program Information	Information for all 5310 subrecipients receiving more than \$250k FTA funds in prime contracts for fiscal year	Update as needed	Exhibit 2-9
Federal Transit Administration Lobbying Form		All Subrecipients	Annually	Exhibit 2-10

Regulatory Requirement		Applicability	Occurrence	Guidebook Reference or Exhibit
2016 – 2019 Coordinated Public Transit – Human Services Transportation Plan for Los Angeles County		All 5310, 5316, and 5317 projects must derive from Local Coordinated Plan	Updated every three years	N/A
FTA Section 5310 Program Management Plan		All 5310 subrecipients	Throughout life of grant	N/A
FTA Sections 5316 & 5317 Program Management Plan		All 5316 & 5317 subrecipients	Throughout life of grant	N/A
Local Match		All Subrecipients. Amount varies by grant program.	Solicitation and Funding Agreement	See Tables 2-1, & 2-2.
Insurance Minimum Coverage Requirements		Subrecipients with FTA-funded vehicles or operate FTA funded services	Funding Agreement	Exhibit 2-11
Half Fare Policy		FTA 5307 subrecipients and providers of fixed route transit during peak and off-peak hours	Annually – part of Certifications and Assurances	Exhibit 2-12
Construction Employee Protection		All subrecipients with construction contracts over \$2k	By project	Exhibit 2-13
Driver Pre and Post-Award Trip Inspections Information		Subrecipients with FTA-funded vehicles or operate FTA funded services	Every time a vehicle is used by subrecipient until useful life/disposition	Exhibit 2-14
Useful Life Table		All subrecipients	Varies. Requirements apply to the useful life of the purchased item.	Exhibit 2-15
Drug Free Work Place Policy Information		Some subrecipients	Annually – part of Certifications & Assurances	Exhibit 2-16
Procurement	Procurement Certification	All subrecipients procuring goods or services	Applicants and/or for each procurement	Exhibit 2-17
	Independent Cost Estimate Form	All subrecipients procuring goods or services	For each procurement	Exhibit 2-18
	FTA Provisions Matrix for Third Party Contracts	All subrecipients procuring goods or services	For each procurement	Exhibit 2-19

Regulatory Requirement		Applicability	Occurrence	Guidebook Reference or Exhibit
	Procurement Review Checklist	All subrecipients procuring goods or services	For each procurement	Exhibit 2-20
Vehicle Post-Delivery Certifications	Buy America Certification: Post Delivery	All subrecipients' purchasing vehicles	For every vehicle post-delivery	Exhibit 2-21 N/A
	Buy America of Non-Compliance Certification: Post Delivery	All subrecipients' purchasing vehicles	For every vehicle post-delivery	
	Federal Motor Vehicle Safety Standards Compliance Certification	All subrecipients' purchasing vehicles	For every vehicle post-delivery	Exhibit 2-22
	Federal Motor Vehicle Safety Standards Non-Compliance Certification	All subrecipients' purchasing vehicles	For every vehicle post-delivery	
Equipment Vehicle Property Disposition Information		Information for all subrecipients	All projects for the life of the grant and release of lien on vehicle title	Exhibit 2-23
Maintenance Plan Sample Template		Subrecipients with FTA-funded vehicles or operate FTA funded services	Update as needed	Exhibit 2-24
Timely Use of Funds Policy		All subrecipients	Initiates at start date for Funding Agreement and reoccurs throughout Funding Agreement term.	N/A
Preparation of the Schedule for Expenditures of Federal Awards Requirement		All subrecipients receiving Federal funds	Federal grant award setup.	Exhibit 2-25
Asset Management Information		All subrecipients receiving Federal funds for Assets (Equipment, Vehicles, Infrastructure, Facilities)	All capital projects for the life of the grant and applicable use life of property	Exhibit 2-26

B. Grant Proposal Contents and Checklist

This section and the following subsections refer to the general grant proposal materials used by the GM&O Unit for the Fiscal Year 2017 FTA Sections 5310, 5316 and 5317 competitive solicitations. In summary, the general GM&O grant proposal consists of the following:

- Cover Page
- General Information
- Project Narrative
- Project Budget
- Certifications
- Grant Proposal Attachments

Please note the sections of a proposal and related materials may vary by solicitation. Metro provides applicable guidelines and content for each solicitation along with detailed instructions. The purpose of the information in this section is to be used as reference from a current solicitation example and familiarize applicants with what to expect for Metro grant proposal applications and related certification detailed requirements.

1) Cover Page

The Cover Page of the Solicitation provides a summary of the grant proposal package contents, submittal instructions and contact information for any necessary technical assistance. As a resource tool, the **Grant Proposal Overall Package Checklist** is included as **Exhibit 2-27** as a supplement resource for subrecipient's overall grant proposal package. It is recommended subrecipients use this checklist to verify all applicable sections have been included and completed, as well as signed by the subrecipient's Authorized Representative.

2) General Information

Part I General Information of the Grant Proposal Package provides the general information to the GM&O Unit about the subrecipient and proposal project request. As a resource tool, the **Grant Proposal General Information Checklist** is included as **Exhibit 2-28**. This Checklist will ensure

ONLINE RESOURCES

The Code of Federal Regulations, Title 2, Chapter 2, Part 200:

<https://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-part200/content-detail.html>

FTA's Fiscal Year 2018 Master Agreement:

<https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/funding/grantee-resources/sample-fta-agreements/114766/fta-master-agreement-fy2018.pdf>

FTA Circular C 4220.1E, Third Party Contracting Requirements:

[https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/Third Party Contracting Guidance \(Circular 4220.1F\).pdf](https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/Third Party Contracting Guidance (Circular 4220.1F).pdf)

subrecipients complete all the necessary information in Part I, which includes the following:

- Subrecipient Information
- Project Category Type
- Project Service Area
- Project Goal
- Description of Subrecipient Agency/Organization
- Project Budget Summary
- Authorization

3) Project Narrative

Part II Project Narrative of the Grant Proposal Package provides details about the project request and need, along with project objectives, management and implementation, as well as performance and budget justification. This section is very important and will be the section where subrecipients will want to spend most of their time and resources, as this section is used for the selection scoring criteria. As a resource tool, the **Grant Proposal Project Narrative Checklist** is included as **Exhibit 2-29**. This Checklist will ensure subrecipients complete all the necessary information in Part II and address all the important scoring areas, which includes the following:

- Scope of Work, Project Need, Objectives, Coordination and Outreach
- Project Implementation, Operating and Management Plans
- Performance Indicators and Project Effectiveness
- Budget Justification

4) Project Budget

Part III Project Budget consists of the following two budget table categories; Project Expenses and Project Funding. Subrecipients must include all sources of revenue, including user fees and fares, and clearly identify all line item expenses and avoid grouping different budget items. As a resource tool, the **Grant Proposal Project Budget Checklist** is included as **Exhibit 2-30**. This Checklist will ensure subrecipients complete all the necessary information in Part III, which includes the following:

- Project Expenses
- Project Funding
- Total Project Expenses equal the Total Project Funding

Please note, the Total Project Expenses must equal the Total Project Funding (including requested and pending amounts from other request/grants)

5) Certifications

Part IV Certifications consists of the applicable certifications that may be required at the time of grant proposal submittal. For the purpose of the FTA Sections 5310, 5316 and 5317, the following certifications are applicable to the proposal:

- Applicant Certifications (Exhibit 2-1)
- Civil Rights Certification (Exhibit 2-5)
- Current Subrecipient Compliance Certification (Exhibit 2-2)
- Debarment Suspension Certification (Exhibit 2-3)

6) Grant Proposal Attachments

The Attachments are only applicable to specific project categories. Subrecipients are allowed to include any additional Attachments that would further support and/or justify grant proposal. For the purpose of the FTA Sections 5310, 5316 and 5317, the following Attachments are applicable to the proposal:

a) Vehicles Purchasing Schedule

This Attachment is optional for all subrecipients, but recommend for subrecipients proposing to purchase vehicles. It provides an estimated unit cost per vehicle and includes the estimated cost of a standard accessible vehicle with wheelchair lift/ramp and securements, DMV fees, procurement fees, and applicable sales tax.

Please note, it is possible to select fewer applications than the total of those with scores of 70 or above due to eligibility requirements, funding restrictions, and other information referenced in the solicitation.

b) Vehicle Replacement Request Form

Subrecipients requesting funding for vehicle replacement projects, must complete this Attachment in order for Metro to ensure that the new vehicle being proposed for replacement will be utilized effectively for the program.

c) New Service or Service Expansion Vehicle Request Form

Subrecipients requesting funding for new service or expansion of current service must complete this Attachment in order for Metro to ensure the new vehicle being proposed will be utilized effectively for the program.

d) Communication/Computer Equipment Request Form

Subrecipients requesting funding for equipment, such as communication related, computers, wheelchair restraints, software, etc., must complete this Attachment in order for Metro to ensure the equipment is eligible and will be utilized effectively for the program.

2.4 GRANT AWARDS

This section discusses when and how grant awards are announced by Metro along with notification and final award processes to subrecipients.

A. When and How Will Grant Awards Be Announced?

After grant proposal submittal, the GM&O begins and leads the coordination of evaluating, recommending and awarding grant proposals. Typically, the proposal review and selection process may take from three (3) to six (6) months after the grant proposal submittal deadline. This sections provides the major steps for the proposal review process and selection process.

1) Pre-evaluation Review by GM&O Unit

The pre-evaluation review is conducted by the GM&O Unit to ensure the subrecipient and proposal meet the grant program eligibility and proposal submittal requirements. The purpose of the pre-evaluation review is to screen project proposals prior to evaluation by the evaluation panel and is based upon requirements identified in the solicitation and the content of the submitted proposal. If a proposal is deemed ineligible or incomplete, the application will not move forward to be evaluated.

2) Proposal Evaluation

The proposal evaluation is performed by a group of individuals selected as the grant program evaluation panel with the goal of scoring and recommending the highest scoring eligible proposals. The evaluation panel evaluates and scores each proposal. The evaluation is based

upon the scoring metrics identified in the specific solicitation. The final proposal score is the average of all the panel members' scores for that specific proposal.

3) GM&O Selection

The evaluation panel forward the grant proposals with scores of 70 or more to the GM&O Unit management for review. The GM&O Unit management review and select proposals for recommendation of award to the Metro Governing Board for review and final approval.

4) Proposal Notices

Shortly after the GM&O Unit management reviews and approves the recommended proposals for award, subrecipients will receive one of two notices:

a) Notice of No Recommended Proposal Award

Subrecipients with a proposal not recommended for award will be notified in either a formal letter and/or email from the GM&O Unit. Subrecipients will be allowed to appeal per the solicitation documented appeal rules and instructions in notice. Furthermore, subrecipients may request a debrief review for the grant proposal, which may strengthen the proposal for future solicitations.

b) Preliminary Proposal Award Notice

Subrecipients with a proposal recommended for award will be notified in either a formal letter and/or email from the GM&O Unit. A template of the **Proposal Project Award Notice** is included in the Guidebook as **Exhibit 2-31**.

5) Metro Governing Board Adoption

After GM&O finalizes the recommended proposals for award and completes any necessary reviews, the GM&O Unit will present the finalized proposals to the Metro Governing Board for approval and adoption.

6) Metro Grant Application Support

If applicable, Metro may need to prepare and execute a grant application between Metro and the grantor. Subrecipient may subject to additional forms to complete and request additional information related to the grant proposal. Furthermore, the GM&O Unit may wait until both the Governing Board adopts the selected proposal and the Metro grant application is obligated between Metro and Grantor prior to moving forward to next step. Please note this may delay final award and project start dates.

7) Final Award Notice

Subrecipients with a proposal approved by the Grantor will be notified in either a formal letter and/or email from Metro of final award of their proposal along with instructions to finalize applicable timeline, project scope and budget.

Metro Grants Management and Oversight Subrecipient Processes and Procedures Guidebook

Chapter 2: Exhibits

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Applicant Certification

Applicants claim and certify eligibility for the FTA Section 5310 Grant Program as either a Private Non-Profit Agency or a Local Government Authority. Please complete only one of the appropriate sections below along with providing any supporting documentation.

Private Non-Profit Agency – Corporation Status Inquiry and Certification

If applicant is a private nonprofit organization, Applicant must obtain verification of your incorporation number and current legal standing from the California Secretary of State Information Retrieval /Certification & Records Unit (IRC Unit). To obtain Corporate Records online, please visit <http://kepler.sos.ca.gov/>.

The “Status Inquiry” document must be attached as an appendix to the application.

Do not submit articles of incorporation, bylaws or tax status documentation.

Private Non-Profits	
Legal Name of Non-Profit Applicant:	
STATE OF CA ARTICLES OF INCORPORATION NUMBER:	
DATE OF INCORPORATION:	

Local Government Authority Certification

If applicant is a local government authority, applicant must certify that no non-profit agencies are readily available to provide the proposed service, by completing and signing the “Public Agency Certification” below.

Please note, a public hearing is required and should be completed between the release of the solicitation and grant proposal deadline. A copy of the public hearing notice and summary of hearing need to signed by applicant’s authorized representative and included with grant proposal. If public hearing is scheduled beyond grant proposal deadline, please include public hearing date below and submit related signed documentation to Metro.

<p style="color: #4F81BD;"><i>Check one and provide any applicable supporting documents, including public hearing verification.</i></p>	<input type="checkbox"/> Certifying to that no non-profit corporations or associations are readily available in the service area to provide the proposed service.
	<input type="checkbox"/> Approved by the State to coordinate services for elderly individuals and individuals with disabilities.

Certification of No Readily Available Service Providers	
The Public Agency, (ENTITY NAME), certifies that there are no non-profit agencies readily available to provide service proposed in this application.	
Signature:	Name:
	Title:
	Date:
Public Hearing Date:	

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Current Subrecipient Compliance Certification

Current subrecipients not compliant with either FTA Section 5310, 5316, and/or 5317 Grant Program requirements will **NOT** be eligible to apply for grant funds until compliance has been determined by Metro. You must be in compliance at the time of application submittal.

Does your agency currently have active vehicles purchased with any of the following FTA grant programs; Sections 5310;5316 and/or 5317?	<input type="checkbox"/> YES <input type="checkbox"/> NO
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Is your agency currently receiving operating assistance under with any of the following FTA grant programs; FTA Sections 5310, 5316 and/or 5317?	<input type="checkbox"/> YES <input type="checkbox"/> NO
--	---

If yes to either or both, is your agency currently in compliance with their Funding Agreement(s) and scope of work(s) related to the following FTA grant programs; Sections 5310, 5316 and/or 5317?	<input type="checkbox"/> YES <input type="checkbox"/> NO
---	---

Certification of Current Subrecipient Compliance							
(ENTITY NAME), certifies compliant with applicable federal grant programs at time of grant application submittal.							
Signature:	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 2px;">Name:</td> <td style="width: 80%;"></td> </tr> <tr> <td style="padding: 2px;">Title:</td> <td></td> </tr> <tr> <td style="padding: 2px;">Date:</td> <td></td> </tr> </table>	Name:		Title:		Date:	
Name:							
Title:							
Date:							

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Debarment/Suspension Certification

Applicants whom are debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or agency from doing business with the Federal Government will NOT be eligible for grant funds from Metro until status has been cleared and approved by Metro. Federal law ([2 CFR part 1200](#)) requires that all agencies receiving federal funds must certify that neither they nor their subcontractors have been debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency from doing business with the Federal Government. Furthermore, applicants are required to verify their current grant recipient status on SAM.GOV and provide the date below. Metro requests applicants and subrecipients check status regularly and use date closest to the time of application submittal.

<i>IS YOUR AGENCY CURRENTLY DEBARRED, SUSPENDED, PROPOSED FOR DEBARMENT, DECLARED INELIGIBLE, OR VOLUNTARILY EXCLUDED BY ANY FEDERAL DEPARTMENT OF AGENCY FROM DOING BUSINESS WITH THE FEDERAL GOVERNMENT?</i>	<input type="checkbox"/> YES
	<input type="checkbox"/> NO
Date of last SAM.GOV status check:	XX/XX/XXXX
Date SAM.GOV Account Expires:	XX/XX/XXXX

Certification of No Debarment/Suspension Status							
(ENTITY NAME), certifies that neither my agency nor any subcontractor affiliated with my agency has been debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal department or agency.							
Signature:	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 80%;"></td> <td style="width: 20%; padding: 2px;">Name:</td> </tr> <tr> <td></td> <td style="padding: 2px;">Title:</td> </tr> <tr> <td></td> <td style="padding: 2px;">Date:</td> </tr> </table>		Name:		Title:		Date:
	Name:						
	Title:						
	Date:						

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Subrecipient Self-Certification Form

Subgrantee:

FTA Grant(s):

Project Description(s):

FTA Program(s):

CFDA Number(s):

The following declarations and information are hereby provided related to the above-referenced project funded by FTA through fiscal year 2017:

I. GENERAL CERTIFICATIONS (to be completed by all subgrantees)

A. Civil Rights Compliance

1. Has your organization received any Title VI lawsuits or complaints during the last year? Yes____ No____

If yes, please provide a list of lawsuits or complaints. The list should include the date that the lawsuit or complaint was filed, a summary of the allegation(s), the status of the lawsuit or complaint; and actions taken by your agency in response to the lawsuit or complaint.

2. Has your organization provided a Title VI plan to LACMTA's Office of Civil Rights? Yes____ No____

If yes, please provide a copy of the Letter of Compliance.

B. Americans with Disabilities Act of 1990 (ADA)

1. Has your organization received any ADA-related complaints during the reporting period? Yes____ No____

If yes, please provide a summary of complaints. The summary should include the date the complaints were filed, a summary of the allegation(s), the status of the complaints, and actions taken by your agency in response to the complaints.

2. Is your organization in compliance with ADA requirements in the areas of service provision, training, and maintenance of ADA accessibility features and facilities? Yes____ No____ If not, please explain.

3. As a subgrantee of federal funds, my organization agrees to participate in and comply with the LACMTA ADA Compliance Oversight Program for Subrecipients. Yes____ No____

3.

Note: if your organization is directly reviewed by the FTA, then you are not required to participate in LACMTA's ADA Compliance Oversight Program.

C. Fares (applies only to fixed-route providers that are also recipients of 5307 funds)

1. Does your organization offer half-fare during peak hours for elderly persons, persons with disabilities, and persons with a Medicare card?

Yes____ No____ N/A____

If no, please explain: _____

2. Did your organization make any changes to the fare structure during the reporting period? Yes____ No____ N/A____

If yes, please submit a copy of your fare policy with this certification.

3. Does your organization have a process for soliciting and considering public comments prior to a fare increase or a major service reduction?

Yes____ No____ N/A____

If yes, please submit a written description of the process.

D. Financial Requirements

1. Did your organization expend \$750,000 or more in federal funding during fiscal year 2017? Yes____ No____ N/A____

If yes, please submit a copy of your organization's FY2017 Single Audit.

II. FTA-FUNDED ASSET CERTIFICATIONS (applies only for fixed assets such as facilities, parking lots, bus shelters, amenities and equipment > \$50,000)

A. Satisfactory Continuing Control

1. Did you dispose of any FTA-funded property or equipment?

Yes____ No____ N/A____

If yes, please attach a list of disposed of property and/or equipment. (Note: if your organization has an inventory system, please submit a report of FTA asset detail from the system.)

2. Was any property or equipment removed from public transit service before the end of its service life? Yes____ No____ N/A____

If yes, was LACMTA notified? Yes____ No____ N/A____

3. Did you use the FTA equipment or FTA funded facility for any use other than the purpose of the grant? Yes____ No____ N/A____

If yes, was LACMTA approval obtained? Yes____ No____ N/A____

Do you maintain continuing control over the asset(s)?

Yes____ No____ N/A____

B. Transit Asset Management (TAM) Plan Requirements for FTA Funded Assets

1. Did LACMTA notify your organization that it must develop its own TAM Plan or opt-in to participate in LACMTA's or another organization's Group TAM Plan?
Yes____ No____ N/A____

2. If yes, are you currently compliant with the TAM Plan requirements?
Yes____ No____ N/A____

If no, please provide an explanation of why your organization is not compliant and what steps are being taken to become compliant.

C. Maintenance

1. Do you have a current written maintenance plan for your federally funded facilities and equipment? Yes____ No____ N/A____

If yes, please submit a copy of the written maintenance plan.

2. Does the plan include a program of inspections and preventative maintenance activities to ensure that assets are protected from deterioration and reach their maximum useful life? Yes____ No____ N/A____

3. Does the maintenance plan prescribe a record keeping system for permanently recording the maintenance history of the equipment/facility?

Yes____ No____ N/A____

4. Are your federally funded facilities/equipment being maintained on time and in accordance with your maintenance plan? Yes____ No____ N/A____

5. Please update the Facilities and Equipment Status Report Form with information on the condition of all FTA-funded transit assets except rolling stock.

III. FTA-FUNDED ROLLING STOCK CERTIFICATIONS (Only for procurement of rolling stock, such as paratransit vehicles, buses, and support vehicles)

A. Satisfactory Continuing Control

1. Did you dispose of any FTA-funded rolling stock?
Yes____ No____ N/A____

If yes, please note any rolling stock disposed of during the reporting period on the attached rolling stock worksheet.

2. Was any FTA-funded rolling stock removed from public transit service before the end of its service life? Yes____ No____ N/A____

If yes, was LACMTA notified? Yes___ No___ N/A___

3. Do you have any federally funded rolling stock operated by contractors?
Yes___ No___ N/A___

If yes, do you maintain control of the rolling stock? Yes___ No___ N/A___

4. Please update the information pertaining to the entity that maintains and operates your rolling stock on the attached rolling stock worksheet.
5. Please update the current mileage for each FTA-funded vehicle on the attached rolling stock worksheet.

B. Transit Asset Management (TAM) Plan Requirements for FTA Funded Rolling Stock

1. Did LACMTA notify your organization that it must develop its own TAM Plan or opt-in to participate in LACMTA's or another organization's Group TAM Plan?
Yes___ No___ N/A___

2. If yes, are you currently compliant with the TAM Plan requirements?
Yes___ No___ N/A___

If no, please provide an explanation of why your organization is not compliant and what steps are being taken to become compliant.

C. Maintenance

1. Do you or your contractor have a current written vehicle maintenance plan for your federally funded rolling stock? Yes___ No___ N/A___
2. Is the written maintenance plan you use consistent with the manufacturer's minimum maintenance requirements for vehicles under warranty?
Yes___ No___ N/A___
3. Are your vehicle preventative maintenance inspections completed on time and consistent with your established maintenance plan? Yes___ No___ N/A___
4. Are maintenance procedures for wheelchair lifts and other accessibility equipment for rolling stock included in your maintenance plan and preventative maintenance inspections? Yes___ No___ N/A___
5. Are lifts and accessibility features for rolling stock repaired promptly as required by the United States Department of Transportation ADA regulations?
Yes___ No___ N/A___

D. Charter Service

1. Have you used any federally funded rolling stock for charter service?

Yes____ No____

If yes, please indicate the applicable exception categories from the following list:

- i. Transporting government officials (80 hours or less annually)
Yes ____ No ____
- ii. Qualified Human Service Organization (QHSEO-an organization that serves persons who qualify for human service or transportation-related programs or services due to disability, income, or advanced age)
Yes ____ No ____
- iii. Leasing Yes ____ No ____
- iv. Agreement with other private operators Yes ____ No ____
- v. Response to a notice from recipient Yes____ No ____
- vi. Petition to LACMTA Yes ____ No ____

4.

5. If any of the six exception categories above apply to you, were records kept to fully recover the life of the rolling stock (i.e. were charter use days/miles subtracted from vehicles total service days/miles)?

6.

7. Yes ____ No____ N/A____

2. Have any complaints been filed alleging that you have conducted charter service in violation of FTA regulations? Yes____ No____

If yes, please provide a summary of complaints.

E. School Bus

1. Have you operated exclusive school bus service with federally funded equipment? Yes____ No____

2. Have you provided school “tripper service” with federally funded equipment? Yes____ No____

If yes, please indicate if the following conditions were met:

- i. Schedule information was communicated to the general public
Yes ____ No ____
- ii. Service did not deviate from published route to service a school
Yes ____ No ____

- iii. Service did not stop at unmarked stops or at stops not accessible to the general public Yes ____ No ____
- iv. Did not limit public access by starting or ending at schools
Yes ____ No ____

By signing below, I, on behalf of the aforementioned subgrantee, declare that the information provided within this certification is true and correct to the best of my knowledge and that I am authorized to make this declaration on behalf of my agency.

Print Name

Signature

Title

Subgrantee/ Agency

Date

Civil Rights Certification

Civil Rights Certification

As an attachment to the application, describe any lawsuits or complaints against your agency or organization within the last twelve months alleging discrimination on the basis of race, color, creed, national origin, sex, age or disability.

<i>DO YOU HAVE ANY LAWSUITS AND/OR COMPLAINTS WITHIN THE LAST TWELVE MONTHS ALLEGING DISCRIMINATION ON THE BASIS OF RACE, COLOR, CREED, NATIONAL ORIGIN, SEX, AGE OR DISABILITY?</i>	<input type="checkbox"/> YES
	<input type="checkbox"/> NO

If YES, provide a summary of the status of lawsuits and include the following information: date of complaint, lawsuit received and/or acted on, description status or outcome, corrective action taken, and date final resolution:

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If NO, certify the following:

Civil Rights Certification

(ENTITY NAME), certifies there were NO lawsuits or complaints received or acted on in the last twelve months relating to Title VI or other relevant Civil Rights Requirements.

Signature:	Name:
	Title:
	Date:

Discuss if your agency or organization has a Title VI Plan. If not, please explain why and provide a date your agency or organization anticipates completing the plan. Discuss policies and procedures to make written and oral information available to clients and potential clients in languages other than English.

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FTA Title VI Program Information

In accordance with [49 CFR Section 21.7\(a\)](#), the Federal Transit Administration (FTA) requires all recipients and subrecipients of FTA funds to ensure that their programs, policies, and activities comply with the Department of Transportation (DOT) Title VI regulations

Entity:
 Project Title:
 Grant/Fund Agreement No.:
 Date:

General Requirements for All Subrecipients	
<input type="checkbox"/>	Title VI Notice to the Public, including a list of locations where the notice is posted
<input type="checkbox"/>	Title VI Complaint procedures (i.e., instructions to the public regarding how to file a Title VI discrimination complaint)
<input type="checkbox"/>	Title VI Complaint Form
<input type="checkbox"/>	List of transit-related Title VI investigations, complaints, and lawsuits
<input type="checkbox"/>	Public Participation Plan, including information about outreach methods to engage minority and limited English proficient populations (LEP), as well as a summary of outreach efforts made since the last Title VI Program submission
<input type="checkbox"/>	Language Assistance Plan for providing language assistance to persons with limited English proficiency (LEP), based on the DOT LEP Guidance
<input type="checkbox"/>	A table depicting the membership of non-elected committees and councils, the membership of which is selected by the recipient, broken down by race, and a description of the process the agency uses to encourage the participation of minorities on such committees
<input type="checkbox"/>	A Title VI equity analysis if the recipient has constructed a facility, such as a vehicle storage facility, maintenance facility, operation center, etc.
<input type="checkbox"/>	A copy of board meeting minutes, resolution, or other appropriate documentation showing the board of directors or appropriate governing entity or official(s) responsible for policy decisions reviewed and approved the Title VI Program. For State DOT's, the appropriate governing entity is the State's Secretary of Transportation or equivalent. The approval must occur prior to submission to FTA.
<input type="checkbox"/>	Additional information depending on whether the recipient is a transit provider, a State, or a planning entity (see following page)

Additional Requirements for Transit Providers	
<input type="checkbox"/>	All General Requirements
<input type="checkbox"/>	Service standards <ul style="list-style-type: none"> ○ Vehicle load for each mode ○ Vehicle headway for each mode ○ On time performance for each mode ○ Service availability for each mode
<input type="checkbox"/>	List of transit-related Title VI investigations, complaints, and lawsuits <ul style="list-style-type: none"> ○ Transit Amenities for each mode ○ Vehicle Assignment for each mode
<input type="checkbox"/>	Demographic and service profile maps and charts*
<input type="checkbox"/>	Demographic ridership and travel patterns, collected by surveys*
<input type="checkbox"/>	Results of their monitoring program and report, including evidence that the board or other governing entity or official(s) considered, was aware of the results, and approved the analysis*
<input type="checkbox"/>	A description of the public engagement process for setting the “major service chance policy,” disparate impact policy, and disproportionate burden policy*
<input type="checkbox"/>	Results of service and/or fare equity analyses conducted since the last Title VI Program submission, including evidence that the board or other governing entity or official(s) considered, was aware of, and approved the results of the analysis*

**Only required for Transit Providers that operate 50 or more fixed route vehicles in peak service and are located in an Urbanized Area (UZA) of 200,000 or more people*

Received and Reviewed By:				
Signature:	<table border="1" style="width: 100%;"> <tr><td>Name:</td></tr> <tr><td>Title:</td></tr> <tr><td>Date:</td></tr> </table>	Name:	Title:	Date:
Name:				
Title:				
Date:				

Accepted By:				
Signature:	<table border="1" style="width: 100%;"> <tr><td>Name:</td></tr> <tr><td>Title:</td></tr> <tr><td>Date:</td></tr> </table>	Name:	Title:	Date:
Name:				
Title:				
Date:				

Environmental Justice Requirements

For new Federal Transit Administration (FTA) funded construction and major rehabilitation or renovation projects, an environmental justice analysis must be submitted. Subrecipients should integrate an environmental justice analysis into the National Environmental Policy Act (NEPA) documentation of construction projects. Please note subrecipients are not required to conduct environmental justice analyses of projects where NEPA documentation is not required.

Subrecipients undertaking new construction and major rehabilitation or renovation projects with federal funds must work closely with Metro at the earliest possible stages and throughout this process to ensure that Environmental Justice requirements are met.

Online Resources

[FTA Circular 4703.1 Environmental Justice Policy Guidance for Federal Transit Administration Recipients](#)

Website:

<https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/environmental-justice-policy-guidance-federal-transit>

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ADA Policy Information

The Americans with Disabilities Act (ADA) prohibits discrimination against individuals with disabilities in the areas of employment, public services including transportation, public accommodations including services operated by private entities, and telecommunications. This Federal law sets forth specific requirements for transportation services, vehicles, and facilities. Subrecipients are required to the applicable requirements in the following:

- [49 CFR Part 37](#) –Transportation Services for Individuals with Disabilities
- [49 CFR Part 38](#) –Accessibility Specifications for Transportation Vehicles
- [Section 504, codified in 49 CFR Part 27](#) –Nondiscrimination on the Basis of Disability in Programs or Activities Receiving Federal Financial Assistance

Subrecipients need to ensure ADA/Section 504 policies are included in organization’s written policies, and staff need to be informed and trained to ensure the policies are followed. Below are required ADA policies relevant to FTA Section 5310 subrecipients (i.e., those that pertain to private non-profit entities operating demand response service). If operate fixed route service, please note there are additional requirements that are not addressed here

<input type="checkbox"/>	<p>Entryways</p> <p>A lift or ramp is needed to enable someone who cannot climb stairs in getting from the sidewalk to the interior of the vehicle. Design specifications for lifts and ramps, including dimensions, load, slope, surface materials, handrails, raised edges for safety, and threshold clearances, must meet FTA standards. Doors, steps and thresholds also have requirements for slip resistance, color contrast, door height, and lighting.</p>
<input type="checkbox"/>	<p>Space for Maneuvering</p> <p>There must be adequate clearances at the boarding location and through the aisle for a person using a wheelchair to get to the securement locations. This includes positioning the farebox and other equipment so that they do not obstruct traffic in the vestibule. The regulations indicate design standards for interior clearances, support rails and poles.</p>
<input type="checkbox"/>	<p>Wheelchair Securement Areas</p> <p>There must be at least one securement area for vehicles less than 22 feet in length and at least two securement areas in larger vehicles. Securement locations must meet minimum dimensions, and in vehicles 22 feet or greater, at least one must be forward-facing. Securement areas may have fold-down seats to accommodate other passengers when a wheelchair or mobility aid is not occupying the area.</p>
<input type="checkbox"/>	<p>Securement Device</p> <p>Securement systems are required to secure wheelchairs in the securement areas. The regulations specify minimum design load based on the gross vehicle weight rating of the vehicle, and maximum movement under normal operating conditions.</p>
<input type="checkbox"/>	<p>Seat Belt and Shoulder Harness</p> <p>In addition to the securement system for the wheelchair, each securement area must have a seat belt and shoulder harness to secure the person. The seatbelt is to be used in addition to, never in lieu of, the securement device.</p>

<input type="checkbox"/>	<p>Equivalent Service Standards</p> <p>A system when viewed in its entirety is considered to provide equivalent service if the service available to individuals with disabilities is provided in the most integrated setting appropriate to the needs of the individual and is equivalent to the service provided to other individuals with respect to the following service characteristics:</p> <ul style="list-style-type: none"> ○ Schedule/Headways (If fixed route) ○ Response Time (If demand responsive) ○ Fares ○ Geographic area of service ○ Hours and days of service ○ Availability of Information ○ Restrictions capability ○ Constraints on capacity or service ability ○ Restrictions or priorities based on trip purpose (if demand responsive)
<input type="checkbox"/>	<p>Maintenance of Accessibility Features in Good Working Order</p> <p>Accessibility equipment on your vehicles must be maintained in good working order. This includes performing preventive maintenance (PM) according to equipment manufacturer’s specifications, training drivers in proper use, cycling lifts as part of every pre-trip inspection, removing vehicles from service when equipment is not working properly, and performing repairs on a timely basis.</p>
<input type="checkbox"/>	<p>Accommodation of Wheelchairs</p> <p>A transportation provider must carry the wheelchair and occupant if the lift and vehicle can accommodate the wheelchair and occupant. The USDOT defines a wheelchair as “a mobility aid belonging to any class of three- or more-wheeled devices, usable indoors, and designed or modified for and used by individuals with mobility impairments, whether operated manually or powered.” Note: the word “wheelchair” as used in this 5310 Program Manual includes other mobility devices such as scooters.</p>
<input type="checkbox"/>	<p>Priority Seating</p> <p>Vehicles must contain signage indicating that seats in the front of the vehicle, including at least one set of forward-facing seats, are priority seats for individuals with disabilities, and that other passengers should make these seats available to those who wish to use them. Such signage must also be posted at securement locations. This signage must meet character accessibility standards as designated in 49 CFR Part 38.</p>
<input type="checkbox"/>	<p>Use of Lift</p> <p>Drivers must deploy the lift to allow customers using wheelchairs to board, as well as upon request by other customers who cannot board using the stairs (such as customers who use walkers and other mobility aids) due to their disability. This includes permitting standees on the lift. A transportation provider cannot require that an individual back his or her wheelchair onto the lift if the individual prefers to board it facing forward. Transportation providers are required to carry a wheelchair and its user, as long as the lift is designed to accommodate the size and weight of the wheelchair and its user, and there is space for the wheelchair on the vehicle.</p>
<input type="checkbox"/>	<p>Wheelchair Securement</p> <p>Transportation providers may require that wheelchairs be secured on board the vehicle; however, customers may not be denied service because their wheelchair or scooter cannot be secured. On the other hand, if the transportation provider has a policy that wheelchairs be secured and customer refuses to permit his or her chair be secured, the transportation provider may deny service under this circumstance.</p>
<input type="checkbox"/>	<p>Seatbelts</p> <p>Customers using wheelchairs cannot be required to wear seatbelts unless all other customers are subject to the same requirement. Under no circumstances should a vehicle-installed seatbelt be secured on a customer in a wheelchair or scooter that has not been properly secured to the vehicle, due to the risk of injury to the passenger.</p>

<input type="checkbox"/>	<p>Service Animals</p> <p>Service animals must be permitted to accompany individuals with disabilities on vehicles. Service animals are usually dogs, though other types of animals are sometimes trained to assist individuals with disabilities.</p>
<input type="checkbox"/>	<p>Passenger Assistance</p> <p>As necessary or upon request, the driver (or other personnel of the transportation provider) must assist customers in using the lift or ramp to enter the vehicle and in using the securement equipment. All drivers and their supervisors must be trained in the proper use of the equipment as well as sensitivity towards individuals with disabilities.</p>
<input type="checkbox"/>	<p>Availability of Information in Accessible Formats</p> <p>Adequate information about transportation services must be made available to individuals with disabilities in formats that they are able to understand. This includes provision of audio and large print formats for persons with vision impairments, or electronic formats that can be made accessible by screen reader technology. The availability of braille is not specifically required, although it may be recommended if so requested by customers.</p>
<input type="checkbox"/>	<p>Portable Oxygen</p> <p>Individuals with disabilities must be permitted to travel with a respirator, concentrator, or portal oxygen supply.</p>
<input type="checkbox"/>	<p>Making Reasonable Accommodations</p> <p>In addition to specific transportation requirements detailed in 49 CFR Part 37, the ADA has additional, more general requirements in the U.S. Department of Justice (DOJ) ADA regulation for private entities that offer places of public accommodation (including social service agencies and health care providers, but excluding religious organizations) under Title III of the ADA. Private entities are required to make reasonable modifications to policies, practices, and procedures when such modifications are necessary to avoid discrimination on the basis of disability, unless the entity can demonstrate that making the modifications would fundamentally alter the nature of the service, program, or activity. For example, a transportation service with a “no eating on the bus” policy must allow a modification of the policy in the case of an individual with diabetes who needs to eat on a particular schedule.</p>
<input type="checkbox"/>	<p>Complaint Procedures</p> <p>All Section 5310 subrecipients must have a procedure for responding to and tracking ADA-related complaints, including identification of a responsible party and written documentation of complaints and their resolution. Passengers should also be made aware of the complaint procedures for ADA-related complaints.</p>
<input type="checkbox"/>	<p>Employment</p> <p>Employers cannot discriminate against individuals with disabilities when hiring or in the workplace when an individual with a disability has been hired. Titles I and V of the ADA prohibit employment discrimination against qualified individuals with disabilities in the private sector, as well as in State and local governments. Employers with fifteen or more employees are required to provide reasonable accommodation for individuals with disabilities, unless it would cause undue hardship.</p>

Online Resources:

49 CFR Part 37

<https://www.gpo.gov/fdsys/granule/CFR-2003-title49-vol1/CFR-2003-title49-vol1-part37>

49 CFR Part 38

<https://www.gpo.gov/fdsys/pkg/CFR-2011-title49-vol1/pdf/CFR-2011-title49-vol1-part38.pdf>

49 CFR Part 27

<https://www.gpo.gov/fdsys/pkg/CFR-2011-title49-vol1/pdf/CFR-2011-title49-vol1-part27.pdf>

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DBE Policy Information

The Disadvantaged Business Enterprise (DBE) Program seeks to ensure nondiscrimination in the award and administration of U.S. DOT contracts. The objective of the program is to create a level playing field on which DBEs can compete fairly for government funded contracts. The DBE regulations are contained in [49 CFR Part 26](#) - Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs.

All subrecipients must ensure that they do not discriminate against DBEs in the awarding and administration of Metro third party contracts. Please note, the requirement for a DBE program is only applicable to subrecipients receiving more than \$250,000 of FTA funds in prime contracts (excluding vehicle purchases) during a federal fiscal year.

<input type="checkbox"/>	Policy Statement Ensure statement is circulated, signed, dated and includes the following:		
	<ul style="list-style-type: none"> ○ To ensure nondiscrimination in the award and administration of DOT contracts ○ To create a level playing field on which DBEs can compete fairly for DOT contracts ○ To ensure that only firms that meet eligibility standards are permitted to participate as DBEs ○ To ensure the DBE Program is narrowly tailored in accordance with applicable law 		<ul style="list-style-type: none"> ○ To help remove barriers to the participation of DBEs in DOT contracts ○ To assist the development of firms that can compete successfully in market place outside the DBE Program ○ Agency's commitment, objectives and outlines responsibilities for its implementation
<input type="checkbox"/>	DBE Liaison Officer	<input type="checkbox"/>	Meet Efforts Concerning DBE Financial Institutions
<input type="checkbox"/>	DBE Program Goals and Calculation	<input type="checkbox"/>	Mentor-Protégé and Business Development Programs
<input type="checkbox"/>	Prompt Payment Mechanism	<input type="checkbox"/>	DBE Directory Maintained and Available
<input type="checkbox"/>	DBE Program Monitoring and Enforcement Mechanism	<input type="checkbox"/>	Definitions Be listed or incorporated by reference
<input type="checkbox"/>	Subrecipient and Contractor Assurances <ul style="list-style-type: none"> ○ Annual FTA Certifications and Assurances ○ Full contract assurance is included in subcontracts 	<input type="checkbox"/>	Record Keeping <ul style="list-style-type: none"> ○ DBE Program Data (Reports) ○ Bidder's List ○ Information about DBEs and non-DBEs
<input type="checkbox"/>	If applicable, Address DBE Overconcentration	<input type="checkbox"/>	If applicable, Good Faith Efforts Procedures Only applicable when DBE is replaced on a contract

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Federal Transit Administration Lobbying Form

By signing below, I certify, on behalf of the subrecipient (ENTITY NAME), and to the best of my knowledge and belief, that:

- 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 an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- 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 the attached Standard Form- LLL, "Disclosure of Lobbying Activities", in accordance with its instructions, which amended the "Government wide Guidance for New Restrictions on Lobbying", as described in the Federal Register Notice of January 19, 1996 (1412, Vol.61, No.13). [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, 2 U.S.C. 1601, et seq.).]

I understand that this certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. In addition, I understand that the submittal of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995) and that 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. [Note: pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

I also certify and affirm the truthfulness and accuracy of each statement of this certification and disclosure, if any, and that I am authorized to provide this certification and declarations on behalf of the subrecipient. I further declare, on behalf of the subrecipient, the understanding of, and agreement with the provisions of 31 U.S.C. A 3801, *et seq.* and their applicability to this certification and disclosure, if any.

Signature:	Name:
	Title:
	Date:

Approved by OMB
0348-0046

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
 (See reverse for public burden disclosure)

<p>1. Type of Federal Action: <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance</p>	<p>2. Status of Federal Action: <input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post-award</p>	<p>3. Report Type: <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change</p> <p>For material change only: Year _____ quarter _____ Date of last report _____</p>
<p>4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, if Known:</p> <p>Congressional District, if known:</p>	<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>Congressional District, if known:</p>	
<p>6. Federal Department/Agency:</p>	<p>7. Federal Program Name/Description:</p> <p>CFDA Number, if applicable: _____</p>	
<p>8. Federal Action Number, if known:</p>	<p>9. Award Amount, if known: \$ _____</p>	
<p>10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i></p>	<p>b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i></p>	
<p>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature: _____</p> <p>Print Name: Title: Telephone No.: () Date:</p>	
<p>Federal Use Only</p>	<p>Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)</p>	

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks “Subawardee,” then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB)

number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., “RFP-DE-90-001.”

9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.

10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).

11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

Insurance Minimum Coverage Requirements for Subrecipients

The following minimum insurance is required for subrecipients purchasing, rehabilitating vehicles and/or operating transportation services with FTA Sections 5310, 5316 or 5317 funding assistance throughout the useful life of each vehicle and until the vehicle is no longer titled to Metro. The subrecipient must provide proof of insurance to Metro at the specified limits of coverage prior to receipt of a new vehicle as well as during the application process, and certify that minimum insurance requirements continue to be met on a quarterly basis. Note that proof of insurance is usually provided on the industry ACORD (Association for Cooperative Operations Research and Development) Certification of Insurance Form.

- Comprehensive Business Automobile Liability that covers all automobiles defined as motor vehicles, whether owned, non-owned leased, or hired, to a minimum combined single limit for Bodily Injury and Property Damage of \$1,000,000.
- Each organization must have collision insurance for protection of FTA's 80% financial interest in each vehicle. This would include Comprehensive and Collision or Upset Coverage on the vehicle.
- There must be Uninsured Motorist coverage for limits of liability of \$30,000 per person, and \$60,000 per accident.
- Metro must be named an additional insured party on each insurance policy for all vehicles procured under the Section 5310 program.

Important Note: If any of your vehicles are subject to Federal or State commercial vehicle requirements, they may be subject to higher insurance requirements beyond the amounts listed above.

Signature:	Name:
	Title:
	Entity:
	Date:

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Half Fare Compliance Certification for Subrecipients

As a condition for receiving certain subrecipient federal funds from the Los Angeles County Metropolitan Transportation Authority (Metro), (ENTITY NAME) certifies that it complies or will comply by (DATE) with the Federal Transit Administration (FTA) half fare requirement, as codified in 49 CFR 609.23. This FTA requirement states that during non-peak hours for transportation using or involving a facility or equipment of a Project financed with funds provided through 49 U.S.C. 5307, the following individuals will be charged a fare not exceeding fifty (SO) percent of the peak hour fare:

- a) Any senior;
- b) Any individual who, because of illness, injury, age, congenital malfunction, or other incapacity or temporary or permanent disability (including an individual who is a wheelchair user or has semi-ambulatory capability), cannot use a public transportation service or a public transportation facility effectively without special facilities, planning, or design;
- c) Any individual presenting a Medicare card issued to that individual under Title II of the Social Security Act (42 U.S.C. 401 et seq.); or
- d) Any individual presenting a Medicare card issued to that individual under Title XVIII of the Social Security Act (42 U.S.C. 1395 et seq.).

Additionally, this half fare information shall be posted on all fare media, internet and onboard vehicles.

Signature:	Name:
	Title:
	Date:

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Construction Employee Protections for Subrecipients

The following requirements apply to Federally-funded construction contracts over \$2,000:

- **Copeland Act:** All Federally-funded construction contracts over \$2,000 must include a provision for compliance with the Copeland “Anti-Kickback” Act ([18 U.S.C. 874](#)), as supplemented by the Department of Labor regulations ([29 CFR part 3](#), “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States”). This Act prohibits subrecipients and contractors from inducing any person employed in the construction, completion, or repair of public work to give up any part of the compensation to which is otherwise entitled to and requires reporting of all suspected or reported violations to the Federal awarding agency.

Online Resources:

<https://www.gpo.gov/fdsys/granule/USCODE-2010-title18/USCODE-2010-title18-part1-chap41-sec874/content-detail.html>

<https://www.gpo.gov/fdsys/search/pagedetails.action?browsePath=Title+29%2FSubtitle+A%2FPart+3&granuleId=CFR-2001-title29-vol1-part3&packageId=CFR-2001-title29-vol1&collapse=true&fromBrowse=true&collectionCode=CFR>

- **Davis-Bacon Act:** Federal law that provides wage protection for non-government construction workers. It requires the payment of prevailing wages and fringe benefits to laborers and mechanics engaged in Federally-funded construction projects valued more than \$2,000. All covered contracts must contain a wage determination issued by the Secretary of Labor per Department of Labor regulations ([29 CFR Part 1.6](#), “Use and Effectiveness of Wage Determinations”). Prevailing wages vary for rural and metropolitan areas. Overtime pay (time and a half) is required when a work week exceeds 40 hours.

Online Resources:

<https://www.gpo.gov/fdsys/granule/CFR-2009-title29-vol1/CFR-2009-title29-vol1-sec1-6>

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Driver Pre and Post-Award Trip Inspections Information

Pre-Trip Vehicle Condition Report Sample				
Driver:	Vehicle No:	Date:	Fuel Level:	
Starting Mileage:				
Operations: Check to indicate item has been checked and is OK	Fuel Card	First Aid Kit	Reg. Card	Fire Extinguisher
Explanation:				
Under the Hood	Exterior	Interior		
Oil Level	Tires	Steering		
Brake Fluid	Brakes	Service Lights		
P/S Fluid	Running Lights	Emergency Brake		
Radiator Fluid Level	Turn Signal & Flashers	Windshield Wipers		
Belts	Headlights	Seat Belts		
Battery Compartment	Tail Lights	Horn		
Engine Compartment	Brake Lights	Gauges/Lights		
Oil, Fuel, Water Leaks	Cleanliness	Heater/Defroster/AC		
Wheelchair Area	Radio	Emergency Reflectors		
Door	No Reception	Emergency Exit		
Lift Cycled	No Transmission	All Mirrors		
Area Debris Free	Loud & Clear	Dome Lights		
Tie Downs		Doors		
Vehicle Swept Out		Seats & Hand Rails		
Comments:				
Corrections Made:				
Driver Signature:		Operations Manager Signature:		

Driver Pre and Post-Award Trip Inspections Information

Post-Trip Vehicle Condition Report				
Driver:	Vehicle No:	Date:	Odometer:	
Fuel Level		Fuel Gallons Purchased:		
Operations: Check to indicate item has been checked and is OK	Fuel Card	First Aid Kit	Reg. Card	Fire Extinguisher
Explanation:				
Under the Hood	Exterior	Interior		
Oil Level	Tires	Steering		
Brake Fluid	Brakes	Service Lights		
P/S Fluid	Running Lights	Emergency Brake		
Radiator Fluid Level	Turn Signals & Flashers	Windshield Wipers		
Belts	Headlights	Seat Belts		
Battery Compartment	Tail Lights	Horn		
Engine Compartment	Brake Lights	Gauges/Lights		
Oil, Fuel, Water Leaks	Cleanliness	Heater/Defroster/AC		
Wheelchair Area	Radio	Emergency Reflectors		
Door	No Reception	Emergency Exit		
Lift Cycled	No Transmission	All Mirrors		
Area Debris Free	Loud & Clear	Dome Lights		
Tie Downs		Doors		
Vehicle Swept Out		Seats & Hand Rails		
Comments:				
Corrections Made:				
Driver Signature:		Operations Manager Signature:		

Useful Life Chart for Subrecipients

The Federal Transit Administration (FTA) provides a minimum useful life policy for capital rolling stock, trolleys, ferries, and facilities in [FTA Circular 5010.1E](#). Below is a table of the default useful life benchmarks (ULB) by vehicle and facility types. Subrecipients are to apply the default ULB to their project and comply with all applicable requirements for the useful life of the item. **If property is prematurely withdrawn from service, Metro must be immediately notified.**

Vehicle and Facility Type	Default ULB in Years or Mileage
Aerial Tramway	12 years
Automated Guideway Vehicle	31 years
Bus – Large, Heavy Duty Buses (appx 35’ – 40’ including articulated and over-the-road)	12 years or at least 500,000 miles
Bus – Medium, Heavy/Medium Duty Buses	7 years or at least 200,000 miles
Bus – Medium, Light Duty Buses	5 years or at least 150,000 miles
Bus – Small or Minibus, Heavy Duty Buses	10 years or at least 350,000 miles
Cable Car	112 years
Facility – Highway or Railroad Structure	50 years
Facility – Other (concrete, steel, and frame construction) Structure	40 years
Ferry – Passenger Ferries	25 years
Ferry – With Overhaul	60 years
Ferry – Without Overhaul	30 years
Heavy Rail Passenger Car	31 years
Commuter Rail Locomotive	39 years
Commuter Rail Passenger Coach	39 years
Commuter Rail Self-Propelled Passenger Car	39 years
Trolley – Fixed Guideway Steel-Wheeled (Streetcar or other light rail vehicle)	25 years
Trolley – Fixed Guideway Electric w/ rubber tires obtaining power from overhead catenary	15 years
Trolley – Simulated with rubber tires and internal combustion engine, often referred to as “Trolley-replica Bus”	12 years
Vehicles – Light Duty (includes regular and specialized vans, and sedans)	4 years or at least 100,000 miles
Vintage trolley	58 years

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Drug Free Work Place Policy Information

In accordance with the Drug-Free Workplace Act of 1988 ([41 U.S.C. 701 et seq.](#)), and [49 CFR part 32](#), some FTA grant recipients may be required to maintain a drug-free workplace for all employees and to have an anti-drug policy and awareness program. In some cases, applicants for FTA funding must agree that it will provide a drug-free workplace and comply with all requirements of 49 CFR Part 32. In some cases, subrecipients may be required to develop, maintain and actively enforce a written Drug Free Workplace Policy meeting the following requirements:

<input type="checkbox"/>	Employers must publish and disseminate a policy statement informing their employees that it is unlawful to manufacture, distribute, dispense, possess, or use a controlled substance that is prohibited in the workplace and state specific actions that will be taken for violations.
<input type="checkbox"/>	Employers must establish an ongoing drug-free awareness program including informing employees of: <ul style="list-style-type: none"> • the dangers of drug abuse in the workplace • its policy of maintaining a drug-free workplace • any available drug counseling, rehabilitation, and employee assistance programs • the penalties that may be imposed upon its employees for drug abuse violations occurring in the workplace.
<input type="checkbox"/>	Employees must be informed as a condition of their employment that they have to abide by the policy, including notifying their employer of a drug conviction within five calendar days of the conviction.
<input type="checkbox"/>	Employers must notify Metro of an employee’s drug conviction within 10 calendar days after receiving notice from the employee.
<input type="checkbox"/>	Employers must provide notice, including position title, to every project officer or other designee on whose project activity the convicted employee was working. This notice must include the identification number(s) of each affected grant or cooperative agreement.
<input type="checkbox"/>	Employers must impose a penalty on an employee, which could include termination, or require participation in a drug abuse assistance program for convicted employees within 30 calendar days of receiving notice of the conviction.
<input type="checkbox"/>	Employers must “make an on-going, good faith effort to maintain a drug free workplace by meeting the requirements of the Act.”

Online Resources:

41 U.S.C. 701 et seq

<https://www.gpo.gov/fdsys/granule/USCODE-2009-title41/USCODE-2009-title41-chap10-sec701/content-detail.html>

49 CFR part 32

<https://www.gpo.gov/fdsys/pkg/CFR-2012-title49-vol1/pdf/CFR-2012-title49-vol1-part32.pdf>

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Procurement Certification for Subrecipients

As a condition for receiving certain subrecipient federal funds from the Los Angeles County Metropolitan Transportation Authority (Metro), (ENTITY NAME) certifies that procurement procedures will ensure an open competitive process and will conform to applicable federal law, including [49 CFR Part 18](#) (specifically Section 18.36) and [FTA Circular 4220.1 F](#), "Third Party Contracting Guidance". Furthermore, individual procurement contracts will not be executed until a Metro representative has reviewed all applicable procurement procedures and documents, including the review of solicitation documents before they are released to the public.

Signature:	Name:
	Title:
	Date:

Online Resources:

<https://www.gpo.gov/fdsys/granule/CFR-2009-title49-vol1/CFR-2009-title49-vol1-part18>

<https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/Third%20Party%20Contracting%20Guidance%20%28Circular%204220.1F%29.pdf>

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Independent Cost Estimate Form

Entity:

Project Title:

Grant/Fund Agreement No.:

Date:

As part of the requisition process, a cost or price analysis is a required component for all procurements using FTA funds to determine a reasonable price. Metro requires supporting documentation, depending on the purchase threshold, to ensure FTA compliance with [FTA Circular 4220.1F](#). Subrecipients are required to use this form for all small and large purchases.

Project Description (must include type of good or service, number of units, preliminary specifications or dimensions, product longevity, warranty and/or product service requirements and number of purchase options expected to be exercised):

Date(s) and Number of Estimates:

Method of Obtaining Estimate (Check Applicable Section Below):			
<input type="checkbox"/>	Direct estimate from vendor(s):	<input type="checkbox"/>	Published List Price:
<input type="checkbox"/>	Past Agency Pricing (date and contract):	<input type="checkbox"/>	Engineering or Technical Estimate:
<input type="checkbox"/>	Independent Third Party Estimate:	<input type="checkbox"/>	Other (specify):

Rationale for Type of Procurement and Cost Estimate:

Online Resources:
 FTA Circular 4220.1F
<https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/Third%20Party%20Contracting%20Guidance%20%28Circular%204220.1F%29.pdf>

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FTA Provisions Matrix for Third Party Contracts

(excluding micro-purchases, except Davis-Bacon requirements apply to contracts exceeding \$2,000)

TYPE OF PROCUREMENT					
PROVISION	Professional Services/A&E	Operations/ Management	Rolling Stock Purchase	Construction	Materials & Supplies
No Federal Government Obligations to Third Parties (by Use of a Disclaimer)	All	All	All	All	All
False Statements or Claims, Civil and Criminal Fraud	All	All	All	All	All
Access to Third Party Contract Records	All	All	All	All	All
Changes to Federal Requirements	All	All	All	All	All
Termination	>\$10,000 if 49 CFR Part 18 applies.	>\$10,000 if 49 CFR Part 18 applies.	>\$10,000 if 49 CFR Part 18 applies.	>\$10,000 if 49 CFR Part 18 applies.	>\$10,000 if 49 CFR Part 18 applies.
Civil Rights (Title VI, ADA, EEO except Special DOL EEO clause for construction projects)	All	All	All	All	All
Special DOL EEO clause for construction projects				>\$10,000	
Disadvantaged Business Enterprises (DBEs)	All	All	All	All	All
Incorporation of FTA Terms	All	All	All	All	All
Debarment and Suspension	>\$25,000	>\$25,000	>\$25,000	>\$25,000	>\$25,000
Buy America			>\$150,000	>\$150,000	>\$150,000
Resolution of Disputes, Breaches, or Other Litigation	>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000
Lobbying	>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000
Clean Air	>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000
Clean Water	>\$100,000	>\$100,000	>\$100,000	>\$100,000	>\$100,000
Cargo Preference			Transport by ocean vessel.	Transport by ocean vessel.	Transport by ocean vessel.
Fly America	Foreign air transp. /travel.	Foreign air transp. /travel.	Foreign air transp. /travel.	Foreign air transp. /travel.	Foreign air transp. /travel.

TYPE OF PROCUREMENT					
PROVISION	Professional Services/A&E	Operations/ Management	Rolling Stock Purchase	Construction	Materials & Supplies
Davis-Bacon Act				>\$2,000 (also ferries).	
Contract Work Hours and Safety Standards Act		>\$100,000 (transportation services excepted).	>\$100,000	>\$100,000 (also ferries).	
Copeland Anti-Kickback Act Section 1 Section 2				All > \$2,000 (also ferries).	
Bonding				\$100,000	
Seismic Safety	A&E for new buildings & additions.			New buildings & additions.	
Transit Employee Protective Arrangements		Transit operations.			
Charter Service Operations		All			
School Bus Operations		All			
Drug Use and Testing		Transit operations.			
Alcohol Misuse and Testing		Transit operations.			
Patent Rights	R & D				
Rights in Data and Copyrights	R & D				
Energy Conservation	All	All	All	All	All
Recycled Products		EPA-selected items \$10,000 or more annually.		EPA-selected items \$10,000 or more annually.	EPA-selected items \$10,000 or more annually.
Conformance with ITS National Architecture	ITS projects.	ITS projects.	ITS projects.	ITS projects.	ITS projects.
ADA Access	A&E	All	All	All	All
Notification of Federal Participation for States	Limited to States.	Limited to States.	Limited to States.	Limited to States.	Limited to States.

Online Resources:

FTA Circular 4220.1F

<https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/Third%20Party%20Contracting%20Guidance%20%28Circular%204220.1F%29.pdf>

Procurement Review Checklist
 (excluding micro-purchases, except Davis-Bacon requirements apply to contracts exceeding \$2,000)

Entity:
 Project Title:
 Grant/Fund Agreement No.:
 Date:

As a resource tool, subrecipients may use this checklist to review and ensure FTA compliance with [FTA Circular 4220.1F](#). This is the form used by Metro to validate applicable procurement requirements.

Professional Services/Operations/Constructions/Materials and Supplies/Rolling Stock			
	Required Items	Date Reviewed	Notes
<input type="checkbox"/>	Written procurement policies and procedures in compliance with FTA Circular 4220.1 F		
<input type="checkbox"/>	Selection of Contract Type		
<input type="checkbox"/>	Independent cost estimate in compliance with FTA Circular 4220.1 F , Section VI, page 22. Performed prior to receipt of bids. Please also refer to Exhibit 2-27 Independent Cost Estimate Form .		
<input type="checkbox"/>	Procurement package reviewed to ensure inclusion of required federal clauses in compliance with FTA Circular 4220.1 F , Appendix D (to be reviewed prior to the release of the solicitation and also prior to contract execution)		
<input type="checkbox"/>	Rationale for method of procurement (i.e., request for proposals, invitation for bids, sole source, small purchase, micro purchase)		
<input type="checkbox"/>	Evaluation of Potential Conflicts of Interest		
<input type="checkbox"/>	Statement of Work/Specification		
<input type="checkbox"/>	Justification for other than Full and Open Competition if applicable		
<input type="checkbox"/>	Proper use of vendor prequalification practices if applicable		

<input type="checkbox"/>	Use of Geographical Preferences		
<input type="checkbox"/>	Protest Procedures provided to bidders		
<input type="checkbox"/>	Advertising/Publication Materials		
<input type="checkbox"/>	Solicitation and Amendments		
<input type="checkbox"/>	Cost analysis and price analysis in compliance with FTA Circular 4220.1 F , Section VI, page 22. Performed prior to receipt of bids		
<input type="checkbox"/>	Contractor bid/proposal responsibility determination in compliance with FTA Circular 4220.1 F , Section VI page 24, to ensure that awards are made only to contractors possessing the ability, willingness, and integrity to perform successfully under the terms and conditions of the contract		
<input type="checkbox"/>	Contractor bid/proposal responsiveness determination, i.e. bidders/proposers must comply in all material respects to the solicitation		
<input type="checkbox"/>	Proof of SAM.gov search for contracts exceeding \$25,000		
<input type="checkbox"/>	Evaluation of bids/proposals; reason for contractor selection or rejection		
<input type="checkbox"/>	Basis for Contract Price		
<input type="checkbox"/>	Successful bid/proposal		
<input type="checkbox"/>	Minutes of Agency Board approval of low bidder or evaluation		
<input type="checkbox"/>	If using liquidated damages, damage rate is specified in solicitation documents		
<input type="checkbox"/>	Buy America Pre-Award Certification		
<input type="checkbox"/>	Lobbying form LLL for both successful bidder and Agency		
<input type="checkbox"/>	Copy of DBE or good faith effort documentation		
<input type="checkbox"/>	If Architectural & Engineering Services, compliance with the Brooks Act		
<input type="checkbox"/>	If time and materials contract, written determination that no other type of contract is suitable		
<input type="checkbox"/>	If time and materials contract, a ceiling price		
<input type="checkbox"/>	Review contract administration procedures		
Additional Items for Rolling Stock			

Required Items	Date Reviewed	Notes
<input type="checkbox"/> Written procurement policies and procedures in compliance with FTA Circular 4220.1 F		
<input type="checkbox"/> Selection of Contract Type		
<input type="checkbox"/> If Piggyback procurement, compliance with all federal requirements		
<input type="checkbox"/> Transit Vehicle Manufacturer's (TVM) provision in bid specifications		
<input type="checkbox"/> TVM certifications referencing 49 CFR Part 26 from biddin2 manufacturers		
<input type="checkbox"/> Evidence that TVM certifications have been validated		
Pre-Award Rolling Stock		
<input type="checkbox"/> Determination that rolling stock contract does not exceed five years		
<input type="checkbox"/> Buy America certification verifying that the rolling stock will contain a minimum of 60 % domestic components, by cost and that final assembly will take place in the US (for purchases over \$100,000)		
<input type="checkbox"/> Pre-award purchasers requirement certification		
<input type="checkbox"/> Certification that vehicles comply with Federal Motor Vehicle Safety Standards (FMVSS) from vehicle manufacturer		
<input type="checkbox"/> Pre-award audit		
Post Delivery Rolling Stock		
<input type="checkbox"/> Inspector during final assembly process if applicable		
<input type="checkbox"/> Post-Delivery purchasers requirement certification		
<input type="checkbox"/> Post-Delivery Buy America certification		
<input type="checkbox"/> Post Delivery FMVSS certification		
<input type="checkbox"/> Post-delivery audit		

Online Resources:

FTA Circular 4220.1F

<https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/Third%20Party%20Contracting%20Guidance%20%28Circular%204220.1F%29.pdf>

TVM Certifications Validation:

<https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/disadvantaged-business-enterprise>

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Subrecipients are required to review and certify one of the applicable Buy America Certifications below.

Buy America Certification: Post Delivery

As required by [49 CFR part 663](#) – Subpart C, (SUBRECIPIENT NAME), certifies that it is satisfied that the vehicles received, (NUMBER, DESCRIPTION OF VEHICLES) from the (MANUFACTURER NAME), meet the requirements of [49 U.S.C. 5323](#) (j)), as amended. We have reviewed, which may include an appointed auditor, (AUDITOR NAME, IF APPLICABLE), documentation provided by the manufacturer, which lists (1) the actual component and subcomponent parts of the vehicles identified by the manufacturer, country of origin, and cost; and (2) the actual location of the final assembly point for the vehicles, including a description of the activities that took place at the final assembly point and the cost of final assembly.

Subrecipient Authorized Signature	
<i>Signature:</i>	Name:
	Title:
	Date:

Buy America Certification of Non-Compliance: Post Delivery

As required by [49 CFR part 663](#) – Subpart C, (SUBRECIPIENT NAME), certifies that the attached letter from the Federal Transit Administration (FTA) grants a waiver to the vehicles received, (NUMBER, DESCRIPTION OF VEHICLES) from the (MANUFACTURER NAME), from the Buy America requirements under [49 U.S.C. 5323](#) (j)), as amended.

Subrecipient Authorized Signature	
<i>Signature:</i>	Name:
	Title:
	Date:

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Subrecipients are required to review and certify one of the applicable Federal Motor Vehicle Safety Standards Certifications below.

Federal Motor Vehicle Safety Standards Certification – Compliance: Post-Award

As required by [49 CFR part 663](#) – Subpart D, (SUBRECEPIENT NAME), certifies that it received, at the post-delivery stage, a copy of the (MANUFACTURER NAME) self-certification information stating that the vehicles, (NUMBER, DESCRIPTION), comply with the relevant Federal Motor Vehicle Safety Standard issued by the National Highway Traffic Safety Administration in [49 CFR part 571](#).

Subrecipient Authorized Signature	
<i>Signature:</i>	Name:
	Title:
	Date:

Federal Motor Vehicle Safety Standards Certification – Non-Compliance: Post-Award

As required by [49 CFR part 663](#) – Subpart D, (SUBRECIPIENT NAME), certifies that it received, at the post-delivery stage, a statement from (MANUFACTURER NAME) indicating that the vehicles, (NUMBER, DESCRIPTION), are not subject to the Federal Motor Vehicle Safety Standard issued by the National Highway Traffic Safety Administration in [49 CFR part 571](#).

Subrecipient Authorized Signature	
<i>Signature:</i>	Name:
	Title:
	Date:

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Equipment/Vehicle/Property Disposition Information

Subrecipients may dispose of vehicles and other equipment at the end of their useful life (Exhibit 2-5U) after notifying and receiving disposition instructions from Metro and completed the required items below.

<input type="checkbox"/>	Vehicle Disposition Policy	<input type="checkbox"/>	Request release of lien and title from Metro
<input type="checkbox"/>	Vehicle Disposition Policy Reviewed and Approved by Metro: XX/XX/XXXX	<input type="checkbox"/>	Obtain at least two written appraisals to determine fair market value
<input type="checkbox"/>	Appraisals from qualified individuals	<input type="checkbox"/>	Appraisals reviewed and approved by Metro: XX/XX/XXXX

After the above items have been completed and approved by Metro, Subrecipients may dispose of the vehicles and other equipment. For vehicles and other items being auction/sold, subrecipients agree to the following:

- Add proceeds from the sale of the vehicle and other items to the subrecipient’s budget and be utilized for the transportation project and NOT used for any future local match and be documented and recorded.
- Equipment with a unit market value that exceeds \$5,000 requires reimbursement to Metro/FTA of the proportionate share of the fair market value or the net proceeds of the sale.

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Maintenance Plan Sample Template

Subrecipients with FTA funded vehicles or operate FTA funded services are required to have a Maintenance Plan. This is a general template that consist of examples of elements to be included in Maintenance Plan for FTA Section 5310 subrecipients. It should be revised to meet manufacturer's minimum requirements for vehicles and equipment. Also, it is recommended each entity include their own maintenance rules and procedures.

Maintenance Plan
April 14, 2017

Maintenance Plan Revision History

Revision	Date	Description of Change	Superseded Document
Original	(Insert Date)	Original Release	
Revision 1	(Insert Date)		Original
Revision 2	(Insert Date)		Revision 1

Name of Organization: _____

Authorized By: _____ Date: _____

Maintenance Plan and Goals:

The (Name of Entity) mission is to provide safe, clean, reliable and comfortable transportation to our clients and customers. To achieve this, we will provide a maintenance plan that is based on preventive, scheduled maintenance rather than reactive or unscheduled maintenance.

The (Name of Entity) will follow the maintenance recommendations of our vehicle and equipment manufacturers in order to maintain a valid warranty, even if the vehicle or equipment is no longer under the manufacturer's warranty. This includes a graduated maintenance program based on the manufacturer's recommended maintenance intervals for climate and type of use for each individual vehicle we own.

The (Name of Entity) will include maintenance of the Americans with Disabilities Act (ADA) and accessibility equipment in our established maintenance program and not separately. This allows us to perform regular and frequent checks to keep the equipment in good working order and to promptly repair it when needed. If ADA and accessibility equipment is found to be inoperable, it will be removed from service at the end of shift and like equipment will be dispatched to accommodate persons with disabilities.

The (Name of Entity) will also include maintenance of security equipment and on-board technology, such as on-board cameras, mobile radios, mobile data terminals, AVL technology, and fareboxes (if appropriate).

The (Name of Entity) maintenance goals and objectives supports our mission statement with the following:

- **Goal:** Reduce overall maintenance costs and inconvenience to our clients/customers.
 - **Objective:** Maintain a comprehensive preventive maintenance and warranty recovery plan.
- **Goal:** Adhere to the vehicle and equipment manufacturer's maintenance recommendations.
 - **Objective:** Maintain a graduated maintenance program based on intervals recommended by the manufacturer in order to maintain a valid warranty.
- **Goal:** Provide ADA and accessibility equipment that is in good working order.
 - **Objective:** Include ADA and accessibility equipment in all routine maintenance inspections including the driver's pre-trip inspection. Promptly remove inoperable equipment from service and dispatch like equipment to accommodate persons with disabilities.

Maintenance Responsibilities and Scheduling:

Annually, staff of (Name of Agency) will meet to evaluate and assign maintenance responsibilities. Current responsibilities are attached to this plan. Each year a maintenance schedule will be established to meet the goals and objectives of this plan. Preventive Maintenance (PM) will be checked against the schedule and measured by use of Pre-Post-Trip Inspection Form and/or Driver Daily Trip Sheets which will be used to record mileage. All vehicles (including any 5310 funded vehicles) are checked daily by each driver during the preventative maintenance inspection and appropriate information is recorded in the drivers daily report book/sheet. The next oil change service mileage is attached to the vehicles for the next service due as a reminder to the driver to ensure oil changes are completed at the appropriate intervals (+ or – 10%) of the manufacturers' recommended mileage/time for oil changes. The Attachment to this Plan shows the (Name of Agency) PM mileage intervals it uses for each vehicle type operated.

Pre- and Post-Trip Inspections

Pre- and Post-Trip Inspections are an important element of a PM program. It is (Name of Agency)'s policy that each vehicle be inspected by the driver each day before beginning passenger service and after parking at the end of each driver's work day.

First Interval PM Checks (insert recommended mileage interval):

At (*manufacturers' recommended mileage*) miles vehicles are to have a multipoint check and fluids topped off, a lube job, and oil and filter change. A multipoint inspection includes:

- Check fluid levels and fill as needed including engine oil, brake fluid, window washing fluid, power steering, and transmission coolant reservoirs.
- Check battery strength and condition
- Body interior and exterior
- Brake system
- Steering and suspension
- Exhaust system
- Transmission and drive axle
- Lights, wiper blades, windshield
- Wheelchair lift mechanism
- Hoses and belts
- Tire tread and brake lining.

Tire replacement, rotation and other repairs are performed on an as needed basis.

Wheelchair lifts/ramps and wheelchair securement systems are serviced as needed, following equipment manufacturer guidelines.

Scheduled Maintenance Plan:

Note: the following is an example of a scheduled maintenance plan for a van or small bus. Your agency should follow the manufacturer's recommendations for your agency's particular types of vehicles.

Every **15,000** miles, perform above checks/inspections and replace air filter, inspect brake system, engine cooling system and hoses, wires and steering linkage.

Every **30,000** miles perform above checks/inspections and inspect exhaust system, replace engine air filter, fuel filter and transmission fluid. Vehicles with over 60,000 miles that have never had a transmission flush should not have a transmission flush.

Every 45,000 miles flush cooling system.

Every 60,000 miles is the same as 30,000 mile checkup.

Every 75,000 miles is the same as the 45,000 miles checkup.

Every 90,000 miles is the same as the 30,000 miles checkup.

Every 100,000 miles inspect accessory belts, replace spark plugs and replace rear axles lubricant.

Every 105,000 miles is the same as the 45,000 miles checkup.

Every 120,000 miles is the same as the 30,000 miles checkup.

Wheelchair Lift Maintenance Plan:

Note: the following is an example of a scheduled maintenance plan for a specific type of lift. Your agency should follow the manufacturer's recommendations for the specific equipment installed on your vehicles.

Under normal operating condition (10 or less cycles per day), service at least every six months (1,750 cycles) and a thorough inspection should be performed at the time of services. If more than 10 cycles per day, services should be increased to the Maintenance schedule below.

Make sure lift pivots points remain clear and are cleaned prior to lubrication. Use penetrating oil on knuckle links (both sides), hinges, and torsion springs (both sides). Torsion rods need to be lubricated with dry lubricant. Lubrication should be performed every six months or sooner, depending on usage.

Scheduled Maintenance Listed by Cycles:

To be performed if 10 or less cycles per day:

1. Overall Condition: Listen for abnormal noises as lift is operated (i.e. grinding or binding noises).
2. Control Pendant: Verify that control pendant is undamaged and cable connector is tight.
3. Threshold Warning System: Verify that the system properly detects objects in threshold areas and actuates an audible alarm.
4. Bridge plate Load Sensor: Verify that the sensor inhibits downward movement of the platform when a weight is present on the lowered bridge plate.

To be performed at 150 cycles:

1. Overall Condition: Same as above and inspect the underside of the vehicles to be certain that nothing is out of the ordinary.
2. Electrical Wiring: Inspect electrical wiring for frayed wires, loose connections, etc.
3. Vehicle Interlock: Place the vehicles in the non- interlock mode and verify that the lift does not operate.
4. Decals: Verify that lift decals are properly affixed, clearly visible, and legible. Replace if necessary.
5. Handrails: Verify that handrail fasteners are properly tightened.
6. Lift Mounting and Support Points: Verify that the vehicle mounting and support points are in proper order and free of damage. Verify that the mounting bolts are sufficiently tight and free of corrosion.
7. Main Lift Pivot: Be certain that the traveling frame pins are installed properly, free from damage, and locked into position.
8. Platform Pivot Points: Verify that the platform moves freely without binding and does not wobble. Check that the platform operates properly during lift functions without obstruction.
9. Bridge plate: Verify that the bridge plate operates without binding during lift functions. Verify that the bridge plate deploys fully as platform stops at floor level. Verify that the bridge plate rests flat against the base plate.

10. Inner Rollstop: Verify that the rollstop operates properly during lift functions without obstruction. Be certain that the inner rollstop deploys fully as the platform stops at the proper vehicle floor level.

11. Hydraulic Power Unit: Check and add fluid when it is at ground level. Verify that there are no hydraulic fluid leaks. Check that the backup pump manual release valve is snug. Verify that the manual backup pump operates properly. With the platform at ground level, be certain that the pump hydraulic fluid level is level is at required full level.

To be performed at 1,800 cycles:

Same as above and the following: Cleaning and Lubricating: Clean lift with mild soap and water and wipe dry. Prevent rust by coating all surfaces with light weight oil. Spray penetrating oil where specified following the directions on container. Remove excess grease from surrounding areas.

To be performed at 3,600 cycles:

Same as above and the following: Hydraulic Cylinder, Hoses, and Fittings: Check cylinder for evidence of leaks. Inspect hydraulic hoses for damage. Verify that all fittings are tightly secured.

Other Vehicle Equipment:

The (Name of Entity) also has the following items of independently manufactured equipment (that is, equipment not made by the OEM) installed on its vehicles:

- List each item of equipment and its maintenance requirements
- Ex. Radios – to be inspected monthly
- Ex. Surveillance Cameras – to be inspected and serviced every 3 months
- Fare Boxes – to be inspected and serviced semi-annually

The (Name of Entity) will provide an updated Attachment to this Maintenance Plan showing all independently manufactured equipment and their respective maintenance schedules and will adhere to these schedules through the efforts of (Name of Entity's) in-house staff approved by the manufacturer or the use of manufacturer's approved outside vendors.

Note, all vehicle maintenance records are to be kept by vehicle via hard copy in an individual vehicle file for the life of the vehicle. (Name of Entity) may keep electronic records as well and may utilize maintenance software as it deems appropriate.

Warranty:

The _____ (Name of System) _____ will check all repairs to ensure that manufacturer warranty will cover/not cover the cost of the repair. Any repairs covered directly

by the manufacturer will be documented and kept in the vehicle maintenance file and labeled as warranty. Any warranty reimbursements received will be tracked and applied against other maintenance costs for the covered vehicle. All such information is to be kept in the vehicle maintenance file.

Attachments: (Name of Entity) will attach copies of the following information which shall also become part of the (Name of Entity's) Fleet Maintenance Plan.

- Attach a copy of Maintenance responsibilities
- Attach a copy of your organization's Table of Organization
- Attach a copy of your current PM schedule (mileage and/or time) by vehicle type. Note, you must have a separate interval for each vehicle type you operate which is based upon the manufacturer's recommended mileage and/or time intervals.
- Attach a copy of your current PM/Inspection/Service schedule for each type of independently manufactured item of equipment you own on or off of your vehicle fleet
- Attach an inventory (Form 6 from your most recent ATP) of all vehicles funded with FTA and/or MTA funds. At a minimum, include VIN #, your organization #, make/model of vehicle, manufacturers recommended mileage between oil changes, date put in-service, odometer reading, original cost of vehicle number of seats and wheelchair tie-downs, and general condition of vehicles (Excellent, Good, Fair, Poor).
- Attach an inventory (Form 6a from your most recent ATP) of all equipment funded with FTA and/or State funds that is on or off your vehicle fleet.
- Attach copies of all Preventive Maintenance forms and check lists, include Driver Daily Trip Sheets and Pre-and-Post Vehicle Trip Inspection forms.
- Attach a list (or copy) of all warranties for each vehicle you own.

SEFA Requirements

The Schedule of Expenditures of Federal Awards (SEFA) is a required schedule that is prepared by state and local governments and not-for-profit entities each year that lists the expenditures for each grant during the period covered by the organization's financial statements. The SEFA is also the basis for the major programs audited in accordance with [OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations](#).

All subrecipients are required, at a minimum, to have a SEFA and include the following:

1. List individual Federal programs by Federal agency;
2. Include, for Federal awards received as a sub-recipient, the name of the pass-through entity and the identifying number assigned by the pass-through entity;
3. Provide the total Federal awards expended for each individual Federal program;
4. [Catalog of Federal Domestic Assistance](#) (CFDA) number or other identifying number (i.e. Contract Number) when the CFDA information is not available.

Online Resources

OMB Circular A-133:

<https://www.gpo.gov/fdsys/pkg/FR-2015-07-14/pdf/2015-17236.pdf>

Catalog of Federal Domestic Assistance:

<https://www.cfda.gov/>

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Asset Management Information

The establishment of an asset with Federal, State or Local funds, as part of the acquisition cost creates a Grantor interest in the project property, Metro or the subrecipient must keep satisfactory records pertaining to the use of any project property or capital assets, and is required to submit verification of the assets to the Grantor, such as FTA, upon request such information. Subrecipients must also submit these same records to Metro upon request. If your entity acquires assets with FTA funds obtained through a pass-through grant, you will be required to have a Transit Asset Management Plan. If eligible, your entity may choose to participate in Metro’s Group Transit Asset Management (TAM) Plan. Records must include:

General Requirements for All Subrecipients	
<input type="checkbox"/>	Description of the Asset
<input type="checkbox"/>	Identification number or tag number
<input type="checkbox"/>	Source of property (the grant project number under which it was procured)
<input type="checkbox"/>	Acquisition date
<input type="checkbox"/>	Cost of Asset
<input type="checkbox"/>	Percentage of Federal participation in the cost
<input type="checkbox"/>	Asset Location
<input type="checkbox"/>	Use and Condition
<input type="checkbox"/>	Useful life per agreed to method
<input type="checkbox"/>	Specific title owner to the equipment including rolling stock with specific “vested title” information
<input type="checkbox"/>	Written permission received from the FTA or Grantor Agency to dispose of an asset
<input type="checkbox"/>	Any other disposition data, including the date of disposal and sale price
<input type="checkbox"/>	Method used to determine its fair market value
<input type="checkbox"/>	For assets that have either reached the end of their useful life or are no longer needed the net book value of the asset on the date of disposal
<input type="checkbox"/>	Notify Metro of a change in asset status
<input type="checkbox"/>	Asset inventory or conditions shall be updated when a property item is removed from service for any lengthy period (repairs, removal, etc.) by the asset owner and are subject to an GM&O Grants Manager inspection

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Grant Proposal Overall Package Checklist

This Checklist is to be used a resource. It is recommended applicants use this Checklist to finalize the grant proposal package and all its contents prior to submittal.

GRANT PROPOSAL PACKAGE CONTENTS			
<input type="checkbox"/>	Part I – General Information <ul style="list-style-type: none"> ○ Completely Filled Out ○ Signed 	<input type="checkbox"/>	Part II – Project Narrative <ul style="list-style-type: none"> ○ Completely Filled Out
<input type="checkbox"/>	Part III – Project Budget <ul style="list-style-type: none"> ○ Completely Filled Out 		
<input type="checkbox"/>	Part IV – Certifications <ul style="list-style-type: none"> ○ Completely Filled Out ○ Applicant Certification Signed ○ General Certifications and Assurances Applicant Certification Signed ○ Civil Rights Certification Signed ○ Current Subrecipient Certification Signed (IF APPLICABLE) ○ Debarment Suspension Certification Signed 		
<input type="checkbox"/>	Attachments <ul style="list-style-type: none"> ○ Completely Filled Out ○ Vehicle Purchasing Schedule (IF APPLICABLE) ○ Vehicle Replacement Request Form (IF APPLICABLE) ○ New Service/Service Expansion Vehicle Request Form (IF APPLICABLE) ○ Communication/Computer Equipment Request Form (IF APPLICABLE) 		
<input type="checkbox"/>	Font <ul style="list-style-type: none"> ○ Arial or Times New Roman font 12 point type is acceptable. 		
SUBMITTAL INSTRUCTIONS			
<input type="checkbox"/>	Grant Proposal Package (Parts I – IV and Attachments) <ul style="list-style-type: none"> ○ Completely Filled Out ○ Applicable Forms and Certifications Signed 	<input type="checkbox"/>	One (1) Grant Proposal Package with Original Signatures
<input type="checkbox"/>	Five (5) Printed Copies of the Signed Grant Proposal Package	<input type="checkbox"/>	Two (2) Electronic Copies of the Signed Grant Proposal Package <ul style="list-style-type: none"> ○ Acceptable formats include DVD, CD, and Flash Drive. Email is not considered an electronic copy.
<input type="checkbox"/>	Addressed to: Los Angeles County Metropolitan Transportation Authority (LACMTA) Attn: Grants Management and Oversight One Gateway Plaza Mail Stop 99-23-3 Los Angeles, CA 90012-2952		

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Grant Proposal General Information Checklist

This Checklist is to be used a resource. It is recommended applicants use this Checklist to finalize Part I General Information of the grant proposal package and all its contents prior to submittal.

<input type="checkbox"/>	Applicant Information <ul style="list-style-type: none"> ○ Completely Filled Out ○ DUNS Number 	<input type="checkbox"/>	Project Service Area <ul style="list-style-type: none"> ○ Applicable project area(s) is selected
<input type="checkbox"/>	Description of Applicant Agency/Organization <ul style="list-style-type: none"> ○ Organization Type ○ Transportation Services Provided ○ Target Populations Served ○ Geographical Areas Served ○ If passed subrecipient, ensure the Current Subrecipient Certification is signed and included in package 	<input type="checkbox"/>	Project Budget Summary Ensure coincides with Part III Project Budget and if applicable, Attachment A Vehicle Purchasing Schedule for the following three funding categories: <ul style="list-style-type: none"> ○ Total Project Expenses ○ Total Local Match ○ Total Federal Funding Request ○ Verify if proposal is flexible to revise to a reduced Scope of Work. May also be referred to as scalable
<input type="checkbox"/>	Project Goal <ul style="list-style-type: none"> ○ Applicable project goal(s) is selected ○ Ensure goal(s) coincide and reference to the 2016 – 2019 Coordinated Public Transit – Human Services Transportation Plan for Los Angeles County 		
Project Category Type (Choose one and ensure applicable forms are completed)			
<input type="checkbox"/>	Traditional Capital (Section 5310) Applicable Forms may include: <ul style="list-style-type: none"> ○ Vehicle Purchasing Schedule ○ Vehicle Replacement Request Form ○ New Service/Service Expansion Vehicle Request Form ○ Communication/Computer Equipment Request Form 	<input type="checkbox"/>	Other Capital (Sections 5310, 5317) Applicable Forms may include: <ul style="list-style-type: none"> ○ Vehicle Purchasing Schedule ○ Vehicle Replacement Request Form ○ New Service/Service Expansion Vehicle Request Form ○ Communication/Computer Equipment Request Form
<input type="checkbox"/>	Capital (Section 5316) Applicable Forms may include: <ul style="list-style-type: none"> ○ Vehicle Purchasing Schedule ○ Vehicle Replacement Request Form ○ New Service/Service Expansion Vehicle Request Form ○ Communication/Computer Equipment Request Form 	<input type="checkbox"/>	Operating (Sections 5310, 5316 and 5317)
<input type="checkbox"/>	Authorized Representative <ul style="list-style-type: none"> ○ Name and Title of Authorized Representative ○ Signed and dated by Authorized Representative (PREFERABLY IN BLUE INK) <i>Please note, in the case of grant award, ensure applicant has proper documentation of authority delegated to staff by applicant’s governing body.</i>		

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Grant Proposal Project Narrative Checklist

Part II Project Narrative consists of four sections (A-D) totaling 100 points possible. This Checklist is to be used a resource for Part II Project Narrative of the Grant Proposal Package. It is recommended applicants use this Checklist to verify all applicable items have been included and addressed in the proposal. This will also ensure applicants apply content to the scoring criteria items and receive the greatest amount of points possible.

Section A: Scope of Work, Project Need, Objectives, Coordination and Outreach	
Total of 40 Points	
<input type="checkbox"/>	<p>Applicant Information, Services in Relation to Project and Scope of Work (10 Points)</p> <ul style="list-style-type: none"> ○ Describe the transportation services currently provided (if any), ○ Existing transportation service fleet (if any), and ○ The target populations currently served including elderly persons, individuals with disabilities, welfare recipients, and/or eligible low-income individuals ○ Overview of project, ensure how it is aligned with applicant’s services, and the Scope of Work for the project. <ul style="list-style-type: none"> • For new and/or enhanced or expanded services are proposed, be specific regarding the change and/or improvements to existing services including: capacity, service hours, service areas, target populations, etc. ○ Explain how the funds will allow your applicant to implement, continue, and/or enhance or expand existing services including the project beginning and ending dates.
<input type="checkbox"/>	<p>Outreach (5 Points)</p> <p>Discuss how the project is or will be marketed to promote public awareness and expand coordination efforts with other parties.</p>
<input type="checkbox"/>	<p>Objectives (10 Points)</p> <p>Explain how the proposed project meets and is consistent with the goals and objectives of the applicable grant program, and how it addresses gap(s), barriers, goals and/or strategies identified in the 2016-2019 Coordinated Public Transit – Human Services Transportation Plan for Los Angeles County. It is recommended applicants reference the Coordinated Plan and identify applicable section, page numbers, and use actual language/quotes from Plan. Applicants are also highly encouraged to include references to any other, studies, surveys, or other information that were used to develop the project and substantiate its need using qualitative and/or quantitative analyses.</p>
<input type="checkbox"/>	<p>Coordination (5 Points)</p> <p>Explain how the proposed project was developed or is being implemented in consultation with interested parties to ensure adequate coordination of existing and proposed transportation services, including seeking and considering comments and views of affected private and public transportation providers.</p> <p>Specify the agencies, groups, or stakeholders involved in the development of the proposed project and/or its implementation phase and their roles (such as health and human services agencies, agencies from the private sector, non-profit agencies, transportation providers, and members of the general public) to successfully implement the project, support coordination of services, and avoid duplication. It is recommended to further support evidence of this coordination with letters of support from interested parties and stakeholders.</p>

Section A Continued	
<input type="checkbox"/>	<p>Project Need by Project Type (10 Points) <i>Be sure to address the project need according to, but not limited, one of the project types below.</i></p>
<p>For vehicle replacement projects, explain why the replacement vehicle(s) are needed.</p> <p>If requesting alternative fuel vehicle(s), justify the need and indicate whether your agency has the required fuel infrastructure, including the proximity of the fuel station in relation to your agency.</p> <p>Indicate the plan for the disposition of the vehicles being replaced (e.g. backup or sell).</p>	<p>For improved passenger facilities, attach two photos that show existing conditions and describe the proposed facility improvements.</p> <p>For transit stop improvements, provide the project’s location and service area (including street names), as well as the total annual boardings and alightings at each location</p>
<p>Operating projects must include operating, vehicles, and/or equipment expenses supporting new and/or enhanced/expanded service, describe the new service and/or the growth in demand for transportation services by the target populations that your agency or organization is experiencing. Describe and include the service routes and schedules including trip coordination strategies conducted in support of the project and/or to be pursued; also, specify if your agency or organization will operate the service or will contract for the services.</p> <p>Include any projected increase in the number of clients to be served, target population(s), area(s) served, type of service to be provided, and how the enhanced and/or expanded service will increase the capacity of the services currently being provided. Indicate the new or additional days/hours of service to be provided per year, as well as the projected number of annual one-way passenger trips and miles each vehicle will travel during its useful life.</p>	<p>For communication/computer equipment, hardware and/or software, or any other eligible miscellaneous equipment replacement in support of eligible projects, provide a detailed description of the make, model, and year of the equipment to be replaced.</p> <p>Explain how it is currently being used to support your service and how its replacement is needed to improve service efficiency. List the specific items to be purchased and attach three (3) like-kind estimates with this application. Estimates can be quotes received from manufacturers or Internet sites, advertisements, or product catalogs. Use the average cost of the three estimates to calculate the unit cost in the proposal.</p>

Section B: Project Implementation, Operating and Management Plans Total of 20 Points	
<p>To receive the maximum number of points, describe your agency/organization’s project operating and management plans as applicable to new, continuing, and/or enhanced/expanded project proposal. Complete and attach a proposed project schedule and provide key project milestones, potential risks along with associated mitigation strategies. Assume the start of eligible activities to be approximately eight (8) months after the Application Deadline. Please include and address each of the following as applicable to the proposed project:</p>	
<input type="checkbox"/>	<p>Project Implementation Plans (8 Points)</p> <p>Describe the project’s management plan, key milestones, and schedule, including a brief description of:</p> <ol style="list-style-type: none"> 1) The role of key personnel and their relevant experience with implementing/managing similar transportation projects; and 2) Any professional services to be procured by the applicant after grant award and the proposed procurement method to be used.
<input type="checkbox"/>	<p>Project Operating Plans (8 Points)</p> <p>Describe your agency or organization’s contingency plan to avoid service disruption due to staffing, mechanical, or technical problems. Further include response to the item (a) below if applicable to the proposed project.</p> <ol style="list-style-type: none"> 1) For new, continuing, expanded and/or enhanced vehicular transportation service projects, describe your agency or organization’s driver training program, maintenance program (i.e., daily pre-trip and post-trip inspection, and description of preventive and routine maintenance policies and procedures). Include/attach your agency or organization’s fleet, including spare ratio, before and after funding request. Responses shall apply to directly operated and/or contracted services.
<input type="checkbox"/>	<p>Objectives (10 Points)</p> <p>Explain how the proposed project meets and is consistent with the goals and objectives of the applicable grant program, and how it addresses gap(s), barriers, goals and/or strategies identified in the 2016-2019 Coordinated Public Transit – Human Services Transportation Plan for Los Angeles County. It is recommended applicants reference the Coordinated Plan and identify applicable section, page numbers, and use actual language/quotes from Plan. Applicants are also highly encouraged to include references to any other, studies, surveys, or other information that were used to develop the project and substantiate its need using qualitative and/or quantitative analyses.</p>
<input type="checkbox"/>	<p>Project Management Plans (4 Points)</p> <p>Describe your agency or organization’s experience and history in providing transportation services, including the number of years. Also, include the number of years your agency has provided transportation services or managed similar projects or programs funded with Section 5310, Section 5316, and/or Section 5317 funds (or other federal programs). If your agency or organization will be providing transportation services for the first time, specify the number of years it has provided non-transit services to elderly persons, individuals with disabilities, welfare recipients, and/or eligible low-income individuals.</p>

<p>Section C: Performance Indicators and Project Effectiveness Total of 20 Points</p> <p>To receive the maximum number of points, identify the performance measures applicable to the proposed project to ensure that stated objectives are being met (ref. Application Part II, Section A.2). Please address the following evaluation criteria (as applicable):</p>					
<input type="checkbox"/>	<p>Performance Indicators (10 Points)</p> <p>Provide quantitative and where applicable qualitative project performance measure(s) as required for each project type for each calendar year during the life of the proposed project. Include the methodology used to develop the performance measure estimates. Discuss any other performance indicators applied to the proposed project, such as projections for annual vehicle use and number of persons receiving travel training. In all cases use calendar year 2016 as the base year when developing and projecting future performance indicators (if the proposed service/project is not new). Also include the applicable indicators by project type below:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%; vertical-align: top;"> <p>Section 5310 Traditional Capital Projects: Estimated number of seniors & individuals with disabilities afforded mobility that would not have without program support as a result of the project.</p> <p>Estimated number of rides measured by one-way passenger trips provided.</p> </td> <td style="width: 50%; vertical-align: top;"> <p>Section 5316 Operating & Capital Projects: Estimated or projected number of jobs that can be accessed as a result of geographic or temporal coverage of the project.</p> <p>Estimated or projected number of rides measured by one-way passenger trips provided.</p> </td> </tr> <tr> <td style="width: 50%; vertical-align: top;"> <p>Section 5310 Other Capital & Operating Projects: Provide the estimated number of rides measured by one-way passenger trips provided as a result of the project; provide the estimated increases or enhancements related to geographic coverage, service quality, and/or service times that impact availability of transportation services for seniors and individuals with disabilities as a result of the project; quantify/qualify estimated performance measures where additions or changes to physical infrastructure (e.g., transportation facilities, sidewalks, etc.), technology, and vehicles impact availability of transportation services for seniors and individuals with disabilities as a result of the project.</p> </td> <td style="width: 50%; vertical-align: top;"> <p>Section 5317 Other Capital & Operating Projects: Estimated or projected increases or enhancements related to geographic coverage, service quality, and/or service times that impact availability of transportation services for seniors and individuals with disabilities as a result of the project.</p> <p>And/or additions or changes to physical infrastructure (e.g., transportation facilities, sidewalks, etc.), technology, and vehicles that impact availability of transportation services for seniors and individuals with disabilities as a result of the project.</p> <p>And/or the estimated/projected number of rides measured by one-way passenger trips provided.</p> </td> </tr> </table>	<p>Section 5310 Traditional Capital Projects: Estimated number of seniors & individuals with disabilities afforded mobility that would not have without program support as a result of the project.</p> <p>Estimated number of rides measured by one-way passenger trips provided.</p>	<p>Section 5316 Operating & Capital Projects: Estimated or projected number of jobs that can be accessed as a result of geographic or temporal coverage of the project.</p> <p>Estimated or projected number of rides measured by one-way passenger trips provided.</p>	<p>Section 5310 Other Capital & Operating Projects: Provide the estimated number of rides measured by one-way passenger trips provided as a result of the project; provide the estimated increases or enhancements related to geographic coverage, service quality, and/or service times that impact availability of transportation services for seniors and individuals with disabilities as a result of the project; quantify/qualify estimated performance measures where additions or changes to physical infrastructure (e.g., transportation facilities, sidewalks, etc.), technology, and vehicles impact availability of transportation services for seniors and individuals with disabilities as a result of the project.</p>	<p>Section 5317 Other Capital & Operating Projects: Estimated or projected increases or enhancements related to geographic coverage, service quality, and/or service times that impact availability of transportation services for seniors and individuals with disabilities as a result of the project.</p> <p>And/or additions or changes to physical infrastructure (e.g., transportation facilities, sidewalks, etc.), technology, and vehicles that impact availability of transportation services for seniors and individuals with disabilities as a result of the project.</p> <p>And/or the estimated/projected number of rides measured by one-way passenger trips provided.</p>
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<input type="checkbox"/>	<p>Project Effectiveness (4 Points)</p> <p>Explain how each applicable Program performance measure (ref Section C.1) will be used by the agency/organization to evaluate the effectiveness of the project in meeting the transportation needs of the targeted population(s). Identify strategies to mitigate performance measures that are not achieving the stated objectives.</p>				
<input type="checkbox"/>	<p>Performance Management Tools and Procedures (6 Points)</p> <p>Describe the management tools and/or procedures to be used for collecting, tracking, and reporting the project's performance, including the on-going management and evaluation of performance indicators.</p>				

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Section D: Budget Justification Total of 20 Points Describe the assumptions used for developing the budget for the proposed project included in Part III of the application. Please also ensure the budget coincides with all applicable sections of the proposal package, unit costs are included for all budget items, along with the following important items which will be weighed for the overall 20 points.	
<input type="checkbox"/>	Budget Assumptions Assumptions used to prepare the budget, such as quantity and level of service, basis for costs, inflation rate and prior experience. Include maintenance and repair costs, cost of fuel, casualty and liability insurance, and other administrative and direct costs; in-direct costs are ineligible.
<input type="checkbox"/>	Operating Revenue Identify all sources and amounts of operating revenue, including farebox revenue where applicable and revenue from local, state, and/or federal discretionary and/or formula grants that are proposed to be used to fund the proposed project.
<input type="checkbox"/>	Justifications and Methodology for All Budget Items Identify the total amount of federal funds requested from the specific program and discuss the eligibility of the proposed expenditures. For instances, each budget line item should be able to be justified by a methodology; such as rate, time/hours, applied to a task. The rates and hours should also include how the rates and time were determined (based on past similar projects, quotes)
<input type="checkbox"/>	Local Match Specify the amount and source of non-USDOT Local Match funds committed for the proposed project to meet statutory local match requirements. Attach a letter signed by a duly authorized representative committing the proposed local match for the project.
<input type="checkbox"/>	Administrative Expenses do not exceed 5 percent of the total project's cost Example: \$100k * 5% = \$5k. Admin should not exceed \$5k for \$100k project.
<input type="checkbox"/>	Direct Labor includes: (IF APPLICABLE) <ul style="list-style-type: none"> ○ Job title ○ Description of task to be performed ○ Hours to be dedicated to the project by task ○ Rates (Hourly)

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Grant Proposal Project Budget Checklist

Part II Project Budget consists of the following two budget table categories; Project Expenses and Project Funding. Applicants must include all sources of revenue, including user fees and fares, and clearly identify all line item expenses and avoid grouping different budget items. The **Total Project Expenses must equal the Total Project Funding (including**. This Checklist is to be used a resource to ensure Part III Project Budget is completed fully and correctly. It is recommended applicants use this Checklist to verify all applicable items have been included and addressed in the proposal.

<input type="checkbox"/>	<p>Project Expenses</p> <ul style="list-style-type: none"> ○ Fully Completed ○ Identify and record project expenses over the proposed period of performance. ○ All expenses must be eligible, reasonable, and justified. ○ For leases, provide a cost/benefit analysis, if proposing to lease instead of purchase vehicle(s). (IF APPLICABLE)
<input type="checkbox"/>	<p>Operating Revenue</p> <p>Identify all sources and amounts of operating revenue, including farebox revenue where applicable and revenue from local, state, and/or federal discretionary and/or formula grants that are proposed to be used to fund the proposed project as well as donations, volunteers, and local fund-raising.</p>
<input type="checkbox"/>	<p>Local Match</p> <p>Specify the amount and source of non-USDOT Local Match funds committed for the proposed project to meet statutory local match requirements. Eligible local match may include (but are not limited to) state and local funds, revenues from grants or contracts with others, donations and local fund raising projects, non-USDOT federal funds and direct in-kind contributions.</p>
<input type="checkbox"/>	<p>Administrative Expenses do not exceed 5 percent of the total project's cost Example: \$100k * 5% = \$5k. Admin should not exceed \$5k for \$100k project.</p>
<input type="checkbox"/>	<p>Total Project Expenses must equal the Total Project Funding Include requested and pending amounts from other request/grants</p>

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Metro

Los Angeles County
Metropolitan Transportation Authority

One Gateway Plaza
Los Angeles, CA 90012-2952

213.922.2000 Tel
metro.net

Proposal Project Award Notice

BY MAIL

Month, Day, Year

Full Name

Title

Entity

Street Address

City, State, Zip Code

**RE: GRANT PROGRAM, YEAR, SOLICITATION
NOTIFICATION OF PRELIMINARY FUNDING AWARD
RECOMMENDATION**

Dear _____,

On behalf of the Los Angeles County Metropolitan Transportation Authority (Metro), I would like to inform you that your agency is being recommended to receive a total of \$ in federal funds from the GRANTOR/GRANT PROGRAM for the PROPOSAL TITLE. We distributed funding among the successful applicants based on project ranking, which was determined on the score received and the total funding available for the SOLICITATION TITLE to allow for a fair and equitable distribution of the funds. All preliminary funding awards are subject to Metro Board adoption in MONTH, YEAR, as well as final FTA approval.

Your agency's proposal received a score of PROPSAL POINTS out of a maximum of 100 points. It was evaluated by an external evaluation panel, with participation of Metro staff, assigned to review all proposals requesting funds from the GRANT PROGRAM.

Your agency will be required to implement the project in compliance with all federal and Metro requirements and/or regulations as applicable. Expenses eligible for reimbursement will be limited to those consistent with the Scope of Work and budget approved in the FTA grant and included in the Funding Agreement (FA) to be executed between Metro and your agency after the FTA grant award. Prior to the FA, your agency must complete and return the enclosed the Subrecipient Organization Self-Assessment (Assessment). Per the [Uniform Guidance 2 CFR 200.331](#), Metro conducts a financial risk assessment of subrecipients before finalizing an award. Please be sure to also include all applicable documentation to support the questions in the Assessment.

You are not authorized to begin incurring any costs associated with your project until this FA has been fully executed. The FA will specify all requirements and responsibilities for receiving the grant award and any special provisions as applicable. A “Successful Applicant Workshop” will be scheduled this MONTH, YEAR to discuss the program and grant requirements and to answer any questions that you and/or your staff may have.

You agency may appeal the project’s score and funding award recommendation at the MONTH, DAY, YEAR meeting of Metro’s Technical Advisory Committee (TAC). Brief presentations will be heard at the beginning of the TAC meeting starting at TIME, MEETING ROOM at Metro’s Headquarters. TAC will make recommendations after the appeals. There will be a three-minute time limit for each sponsor’s appeal presentation, which will be followed by a two-minute, question-and-answer period.

Sponsors wishing to appeal are required to complete the GRANT PROGRAM Appeals Fact Sheet, which is limited to one page in length. No other materials may be presented/distributed to TAC. To obtain a fact sheet, please contact NAME AND PHONE NUMBER. Fact sheets **must** be returned (by email or regular mail) no later than MONTH, DAY, YEAR. Furthermore, NAME can provide a debriefing on the score received and suggestions on how to improve the competitiveness of proposals that may be submitted in the future for GRANT PROGRAM funds.

Thank you for participating in the SOLICITATION TITLE. Should you have any questions regarding this notification, please contact NAME by calling the number provided above or by email at.

Sincerely,

Full Name
Title
Countywide Planning & Development

BY EMAIL

Dear Interested Parties:

The Los Angeles County Metropolitan Transportation Authority (Metro) has completed its preliminary funding recommendations for the Fiscal Year 2107 Solicitation for Proposals: Federal Section 5310 Program, Federal Section 5317 Program, and Federal Section 5317 Program. The preliminary recommendations are shown in Attachments A-1, A-2, A-3, B and C.

Applicant proposals were evaluated by three external evaluation panels using the criteria identified in the Board approved FY 2017 Solicitation for Proposals and Application Package released February 3, 2017. Metro received 49 applications requesting over \$23 million in federal grants for projects with a total cost of over \$30 million. One of the 49 applications received was insufficient to consider for evaluation. Staff recommendations are reflected in the attachments including: project ranking, preliminary recommended funding amounts and applicant local match. Staff is recommending federal funding awards for 36 projects totaling \$18,518,475. The preliminary staff recommendations are subject to an 8-week review period before adoption by the Metro Board scheduled July 27, 2017.

On June 7th, Metro's Technical Advisory Committee (TAC) will hear brief presentations from applicants who wish to appeal the project's ranking and funding award recommendation. Presentations will be heard beginning at 9:30 AM in the William Mulholland Conference Room (15th Floor) at Metro Headquarters. To schedule a presentation time please call Robert Saucedo at (213) 922-4373 no later than May 31st. To optimize TAC's time, we encourage only presentations from applicants with projects ranked last on the "Recommended" tables, or projects listed on the "Appeals Set-Aside" table or "Not Recommended" tables shown in the attachments. There will be a three-minute time limit for each applicant's appeal presentation, which will be followed by a two-minute question and answer period. TAC will make recommendations after the appeals. Applicants wishing to appeal are required to complete and return the Appeals Fact Sheet, limited to one page in length. No other materials may be presented/distributed to TAC. To request an Appeals Fact Sheet please email section5310@metro.net. Completed fact sheets must be returned no later than June 2nd 12:00 PM.

Thank you for participating in the FY 2017 Solicitation for Proposals. Should you have any questions regarding this information or would like to request a detailed evaluation and scoring brief, please call Jami Carrington (213) 922-7364, or Ruben Cervantes (213) 922-2421.

Attachments (5)

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Metro Grants Management and Oversight Subrecipient Processes and Procedures Guidebook

Chapter 3: Post-Award

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SUBRECIPIENT PROCESSES AND PROCEDURES GUIDEBOOK

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Chapter 3 POST-AWARD

Chapter 3 discusses the post-award activities of a grant award, such as project set-up and start-up, procuring goods and/or services, project reporting, project changes, and reimbursement. Furthermore, the Chapter provides details and useful resources; such as an implementation checklist and applicable post-award forms.

3.1 PROJECT START-UP REQUIREMENTS

Prior to incurring any project related costs, selected applicants are encouraged to attend and participate in a workshop/webinar held by the GM&O Unit for successful applicants. Furthermore, selected applicants must enter a pass-through agreement with Metro for the selected proposal. Once the applicant enters a fully executed agreement with Metro, the applicant then becomes a subrecipient of Metro. The following sub-sections will describe the project start-up requirements by the major steps for subrecipients to fully execute an agreement with Metro and begin their projects.

A. Project Manager Designation

If not already designated, subrecipients shall designate a person as the subrecipient Project Manager who is primarily responsible for leading and managing the project on behalf of the subrecipient. The subrecipient shall notify the GM&O Unit in writing in regards to this designation along with any changes to the Project Manager designation. Furthermore, it is recommended the Project Manager is the same individual identified in the Funding Agreement by the subrecipient for all correspondence and documentation relevant to the grant funded project.

B. Subrecipient Workshop/Webinar

All subrecipients are encouraged to attend and participant in a workshop/webinar held by the GM&O Unit. The workshop/webinar will provide an overview of the Funding Agreement and program grant requirements. The workshop/webinar will also provide an opportunity for the subrecipient and GM&O Unit staff to connect and discuss any questions and/or potential challenges.

C. Funding Agreement

Subrecipients will be given a Funding Agreement for review and signature. The Funding Agreement contains the terms and conditions that apply to the subrecipient. Specific instructions and deadline will be given to subrecipients in regards to signing the Funding Agreement and returning to Metro along with any applicable documentation. As a reference, a **Pass-Through Funding Agreement Example** is included as **Exhibit 3-1**.

Effective Date

The effective date is the start date of the Funding Agreement and typically the start date of the proposed project. Furthermore, the date of the LACMTA's CEO or his/her designee's signature is the effective date.

After the subrecipient has received, signed and returned the Funding Agreement to Metro, GM&O will review all appropriate signatures from the subrecipient and the related documentation received to execute the Funding Agreement. After all requirements have been met and signed off by the assigned GM&O staff, the Funding Agreements are forward to the appropriate authorized

representative for signature and execution. The completion of the Funding Agreement with the subrecipient enables the grant process to move into the post-award activities for grant management. Metro will notify subrecipients once Funding Agreements have been fully executed.

E. Project Set-Up

The first actions, after the Funding Agreements have been executed, are to set up the project to ensure effective tracking and compliance with the terms and conditions of the Funding Agreement. Subrecipient compliance will continue throughout the life of the grant funded project and carry on until the related grant funded equipment and/or property are no longer being used for the purposes defined in the grant proposal.

1) Schedule of Expenditures of Federal Awards.

The Schedule of Expenditures of Federal Awards (SEFA) is a required schedule that lists the expenditures for each grant during the period covered by the organization's financial statements for each applicable budget year. The SEFA is also the basis for the major programs audited in accordance with [OMB Circular A-133, Audits of States, Local Governments and Non-Profit Organizations](#). As a reference tool, please refer to the SEFA Requirements in Exhibit 2-25 of Chapter 2.

2) Financial Capacity and Management

- Project funding and match commitment.
- Financial plan and program budget
- Auditable accounting process
- Provision of documentation of project and grant invoices

3) Technical Capacity

- Project execution plan and schedule
- Adequate staff to complete projects on time and within budget
- Provision of project progress reporting and forecasts

4) Qualified and Compliant Procurement Process.

Subrecipients purchasing goods and/or services are required to have a qualified and compliant procurement process. Requirements for a qualified and compliant procurement process are discussed in detail in Section 3.2.

Furthermore, all subrecipients that will be awarded prime contracts exceeding \$250,000 in FTA funds in a fiscal year are required to have a Disadvantaged Business Enterprise (DBE) program. Metro will work with subrecipients required to develop and implement a formal DBE program. Please refer to **Exhibit 2-9 Disadvantage Business Enterprise (DBE) Program Information**, in the Appendix, for the DBE Program requirements.

5) Asset Management

Subrecipients must keep satisfactory records pertaining to the use of any project property or capital assets, and is required to submit verification of the assets to Metro and the Grantor, upon request such information. These records ensure the following:

- Verifying that funds are used for compliant project elements
- Inventory of assets (equipment and property) is maintained and monitored
- Processes are in place for protection and security of site, equipment and personnel

Please refer to **Exhibit 2-26 Asset Management Requirements** in the Appendix for a list of all the applicable record documentation needed for an asset.

If your entity acquires assets with FTA funds obtained through a pass-through grant, you will be required to have a Transit Asset Management Plan. If eligible, your entity may choose to participate in Metro's Group Transit Asset Management (TAM) Plan.

6) Maintenance Plan

Subrecipients receiving FTA grant funds for vehicles, equipment and/or facilities are required to have a Maintenance Plan. The Maintenance Plan must be maintained in good working order through a State and Federally Compliant Preventive Maintenance Program. As a resource, the **Maintenance Plan Template** is included in the Appendix as **Exhibit 2-24**.

7) Civil Rights and other related compliance areas

- Title VI Plan
In accordance with [49 CFR Section 21.7\(a\)](#), the FTA requires all recipients and subrecipients of FTA funds to ensure that their programs, policies, and activities comply with the U.S. Department of Transportation (US DOT) Title VI regulations of the Civil Rights Act of 1964. Title VI protects people from discrimination based on race, color, and national origin in programs and activities receiving federal financial assistance. As a pass-through entity, Metro is responsible for monitoring subrecipients' Title VI programs and ensuring their compliance with Title VI requirements. As a resource tool, **Exhibit 2-6 FTA Title VI Plan Information** is included in the appendix for subrecipients to use for their Title VI Plans. Subrecipients are required to have a Title VI Plan reviewed and approved by Metro prior to any project expenditures and notifying Metro of any related complaints.
- Environmental Justice Requirements
For new FTA funded construction and major rehabilitation or renovation projects, an environmental justice analysis must be submitted to Metro. Subrecipients must work closely with Metro at the earliest possible stages to ensure Environmental Justice requirements are met. For detailed information, please refer to [FTA Circular 4703.1 Environmental Justice Policy Guidance for Federal Transit Administration Recipients](#).
- Americans with Disabilities Policy
The Americans with Disabilities Act (ADA) prohibits discrimination against individuals with disabilities in the areas of employment, public services including transportation, public accommodations including services operated by private entities, and telecommunications. This Federal law sets forth specific requirements for transportation services, vehicles, and facilities. Subrecipients are required to the applicable requirements in the following:
 - [49 CFR Part 37](#) –Transportation Services for Individuals with Disabilities
 - [49 CFR Part 38](#) –Accessibility Specifications for Transportation Vehicles
 - [Section 504, codified in 49 CFR Part 27](#)--Nondiscrimination on the Basis of Disability in Programs or Activities Receiving Federal Financial Assistance

Subrecipients need to ensure that ADA/Section 504 policies are included in organization's written policies, and staff need to be informed and trained to ensure the policies are followed. As a resource tool, **Exhibit 2-8 ADA Policy Requirements**

Information includes all of the required ADA policies relevant for Section 5310 subrecipients.

8) **Lobbying Certification**

All subrecipients are required to disclose lobbying activities to Metro and the federal government by submitting a lobbying disclosure form. In 1989, Congress enacted legislation to limit the use of appropriated funds to influence certain Federal contracting and financial transactions and to require the recipients of Federal funds to report all lobbying activities. According to [31 U.S.C. 1352](#), as implemented at [49 C.F.R. Part 20](#), all applicants and subrecipients must abide by the following rules with respect to lobbying:

- All applicants and subrecipients may not use Federal funds to lobby an officer or employee of any Federal agency or Member of Congress. Applicants and subrecipients must certify this to Metro by completing the Exhibit 2-10 FTA Lobbying Form.
- Every time a potential subrecipient applies for or receives such a contract, grant or cooperative agreement in excess of \$100,000, it must file a written certification that states that no Federal funds have been paid for lobbying. Subrecipients can do this by completing the annual FTA Certifications and Assurances each year.
- Applicants and recipients that use non-FTA funds for lobbying must submit a “Disclosure of Lobbying Activities” form (SF LLL) to report these activities and to identify the name of the individuals performing lobbying services. Applicants and subrecipients must the form on page two of Exhibit 2-10 FTA Lobbying Form to disclose these activities. Instructions are provided on page three of the same exhibit.
- By law, any applicant or recipient that fails to file the required lobbying disclosure report or uses Federal funds for lobbying shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

9) **Debarred Contractors**

As discussed in Chapter 2, applicants and subrecipients are required to ensure that none of its grant funded contractors are either suspended, debarred, ineligible or voluntarily excluded from participation in federally assisted transactions or procurements. Furthermore, applicants and subrecipients must certify its agency nor any subcontractor has been debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any federal agency at the time of grant proposal certifying the **Exhibit 2-3 Debarment/Suspension Certificate**. It is recommended subrecipients establish routine procedures to perform federal suspension and debarment checks associated with each contractor. Subrecipients are required to immediately notify Metro of any known suspensions and debarments.

10) **Drug and Alcohol Testing**

In accordance with the Drug-Free Workplace Act of 1988 ([41 U.S.C. 701 et. seq.](#)), and [49 CFR part 32](#), each FTA grant recipient is required to maintain a drug-free workplace for all employees and to have an anti-drug policy and awareness program. Subrecipients, and all applicants for FTA funding must agree that it will provide a drug-free workplace and comply with all requirements of 49 CFR Part 32. Subrecipients are also required to develop, maintain and actively enforce a written Drug Free Workplace Policy. Subrecipient should refer to **Exhibit 2-16 Drug Free Work Place Policy Information** for applicable requirements.

11) Buy America Compliance

As required by [49 CFR part 663](#) – Subpart C, subrecipients must certify and comply with FTA’s Buy America requirements which prevent FTA funds to be used to carry out its program for a project unless “the steel, iron, and manufactured goods used in the project are produced in the United States.” 49 U.S.C. § 5323(j) (1). FTA’s Buy America requirements apply to third-party procurements by FTA grant recipients. Subrecipients must include in its bid or request for proposal (RFP) specification for procurement of steel, iron or manufactured goods (including rolling stock) an appropriate notice of the Buy America provision and require, as a condition of responsiveness, that the bidder or offeror submit with the bid or offer a completed Buy America certificate in accordance with 49 CFR §§661.6 or 661.12.

Subrecipients are required to certify on one of the two options in **Exhibit 2-21 Buy America Certifications**.

12) Construction Employee Protection

Subrecipients using funds from Metro for construction must agree to the following requirements that apply to Federally-funded construction contracts over \$2,000:

- Copeland Act: All Federally-funded construction contracts over \$2,000 must include a provision for compliance with the Copeland “Anti-Kickback” Act (18 U.S.C. 874), as supplemented by the Department of Labor regulations (29 CFR part 3, “Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States”). This Act prohibits subrecipients and contractors from inducing any person employed in the construction, completion, or repair of public work to give up any part of the compensation to which is otherwise entitled to and requires reporting of all suspected or reported violations to the Federal awarding agency.
- Davis-Bacon Act: Federal law that provides wage protection for non-government construction workers. It requires the payment of prevailing wages and fringe benefits to laborers and mechanics engaged in Federally-funded construction projects valued more than \$2,000. All covered contracts must contain a wage determination issued by the Secretary of Labor per Department of Labor regulations (29 CFR Part 1.6, “Use and Effectiveness of Wage Determinations”). Prevailing wages vary for rural and metropolitan areas. Overtime pay (time and a half) is required when a work week exceeds 40 hours.

These requirements are also available in the Appendix under **Exhibit 2-13 Construction Employee Protections**.

13) Half Fare Policy

As a condition for receiving funds from Metro, subrecipient must and comply with the FTA half fare requirement, as codified in 49 CFR 609.23. This FTA requirement states that during non-peak hours for transportation using or involving a facility or equipment of a Project financed with funds provided through 49 U.S.C. 5307, the following individuals will be charged a fare not exceeding fifty percent of the peak hour fare:

- Any senior;
- Any individual who, because of illness, injury, age, congenital malfunction, or other incapacity or temporary or permanent disability (including an individual who is a

wheelchair user or has semi-ambulatory capability), cannot use a public transportation service or a public transportation facility effectively without special facilities, planning, or design;

- Any individual presenting a Medicare card issued to that individual under Title II of the Social Security Act (42 U.S.C. 401 et seq.); or
- Any individual presenting a Medicare card issued to that individual under Title XVIII of the Social Security Act (42 U.S.C. 1395 et seq.).

Subrecipients with funds provided through 49 U.S.C. 5307 are required to complete **Exhibit 2-12 Half Fare Compliance Certification** prior to project start-up.

14) Insurance Minimum Coverage Requirements

The following minimum insurance is required for subrecipients purchasing, rehabilitating vehicles and/or operating transportation services with FTA Sections 5310, 5316 or 5317 funding assistance throughout the useful life of each vehicle and until the vehicle is no longer titled to Metro. The subrecipient must provide proof of insurance to Metro at the specified limits of coverage prior to receipt of a new vehicle as well as during the application process, and certify that minimum insurance requirements continue to be met on a quarterly basis. Note that proof of insurance is usually provided on the industry ACORD (Association for Cooperative Operations Research and Development) Certification of Insurance Form.

- \$1M commercial general liability coverage.
- \$1M auto liability coverage affording protection for bodily injury/property damage and in the aggregate. Coverage shall include comprehensive and collision coverage on a replacement cost basis with a deductible of no more than \$1,000. LACMTA must be named as loss payee for all purposes of adjusting, settling, or paying claims for damage to the insured vehicle(s).
- \$1M workers' compensation/employer's liability coverage.

Important Note: *If any of vehicles are subject to Federal or State commercial vehicle requirements, they may be subject to higher insurance requirements beyond the amounts listed above.*

F. Project and Grant Records

Based upon federal record keeping and retention rules, subrecipients are required to retain all financial and programmatic records, supporting documents, statistical records and other records related to projects with grant funding and specific the grants themselves. The federal retention period is three (3) years after the close of the project, or any period longer that is established by Metro or other policy. Furthermore, access by Metro and authorized grantor, such as FTA, is required to review subrecipients files and records for the subrecipient's retainage period. This period includes the useful life of the purchased goods, which may exceed the three-year federal retention period. Please refer to **Exhibit 2-15 Useful Life Chart**, which provides asset categories and their applicable useful life in years and/or miles.

G. Project Set-Up Information

Lastly, the grant management and oversight period after the Funding Agreement and project set-up has a combination of scheduled actions such as invoicing and progress reporting, to event or action triggered processes such as change or amendments, specialized reports, and audit responses. These areas will be discussed in the succeeding chapters. As a reference tool for this section, the **Project Set-Up Information** is included as **Exhibit 3-2**. Furthermore, the **Pass-Through Program Oversight Requirements** are included as **Exhibit 3-3** and include additional program requirements that may be applicable to subrecipients.

3.2 PROCUREMENT RULES AND REQUIREMENTS

The foundation to financial management of grant funds is the allowability, allocatability and reasonableness of the necessary project costs. Only those costs that are *allowable* under the award can be charged to the grant and/or the local match. A cost is only *allocable* to an award if it is treated consistently with other costs incurred for the same purpose in like circumstances. A cost is considered *reasonable* if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances at the time prevailing at the time the decision was made to incur the cost.

The factors affecting the allowability of costs are unique to each grant program and are identified in the laws, regulations, and provisions of the Funding Agreements pertaining to the grant funded project. The [Uniform Guidance Subpart E-Cost Principles](#) establishes principles and standards for determining costs for federal grant awards. These principles are used in determining the general allowable costs of work performed by subrecipients.

This sub-section discusses the general guidelines for procuring goods and/or services and third-party contracting requirements. Furthermore, this sub-section provides useful resources; such as the necessary financial system to manage grant funded projects from Metro as well as a checklist to verify third-party contracts and applicable clauses.

A. Information Requirements

All procurement activities are the responsibility of the subrecipients.

Requirements related to subrecipient's purchasing, procuring, and third-party contracting are intended to ensure contracts that make use of grant funding are:

- Consistently managed following locally established procedures that ensure compliance with applicable procurement requirements,
- Not awarded to fraudulent, debarred, or technically unqualified contractors,
- Cost-efficient
- Provide a fair opportunity to obtain contracted work through full and open competition,
- Comply with DBE requirements,
- Comply with Buy America requirements, as applicable, and
- Include flow-down contract clauses to contractors.

Metro shall ensure subrecipients are informed about the specific requirements for the grants providing funds to the project procurements. The methods for procurement requirements knowledge transfer can include:

- Metro-held workshops/webinars for subrecipients on procurement policy and methods
- Provision of the procurement policy to subrecipients as well as confirmation of policy with Metro Project Managers.
- Coordination with Metro procurement department to make sure that the latest Metro policy is being used and available to project teams.

B. Procurement Checklist

As a resource tool, it is recommended subrecipients use the **Exhibit 2-20 Procurement Review Checklist** to review and ensure FTA compliance with [FTA Circular 4220.1F](#). This is the form used by Metro to validate applicable procurement requirements.

C. Procurement Certificate

As a condition for receiving funds from Metro, subrecipients must use **Exhibit 2-17 Procurement Certification** to certify their procurement procedures will ensure an open competitive process and will conform to applicable federal law, including [49 CFR Part 18](#) (specifically Section 18.36) and [FTA Circular 4220.1 F](#), "Third Party Contracting Guidance". Furthermore, individual procurement contracts will not be executed until a Metro representative has reviewed all applicable procurement procedures and documents, including a review of the solicitation documents before they are released to the public. After reviewing the procurement-related material, Metro will notify the subrecipient whether changes must be made or whether they may to proceed with the procurement.

D. Subcontracting

Requirements regarding the use of Metro grant funds that apply to subrecipients also apply to subrecipient's third-party contractors, vendors, and/or lessees. This includes requirements such as drug and alcohol testing for safety sensitive positions, preventative maintenance requirements, and meeting all ADA service requirements. Requirements that pertain to those grants funding subrecipient's contract with the third party should be clearly spelled out in the contract and/or purchase order. Furthermore, subrecipients are responsible for monitoring and ensuring third-party contractor complies with requirements, as well as monitor project related procurements of the third-party contractor to ensure requirements are met. Third-party contractors must also certify a series of certifications and assurances to the subrecipient. It is highly recommended subrecipients refer to **Exhibit 2-19 FTA Provisions Matrix for Third-Party Contractors** for a list of required contract provisions.

3.3 PROJECT REPORTING REQUIREMENTS

In accordance with grantor requirements, each subrecipient shall be subject to and shall comply with all applicable requirements of Metro regarding project reporting requirements. This sub-section addresses reporting for FTA grants and the use of templates and report submission deadlines.

FTA Award Management Requirements Circular (5010.1E)

As a reference tool to assist recipients in administering FTA-funded project, including applicable project reporting requirements, Section III-3 of the [FTA Circular C 5010.1E Award Management Requirements](#) is a good reference and source of information for subrecipients.

A. Information Requirements

Project reports are required by Federal Grantor Agencies for federal grants administered by those agencies. As the pass-through entity, Metro is responsible for collecting, reviewing and submitting finalized project reports to the grantor, with the exception of specific reports that may be submitted directly by the subrecipients. These reports vary from quarterly progress reports to annual compliance self-certifications and service data reporting. Furthermore, due to Metro having to collect reports from subrecipients and in turn submitting to the grantor, deadlines for the reports will be set prior to the grantor deadlines to allow timely review and coordination of the reports by Metro. The specific reports will be identified in the Funding Agreement between Metro and the subrecipient. Please note, other reports not identified in this Guidebook and Funding Agreement, including certifications, may also be required and requested by Metro during post-award activities.

B. General Project Reporting

This subsection provides an overview of the general project reports that are applicable to subrecipients. This subsection also familiarizes subrecipients with the contents of the general report templates and makes subrecipients aware of the required information needed to track and report on Metro grant funded projects. However, specifics for the applicable reports and related templates will be included in the Funding Agreements and applicable solicitation and/or guidelines. Subrecipients must be aware of the reporting detail in the agreements for their specific grants in order to avoid missing a requirement.

Grant Reporting Tracking

As a general requirement and good practice, it is highly recommended subrecipients include the Federal Grant number, Agreement number, and Task number from the Funding Agreement on all correspondence, reports, certifications and other grant related documents.

In general, subrecipients are required to submit the following reports:

1. Quarterly Project Report

Subrecipients are required to provide Quarterly Progress Reports to Metro by the due date set by Metro each quarter. These quarterly reports may also be referred to as Quarterly Milestone or Narrative Reports. These reports consist of the following:

- Scope of work
- Reporting period activities
- Project Milestone updates – activities, start/end dates, etc.
- Planned activities for next quarter
- Preventive Maintenance completed for reporting period
- Performance Measures reporting
- Preventive Maintenance scheduled for next quarter

Grant Quarter Period

Metro operates on a federal quarterly period system for its quarterly project reporting. The quarter periods for Metro are as follow:

- 1st Quarter: Oct. 1 – Dec. 31*
- 2nd Quarter: Jan. 1 – Mar. 31*
- 3rd Quarter: April 1 – June 30*
- 4th Quarter: July 1 – Sept. 30*

Exhibit 3-4 Quarterly Progress Report Template is an example of the general report template used by current Metro subrecipients to capture status report information and used

by Metro as the primary resource for Metro’s progress reports to the Grantor. The Funding Agreement between Metro and the subrecipient will provide a specific template for the applicable project and grant program but the format and structure of the report is common for all FTA and other federal quarterly progress reports.

2. Annual FTA Compliance Self-Certification.

On an annual basis until grant ends and any applicable assets/equipment have met their useful life and /or properly disposed, subrecipients are required to complete the annual FTA compliance self-certificates. For FY 2017, subrecipients can refer to:

- **Exhibit 2-4 FY Subrecipient Self-Certification Form**
 - **Rolling Stock Status Form**
 - **Facility & Equipment Form**
- **Exhibit 2-10 Lobbying Certification**

3. Maintenance Records

Subrecipients receiving funding for vehicles and/or operating assistance will need to provide maintenance records to Metro on an annual basis upon request. Records include subrecipient’s Maintenance Plan, pre- and post-trip inspections, inventory, and/or regular maintenance reports. A Subrecipient Maintenance Site Visit will be performed every two years to ensure that correct and ongoing maintenance of rolling stock, facilities, and equipment is in place.

C. Report Deadlines/Schedule

As noted earlier, Metro is responsible for collecting, reviewing and submitting finalized project reports to the grantor. To ensure timely submittal of the reports, deadlines for the reports will be set prior to the grantor deadlines to allow timely review and coordination of the reports by Metro. As a regular practice, general quarterly project reports are typically due two to three weeks prior to the grantor’s deadline.

Federal fiscal year quarters are (applies to all types of Federal grants):

Quarter Reporting Period (Federal Fiscal Year)	Period Dates	Metro Reporting Deadline to Grantor	General Subrecipient Reporting Deadline to Metro
1 st Quarter	Oct 1 to Dec 31	Report due Jan 30	Report due Jan 10
2 nd Quarter	Jan 1 to Mar 31	Report due Apr 30	Report due Apr 10
3 rd Quarter	Apr 1 to Jun 30	Report due Jul 30	Report due Jul 10
4 th Quarter	Jul 1 to Sep 30	Report due Oct 30	Report due Oct 10

It is required and highly recommend subrecipients keep a record of all reports submitted for record keeping purposes and retain all records for a period of three years after final payment or in accordance with the Federal Grant, whichever time period is greater.

3.4 WHAT IF PROJECT HAS A CHANGE?

Subrecipients may experience the need to make changes to the related grant funded project's scope of work and/or budget. Subrecipients must notify Metro of the proposed change along with justification. As a sample, subrecipients may use **Exhibit 3-5 Project Change Request Form Sample**. Depending on the type of change and whether the change is a minor or major/severe change, Metro will decide the next action to take and may recommend either a budget revision, grant amendment and/or no change necessary.

The original structuring of the project (grant) budget may make changes easy or hard and delay the project. It is highly recommended subrecipients factor this consideration of potential adjustments during grant application proposal planning and preparation.

Lastly, it is very important for subrecipients to notify Metro of any proposed project changes. If Metro is not notified, subrecipient may be subject to default under the Funding Agreement between Metro and subrecipient, by failing to comply with the terms and conditions contained in the Funding Agreement and/or making material change(s) project without prior written consent or approval by Metro.

A. Budget Revisions

Budget revisions may be requested as long as there is no change in the grant's purpose, scope and funding of the grant. Budget revisions are generally changes to the project's budget line items funding amounts or descriptions, such as moving funding amounts from one budget line item to another. Furthermore, a budget revision may be made as long as the cumulative amount of change does not exceed 20 percent from the latest budget approved by Metro. Lastly, revisions must still follow the activities described in approved TIP and STIP information.

The budget revision process will include, but is not limited to the below. Refer to C5010.1E for other circumstances:

- A funding change identified by the subrecipient
- A request from the subrecipient to Metro to obtain approval for the budget revision
- Metro coordination with internal staff and Grantor, if necessary
- If applicable, Metro may notify subrecipient to stop any applicable work for the project
- A submittal by Metro of the budget revision to grantor
- The Grantor will determine if the change requires formal approval or if it is within criteria that does not require formal approval; such as a grant amendment process
- Metro will notify subrecipient of post approval and/or denial of budget revision request, and continue work for project

FTA Award Management Requirements Circular (5010.1E)

As a reference tool to assist recipients in administering FTA-funded project, including applicable project budget revisions and grant amendments, Section III-4 of the [FTA Circular C 5010.1E Award Management Requirements](#) is a good reference and source of information for subrecipients.

B. Grant Amendment

A request for a Grant Amendment for change in scope or for additional funding to an existing grant requires the same process and procedures as an application for a new grant. This may include project delays/stop work, potential grant amendment reviews and certification by the U.S. Department of Labor.

The amendment process will include:

- A scope change is identified by the subrecipient and is described in detail for application use
- The subrecipient representative requests Metro to submit an amendment (or change request) to the Grantor
- Internal reviews and coordination within Metro and the subrecipient are performed as needed
- If applicable, Metro may notify subrecipient to stop any applicable work for the project until conclusion of the grant amendment request
 - Please note, the submittal, review and approval process takes time that must be factored into the request and project's schedule by the subrecipient
- Metro submits the grant amendment request to the Grantor
 - Note in most situations not all information is repeated as some original application information does not change
 - Requirements for information should be confirmed prior to submittal
- The Grantor approves or disapproves the request
- Metro will notify subrecipient of post approval and/or denial of grant amendment request, and authorization to continue work for project
 - Please note, an amendment to the Funding Agreement may also be required and should be taken into consideration in regards to delays to the project

The amendment process includes an exception to the process when the amendment request is for deobligation of funds for a project where the scope of work is unchanged.

3.5 HOW TO GET REIMBURSED?

Metro allows subrecipients to invoice for allowed grant expenditures no more than once a month until a) the grant funds are fully expended, b) project is completed but grant funds remain, or c) grant duration is reached with the potential that there are grant funds remaining.

This sub-section addresses the reimbursement invoicing process and its linkage to project cost capture. The Funding Agreement between Metro and the subrecipient is the governing document for the determination of allowed costs and for the invoicing process.

A. Reimbursement Process

Subrecipients invoice Metro for allowed and compliant costs based upon the grant Funding Agreement between the subrecipient and Metro. The invoice, also referred to as request for reimbursement, follows the current process:

- The subrecipient prepares the invoice and supporting information for transmittal to Metro no more than on a monthly submittal frequency. The invoice package is to be sent to the

Grants Manager at Metro for review before submission. The general invoice process consists of the following:

- - **Exhibit 3-6 Invoice Cover Letter Sample is submitted**
 - Supporting documents for invoiced expenditures, which may include the invoice(s) paid by the subrecipient, supporting documents, and proof of payment.
 - The invoice is reviewed for compliance by Metro in compliance with the terms and conditions of the Funding Agreement between Metro and Subrecipient.
 - Address and resolve any issues or questions about the invoice.
 - Once verified for completeness, Metro’s Grants Manager will provide instructions and notices to proceed for official submission to Metro’s Accounts Payable for reimbursement.
 - Metro pays the invoice amount to the subrecipient by the Funding Agreement’s standard payment date and payment policy.
 - Payment information is recorded and tracked for Metro’s recordkeeping purposes.

Invoice Packages for Submittal by Subrecipients

- Invoices need to be on letterhead, there needs to be some description of what the expenses are for, and they need to provide the Project and task number.
- The documentation to be submitted to AP doesn’t need to include all of the Transit Vehicle compliance back-up (e.g. such as the test results, the PO or the vehicle details). Those items do need to be obtained, reviewed and accounted for prior to invoice submittal, and you did all of that. But AP doesn’t need that info.
- A typical invoice package can contain the cover page/invoice, a summary page which summarizes all of the expenditures being submitted and should account for/itemize each paid invoice that make up the total. So for Burbank, as an example, the submittal package would be about ten pages long – (1) invoice cover page, (2) summary page describing the expenditures (purchase of six make/model transit vehicles) and adding up all of the individual invoices to show the total expenditures, (3) copies of the six vehicle invoices that are tallied up on the summary page, and (4) a copy of the proof of payment. Attached is a fairly good example of an invoice package for construction work that is billing against two tasks representing two grants, one of which has 0 local match.
- If the total project expenditures exceed the total project cost in the Funding Agreement (the allowable costs), the cover page should list that total cost amount, and then the eligible cost, and then break it out into the match and the FTA amount to be reimbursed. So the breakdown on the invoice coversheet will look something like this:

Total Project Cost	\$ 5,000,000.00
Eligible Project Cost Per Funding	\$ 4,000,000.00
Local Match (20% of eligible costs)	\$ 800,000.00
FTA Share (80% of eligible costs)	\$ 3,200,000.00
Amount to be reimbursed	\$ 3,200,000.00

Reimbursement of Admin Fee

- After the subrecipient pays the Admin fee, they can submit for reimbursement for the federal share right away. This is a good way to get activity on the grant (a drawdown) even when the subrecipient isn't ready to bill for any project costs.
- Some subrecipients may choose not to submit a reimbursement request for the federal portion of the admin fee if they think they'll spend all of their grant funds on the project.

The subrecipient's invoice cover letter shall be signed by an authorized agent who can duly certify the accuracy of the included information. Advance payments by Metro are not allowed. All invoices shall be transmitted to Metro's Accounts Payable Department, once approved by Metro's Grants Manager, by using one of the following two options:

- 1) Electronically via email to:
accountpayable@metro.net
AGMT#
FTA GRANT#
- 2) Standard mail to:
Los Angeles County Metropolitan Transportation Authority
P.O. Box 512296
Attention: Accounts Payable Los Angeles, CA 90051-0296
AGMT#
FTA GRANT#

Subrecipients will receive the contact information for Metro Grants Manager. Contact information is also available in the Funding Agreement between Metro and the subrecipient.

B. Timely Use of Funds

Subrecipients must demonstrate timely use of the Funds by:

- Executing Funding Agreement within ninety (90) days of receiving formal transmittal of the Funding Agreement boilerplate from Metro,
- Meet the Project milestones due dates as agreed upon by Metro and the subrecipient in the Scope of Work. Applicable deadlines by project type are:
 - Contracts for construction or capital purchase shall be executed within nine (9) months from the date of completion of design.
 - Project design (preliminary engineering) must begin within six (6) months from the identified milestone start date.
 - Funds programmed by Metro for Project development or right-of-way costs must be expended by the end of the second fiscal year following the year the Funds were first programmed;
- Submitting the Quarterly Progress Reports; and,
- Expending the grant funds by the termination of the Funding Agreement.

If subrecipient fails to meet any of the above conditions, the Project shall be considered lapsed and may be submitted to the Metro Board for consideration of deobligation.

In the event that the timely use of the Funds is not demonstrated, the Project will be reevaluated by Metro as part of its annual Call for Projects process and the funds may be deobligated and reprogrammed to another project by the Metro's Governing Board. In the event that all the Funds are reprogrammed, the Project shall automatically terminate.

C. Schedule of Submittal Invoices

Generally, subrecipients are allowed to submit invoices immediately after the effective date of the Funding Agreement between Metro and the subrecipient. Subrecipients can submit an invoice not more than once a month up to the end date of reimbursable activities, referred to as "Termination Date," in the Funding Agreement. No invoices will be processed by Metro for expenses incurred after the Termination Date. Final invoices from subrecipients to Metro must be submitted to Metro to submit final invoices to the grantor, this period is thirty (30) to forty (40) days after project termination.

3.6 METRO FEES AND RETAINAGE

Overview of Metro policy.

A. Metro Fees

Metro is allowed to charge up to a 5%, of the grant amount, or funding program amount, for providing support to the subrecipient for proposals, applications, compliance documentation and agreements for obtaining the grant funding. The final fee amount is negotiated between Metro and subrecipient if applicable.

B. Funds Retention Policy

Metro may retain up to ten percent of each subrecipient's invoice amount for construction projects, or until Metro has evaluated the subrecipient's performance according to the criteria specified by Metro and the data provided by the subrecipient and has determined that all contract requirements under the Funding Agreement between Metro and subrecipient have been satisfactorily fulfilled. The subrecipient shall invoice Metro for reimbursement of the retention after project completion.

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Metro Grants Management and Oversight Subrecipient Processes and Procedures Guidebook

Chapter 3: Exhibits

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PASS-THROUGH FUNDING AGREEMENT EXAMPLE

FAIN NUMBER CA-2018-XXXX
FIS NUMBER: 700XXX
SAM SEARCH: XX/XX/20XX

AGMT# 920000000E17XX
DUNS: _____
CFDA: 20.513

FUNDING AGREEMENT FOR SECTION 5310 ENHANCED MOBILITY OF SENIORS AND INDIVIDUALS WITH DISABILITIES PROGRAM

This Funding Agreement for Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program Funds (the “Agreement”) is dated for reference purposes only _____ and is by and between _____ (the “Agency”) and the Los Angeles County Metropolitan Transportation Authority (“LACMTA”).

RECITALS

- A. On April 23, 2014 the Governor of the State of California designated the LACMTA as the Designated Recipient of funds allocated to large urbanized areas within Los Angeles County from the Federal Transit Administration (FTA) Section 5310 Program.
- B. On November 13, 2014, the LACMTA Board authorized the process to allocate available funding to state, city, and/or nonprofit agencies as subrecipients for LACMTA in its role as the Designated Recipient for Section 5310 grant funds (the “Federal Funds”).
- C. On July 27, 2017 the LACMTA Board authorized the LACMTA Chief Executive Officer (CEO) or his designee to negotiate and execute Agreements with agencies as subrecipients and approved the application and award of \$_____ to the Agency for [*insert capital and/or operating here*] assistance for _____ (the “Project”). Funding of this Project is subject to final execution of the Federal Grant Agreement between the FTA and the LACMTA.
- D. As the Agency is currently not able to directly apply for the Federal Funds, LACMTA prepared and submitted a grant application to the FTA on the Agency’s behalf.
- E. The total cost for the Project described in the Scope of Work (the “SOW”), attached as Exhibit “A”, hereto is estimated to be \$_____ (“Estimated Cost”).
- F. The Agency has agreed to provide the required local match of \$_____ (the “Local Match”), as described in the Financial Plan that is attached as Exhibit “B”, and any additional funding required to complete the Project.
- G. LACMTA assumes no responsibility for the funding of any portion of the Project. LACMTA is only acting as a pass through conduit for the Agency.
- H. The Agency understands that the Federal Funds provided herein are subject to the federal lapsing policy and that it must have obtained the environmental clearance required by federal regulations to use the Federal Funds.

I. The parties desire to execute this Agreement so LACMTA may pass along the Federal Funds received from the Federal Grant to the Agency.

1. PAYMENT OF FUNDS

1.1 To the extent LACMTA receives Federal Funds pursuant to the Federal Grant, LACMTA shall forward Federal Funds in an amount not to exceed \$_____ (the “Funding Amount”) to the Agency subject to the terms and conditions of the Federal Grant and this Agreement.

1.2 Payments to the Agency will be processed by LACMTA within a reasonable time period, but in no event more than sixty (60) calendar days after receipt of a Request for Reimbursement, which complies with the requirements of Section 4 below.

1.3 The Agency shall be subject to, and shall comply with, all requirements of the Federal Grant and other applicable requirements of the United States Department of Transportation (USDOT), the United States Department of Labor (USDOL), the FTA and of LACMTA as required by LACMTA to fulfill its responsibilities as the grantee under the Federal Grant and as the pass-through agency.

2. LACMTA COSTS

2.1 LACMTA will not charge the Agency for administrating these Federal Funds.

3. TERM

3.1 The term of this Agreement shall commence on the date of the LACMTA’s CEO or his/her designee’s signature (“Effective Date”) and shall terminate four years after the Effective Date of this Agreement (the “Termination Date”), unless terminated earlier as provided herein, or extended by a written approval from the LACMTA.

4. REQUEST FOR REIMBURSEMENT

4.1 The Agency shall contribute at least the statutorily or other required local contribution of matching funds (other than Federal Funds and any other USDOT funds), if any is specified within this Agreement or any attachments hereto, toward the actual costs of the Project. The Agency’s Local Match under this Agreement is \$_____.

4.2 Not more frequently than once a month, the Agency will prepare and submit to the LACMTA a Request for Reimbursement for allowable Project costs incurred and paid for by the Agency consistent with the Project’s SOW. The Request for Reimbursement submitted by the Agency shall be signed by an authorized agent who can duly certify the accuracy of the included information. Advance payments by LACMTA are not allowed.

4.3 Each Request for Reimbursement shall report the total of Project expenditures, specify the percent and amount of Federal Funds to be reimbursed, and include a detailed invoice describing all invoiced work completed.

4.4 If applicable, the first Request for Reimbursement shall also be accompanied by a report describing any tasks specified in the SOW document which were accomplished prior to the Effective Date of this Agreement, which costs could be credited toward the required Local Match provided that LACMTA has provided prior written approval for such expenditures to the Agency. LACMTA may retain ten percent (10%) of each invoice amount until LACMTA has evaluated the Agency’s performance according to the criteria specified by LACMTA and the data provided by the

Agency and has determined that all contract requirements under this Agreement have been satisfactorily fulfilled. The Agency shall invoice LACMTA for reimbursement of the 10% retention separately.

4.6 The Request for Reimbursement must be submitted on the Agency's letterhead and shall be accompanied by appropriate documentation supporting costs incurred.

4.7 The Agency should consult with LACMTA's Section 5310 Program Manager for questions regarding non-reimbursable expenses.

4.8 Total payments shall not exceed the Funding Amount specified in Section 1.1. No Request for Reimbursement will be processed by LACMTA for expenses incurred after the Termination Date of this Agreement.

4.9 If any amounts paid to the Agency are disallowed or not reimbursed by the FTA for any reason, the Agency shall remit to LACMTA the disallowed or non-reimbursed amount(s) within 30 days from receipt of LACMTA's notice. All payments made by LACMTA hereunder are subject to the audit provisions contained herein and within the Federal Grant.

4.10 The Agency shall comply with and ensure that work performed under this Agreement is done in compliance with all applicable provisions of federal, state and local laws, statutes, ordinances, rules, regulations and procedural requirements, including without limitation, Federal Acquisition Regulations (FAR) and the applicable requirements and regulations of LACMTA. The Agency acknowledges responsibility for obtaining copies of and complying with the terms of the most recent federal, state or local laws and regulations and LACMTA requirements, including any amendments thereto.

4.11 All requests for reimbursement must first be approved by Program Manager prior to submission for payment. Once approved, requests for reimbursement shall be transmitted to LACMTA's Accounts Payable Department using one of the following two options:

Option 1) E-mail:

AccountsPayable@Metro.net
AGMT# 9200000005310FY17XX; (FTA GRANT CA-16-XXXX)

or,

Option 2) Standard Mail:

Los Angeles County Metropolitan Transportation Authority
P.O. Box 512296
Attention: Accounts Payable
Los Angeles, CA 90051-0296
AGMT# 9200000005310FY17XX; (FTA GRANT CA-16-XXXX)

A copy of all Requests for Reimbursement submittals shall also forward to LACMTA's Section 5310 Program Manager, either by email to section5310@metro.net or by standard mail to the following address:

Los Angeles County Metropolitan Transportation Authority

Grants Management and Oversight
Attention: Section 5310 Program Manager

One Gateway Plaza
Mail Stop: 99-23-3
Los Angeles, CA 90012-2952

4.12 The Agency shall provide written notification to LACMTA's Section 5310 Program Manager regarding any changes to the Project management team. Unless otherwise specified, the following Agency address and contact person will be used by LACMTA for all correspondence and documentation relevant to this Agreement:

Agency
Address
City, CA ZIPCODE
Attention: _____ Title

5. START AND END DATE OF REIMBURSABLE ACTIVITIES

Unless written notification is otherwise provided by the LACMTA, the start date of reimbursable activities is the Effective Date of this Agreement. Actual reimbursement of eligible work cannot occur until LACMTA and the Agency execute this Agreement and LACMTA has entered into the Federal Grant with the FTA. The end date of reimbursable activities is the Termination Date of this Agreement.

6. FEDERAL REQUIREMENTS

6.1 The Agency shall utilize the Funding Amount and Local Match to complete the Project as described in the SOW, and in accordance with the Federal Grant requirements of the FTA and this Agreement.

6.2 All FTA requirements and guidelines, as summarized in the Federal Grant and the FTA Master Agreement, are incorporated by reference herein as part of this Agreement. These requirements include, but are not limited to the most current versions of:

- (a) 49 CFR part 26 (DBE Requirements)
- (b) 49 U.S. Code Section 5333(b) (Labor Standards)
- (c) Assurances of legal authority
- (d) Buy America requirements
- (e) Certification of a drug-free workplace
- (f) Certification of non-debarment, suspension or termination (SAM.gov)
- (g) Circular C 4710.1 (ADA Act Guidance)
- (h) CMAQ Program Guidance (Applicable only to CMAQ)
- (i) FTA Circular C 4220.1 (Third-Party Contracting)
- (j) FTA Circular C 4702.1 (Title VI Requirements)
- (k) FTA Circular C 4704.1 (EEO Act Guidance)
- (l) FTA Circular C 5010.1 (Award Management Requirements)
- (m) FTA Circular C 9030.1 (Applicable only to Section 5307)
- (n) FTA Circular C 9045.1 (Applicable only to Section 5317)
- (o) FTA Circular C 9050.1 (Applicable only to Section 5316)
- (p) FTA Circular C 9070.1 (Applicable only to Section 5310)
- (q) Inter-governmental review
- (r) Lobbying certifications
- (s) NEPA environmental review
- (t) Office of Management and Budget (OMB) circulars
- (u) Public Transportation Agency Safety Requirements
- (v) Title 2 CFR, Subpart E (Cost Principles)
- (w) Title 2 CFR, Subpart F (Single audit requirements)
- (x) Transit Asset Management Requirements

6.3 LACMTA shall not be responsible for providing any funding to substitute for the Federal Funds in the event the Federal Grant is withdrawn or is recalled or if the Federal Grant is not appropriated for any reason. In the event the Federal Grant is closed, the Agency will reimburse LACMTA any funds paid to the Agency that are no longer available under the Federal Grant.

6.4 Should the FTA or the United States Department of Labor (USDOL) require amendments, revisions, deletions of, or additions to the provisions contained within this Agreement, the Agency shall promptly execute all such amendments, revisions, deletions, or additions, as necessary, to comply with requirements of the FTA and the USDOL.

7. REPORTING AND AUDIT REQUIREMENTS

7.1 The Agency shall be subject to and shall comply with all applicable requirements of LACMTA, the FTA, and the USDOL regarding Project reporting and audit requirements. The Agency shall use the assigned Federal Grant number (CA-16-XXXX) and Agreement number 920000005310FY15XX on all correspondence.

7.2 The Agency shall submit upon request all applicable Reports, Certifications, and other documents to LACMTA for the duration of the Project and/or the life of any assets acquired through the Project. These include, but are not limited to:

- (a) Annual FTA Compliance Self-Certification
- (b) Maintenance Plans for equipment or facilities funded with FTA Funds
- (c) Maintenance records for all vehicles funded with the FTA Funds
- (d) Quarterly Narrative and Financial Report on Project Progress
- (e) Transit Asset Management Plan

7.3 LACMTA and the FTA and/or their respective designees, in order to fulfill their respective responsibilities as the grantee/Designated Recipient and grantor of the Federal Grant, shall have the right to conduct audits of the Project, as needed, such as financial and compliance audits and performance audits. The Agency shall establish and maintain proper accounting procedures and cash management records and documents in accordance with Generally Accepted Accounting Principles (GAAP) as applied to governmental agencies. The Agency shall reimburse LACMTA for any expenditure not in compliance with the SOW or other terms and conditions of this Agreement, other applicable requirements of LACMTA or requirements of the Federal Grant, or other applicable requirements of the FTA. LACMTA shall use Federal Acquisition Regulation (FAR) standards in determining the reasonableness of costs incurred. LACMTA shall have the right to conduct an audit using an outside auditing firm. The findings of that LACMTA audit will be final.

7.4 The Agency shall retain all original records and documents related to the Project for a period of three years after final payment or in accordance with the Federal Grant, whichever time period is greater.

7.5 The Agency shall obtain the services of an independent auditor to conduct a single audit of the Project each year in conformance with the provisions of Title 2 of the Code of Federal Regulations Subpart F. The Agency shall submit a copy of each single audit to the LACMTA within 30 days of its completion.

8. ALLOWABLE COSTS

8.1 Allowable Project costs are described in the Federal Grant, the SOW, and in federal guidelines. Allowable Project costs, including in-kind contributions and donations to meet the statutorily or other required local assistance of matching funds (other than Federal Funds or other USDOT funds), will be accepted only if they meet the requirements of Title 2 of the Code of Federal Regulations Subpart E.

8.2 The following guidelines shall apply for indirect costs and in-kind contributions and donations:

- Indirect costs shall not be considered eligible costs for reimbursement, unless all the following requirements are met by the Agency: i) provide evidence of a federally approved Cost Allocation Plan and indirect rate, as required by federal guidelines; ii) submit a written request to LACMTA; and, iii) receive a written approval from LACMTA prior to incurring the expenditure.
- In-kind contributions and donations shall be considered eligible as local match only upon written approval by LACMTA after verification of compliance with federal guidelines.

9. FUNDS AVAILABILITY

This Agreement will allow the LACMTA to pass along the Federal Funds from the Federal Grant to the Agency. The Funding Amount consists of Section 5310 Federal Funds and is subject to the terms and conditions of this Agreement, the Federal Grant, and the applicable requirements of the LACMTA and the FTA. This Agreement neither implies nor obligates any funding commitment by the LACMTA for the Project. All funds are contingent upon federal appropriation and the FTA's approval of a grant application. If a Letter of No Prejudice is issued by the FTA, the Agency assumes all the risk of spending the Local Match early on the Project.

10. EXPENDITURE AND DISPOSITION OF FUNDS

10.1 The expenditure and disposition of the Funding Amount by the Agency shall be subject to and in accordance with the terms and conditions of this Agreement, the Federal Grant and the applicable requirements of LACMTA and the FTA. The Agency shall not utilize the Funding Amount in any way or on any project other than that specified in this Agreement and in the Federal Grant.

CHOOSE THE APPLICABLE PARAGRAPH FOR

10.2 ONLY FOR CONSTRUCTION PROJECTS - At the substantial completion of the Project, the Agency will submit to LACMTA a Notice of Substantial Completion when: (i) the contractor has completed all the activities specified in the SOW, except punch list items; and, (ii) the Agency has ensured that the work was performed in accordance with all applicable Project requirements outlined in the SOW. Within a reasonable time thereafter, the Agency and LACMTA will inspect the Project to ascertain substantial completion and to agree on the punch list. The Agency shall ensure that all punch list items are completed and shall submit a Request for Final Acceptance. Within 30 days thereafter, LACMTA will inspect the Project. If accepted, the Agency shall obtain and submit to LACMTA releases from its contractors and subcontractors. Upon approval of the releases, LACMTA will release any retention and make a final payment to the Agency. If the Project or releases are not accepted or approved by LACMTA, the Agency shall perform, or have its contractors perform, such acts as are necessary to obtain acceptance of the Project or releases.

10.3 ONLY FOR NON-CONSTRUCTION PROJECTS - At the substantial completion of the Project, the Agency will submit to LACMTA a Notice of Substantial Completion when: (i) the Agency has completed all procurement or work contained within the SOW; and, (ii) the Agency has ensured that the procurement was performed in accordance with all applicable Project requirements. Within a reasonable time thereafter, the Agency and LACMTA will meet to conduct a site visit, as applicable, to: (a) verify that all vehicles/equipment have been received by the Agency; (b) validate that the vehicles/equipment have been placed in service; (c) confirm that the provider(s) have been paid; (d) verify that the Agency's Project and/or procurement files are in order; and, (e) agree on a punch list. The Agency shall ensure that all punch list items are completed and shall submit a Request for Final Acceptance. Within 30 days thereafter, LACMTA will meet with the Agency to re-inspect the procured item(s). If the procured item(s) is not accepted or approved by LACMTA, the Agency shall perform such acts as are necessary to obtain acceptance of the procured item(s). Once LACMTA accepts the procured item(s), LACMTA will release any retention and make a final payment to the Agency.

10.4 The Agency shall be responsible for any and all cost overruns and/or operating deficits for the Project. Further, the Agency shall be responsible for covering operating deficits through long term stable and reliable sources of revenue and to maintain and operate the federally funded Project.

10.5 Upon completion of the Project described in the SOW and disposition of the 10 percent retention, any unused Funding Amount shall revert back to the FTA.

10.6 The Agency shall address all correspondence to the FTA regarding this Project through LACMTA's Section 5310 Program Manager.

10.7 The programmed budget (the "Financial Plan") specifying the sources and amounts of funds to be used to pay for the Project is attached to this Agreement as Exhibit "B".

10.8 No material changes, as determined by LACMTA in its reasonable discretion and subject to the final discretion of the FTA, to the Financial Plan or the SOW shall be funded or allowed without an amendment to this Agreement approved and signed by LACMTA's CEO or his/her designee and an amendment to the Federal Grant evidencing the FTA's acceptance of such material change. The Agency shall give advance written notice to LACMTA of all proposed changes to the Financial Plan or SOW that it originally submitted to LACMTA.

11. TIMELY USE OF FUNDS

11.1 The Agency shall adhere to the Funding Amount programmed under this Agreement, and funds should be expended within the Term of this Agreement as described in Section 3.1.

11.2 In the event this Agreement is not executed and/or evidence of adherence to the Timely Use of Funds as described in Section 11.1 of this Agreement is not provided, the Project will be reevaluated by LACMTA and the Funding Amount may be deobligated consistent with the FTA's requirements. In the event that the Funding Amount is deobligated, this Agreement shall automatically terminate.

12. DEFAULT

Default under this Agreement is defined as one or more of the following: (i) the Agency fails to comply with the terms and conditions contained in this Agreement or the Federal Grant; (ii) the Agency fails to perform satisfactorily or to make sufficient progress toward Project completion; (iii) the Agency makes a material change to the SOW or the Financial Plan without prior written consent or approval by LACMTA and the FTA; or, (iv) the Agency is in default of any other applicable requirements of LACMTA or the FTA.

13. REMEDIES

13.1 In the event of a default by the Agency (as defined in Section 12), the LACMTA shall provide written notice of such default to the Agency with a 30-day period to cure the default. In the event the Agency fails to cure the default, or commit to cure the default and commence the same within such 30-day period to the satisfaction of LACMTA, the following remedies shall be available to LACMTA:

- (a) LACMTA may terminate this Agreement;
- (b) LACMTA may make a determination to make no further disbursements of the Funding Amount to the Agency;
- (c) LACMTA may recover from the Agency any funds paid to the Agency after the default; and/or,
- (d) Any remedies the FTA may have under the Federal Grant.

13.2 Effective upon receipt of written notice of termination from LACMTA, the Agency shall not undertake any new work or obligation with respect to this Agreement unless so approved by LACMTA in writing.

13.3 Subject to LACMTA's agreement providing prior written notice with a 30-day period to cure the default, the remedies described herein are non-exclusive. LACMTA shall have the right to enforce any and all rights and remedies herein or which may be now or hereafter available at law or in equity.

14. SECTION 5333(b) REQUIREMENTS

14.1 For purposes of satisfying the requirements of Section 5333(b) of the Federal Transit Act, by signing this Agreement the Agency certifies its acceptance of the terms and conditions of all protective arrangements applicable to all capital and operating assistance projects and of any other Section 5333(b) protections certified by the USDOL as applicable to any federal funding received (including any specific terms and conditions included in USDOL's certification letter for FTA grant (CA-16-XXXX)).

14.2 The Agency shall indemnify, defend, and hold harmless the LACMTA and its employees, officers and agents for any claims properly brought by public transportation employees in the Agency's service area or by its subcontractors pursuant to the Special Warranty, or any other Section 5333(b) arrangements, that may be filed against LACMTA and that may arise from any or all of the Federal Grant awarded to LACMTA on behalf of the Agency for the Project.

15. TERMINATION

15.1 Notwithstanding the term of this Agreement, specified in Section 3 above, either the Agency or LACMTA may terminate its obligations hereunder at any time, without cause, prior to submittal of the grant application to the FTA by providing not less than ten (10) calendar days advanced written notice of such intent to terminate. The Agency and LACMTA may mutually terminate this Agreement with less than ten (10) days written notice if approved by both parties.

15.2 In the event of termination of this Agreement, LACMTA will immediately stop rendering services under this Agreement.

16. OTHER TERMS AND CONDITIONS

16.1 This Agreement, along with the applicable requirements of the FTA, the USDOL, LACMTA, and the Federal Grant, constitutes the entire understanding between the parties with respect to the subject matter herein. The Agreement shall not be amended, nor any provisions or breach hereof waived, except in writing and signed by the parties who executed the original Agreement or by those at the same level of authority.

16.2 In the event that there is any legal court (e.g. Superior Court of the State of California, County of Los Angeles, or the U.S. District Court for the Central District of California) proceeding between the parties to enforce or interpret this Agreement or the applicable requirements of LACMTA to protect or establish any rights or remedies hereunder, each party shall be responsible for its costs and expenses.

16.3 Neither LACMTA nor any officer or employee thereof shall be responsible for any damage or liability occurring by reason of anything done or committed to be done by the Agency under or in connection with any work performed by, and/or service provided by, the Agency, its officers, agents, employees, contractors and subcontractors under this Agreement or

the guidelines. The Agency shall fully indemnify, defend and hold LACMTA, its subsidiaries and their respective officers, agents and employees harmless from and against any liability and expenses, including without limitation, defense costs, any costs or liability on account of bodily injury, death or personal injury of any person or for damage to or loss of use of property, any environmental obligation, any legal fees and any claims for damages of any nature whatsoever arising out of the Project, including, without limitation: (i) use of the Funds by the Agency, or its officers, agents, employees, contractors or subcontractors; (ii) challenges, claims or litigation filed on behalf of any affected transportation provider and/or employees' union; (iii) breach of the Agency obligations under this Agreement or the Grant; or (iv) any act or omission of the Agency, or its officers, agents, employees, contractors or subcontractors in the performance of the work or the provision of the services including, without limitation, the Scope of Work described in this Agreement.

16.4 Neither party hereto shall be considered in default in the performance of its obligations hereunder to the extent that the performance of any such obligation is prevented or delayed by unforeseen causes including acts of God, floods, earthquake, fires, acts of a public enemy, and government acts beyond the control and without fault or negligence of the affected party. Each party hereto shall give notice promptly to the other of the nature and extent of any such circumstances claimed to delay, hinder, or prevent performance of any obligations under this Agreement.

16.5 The Agency shall comply with and ensure that work performed under this Agreement is done in compliance with Generally Accepted Accounting Principles (GAAP), all applicable provisions of federal, state, and local laws, statutes, ordinances, rules, regulations, and procedural requirements and applicable requirements and regulations of the LACMTA.

16.6 The Agency shall not assign this Agreement, or any part thereof, without written consent and prior approval of the LACMTA's CEO or his/her designee, and any assignment without said consent shall be void and unenforceable.

16.7 Subject to all requirements of this Agreement, the Federal Grant, and all other applicable requirements of LACMTA and FTA, including without limitation the requirement of competitive procurement of services and assets, the Agency may contract with other entities, including its affiliates in a project management role, to implement this Agreement.

16.8 This Agreement shall be governed by California law and applicable federal law. If any provision of this Agreement is held by a court of competent jurisdiction to be invalid, void, or unenforceable, the remaining provisions shall nevertheless continue in full force without being impaired or invalidated in any way.

16.9 The terms of this Agreement shall inure to the benefit of, and shall be binding upon, each of the parties and their respective successors and assigns.

16.10 All notices shall be given to the Project Managers of each agency at the addresses specified in Section 4 of this Agreement, unless otherwise notified in writing.

16.11 The Agency, in the performance of the work required by this Agreement, is not a contractor nor an agent or employee of LACMTA and attests to no organizational or personal conflicts of interest and agrees to notify LACMTA immediately in the event that a conflict, or the appearance thereof, arises. The Agency shall not represent itself as an agent or employee of LACMTA and shall have no powers to bind LACMTA in contract or otherwise.

16.12 The Agency agrees to comply with USDOT regulations, “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments”, 49 C.F.R. Part 18.

16.13 The Agency agrees that federal laws and regulations control Project award and implementation. The Agency also agrees that federal directives as defined in the FTA Master Agreement, set forth federal terms applicable to the Project, except to the extent that FTA determines otherwise in writing. The Agency understands and agrees that unless FTA has offered express written approval of alternative procedure or course of action differing from a procedure or course of action set forth in the applicable federal directive, the Agency may incur a violation of the terms of its Agreement if it implements an alternative procedure or course of action not approved by FTA.

16.14 The Agency understands and agrees that federal laws, regulations, and directives applicable to the Project and to itself as the applicant for federal funds on the date on which the FTA authorized official awards of federal assistance for the Project may be modified from time to time. In particular, new federal laws, regulations and directives may become effective after the date on which the Agency executes the Agreement for the Project, and might apply to that Agreement. The Agency agrees that the most recent of such federal laws, regulations and directives will govern the administration of the Project at any particular time, except to the extent FTA determines otherwise in writing.

16.15 The Agency understands that it will make reference to the Catalog of Federal Domestic Assistance (CFDA) number for the Section 5310 Program (20.513) in all its correspondence, including quarterly progress reports, invoices, and single audit reports.

FTA GRANT CA-16-XXXX
920000005310FY17XX

AGMT#

IN WITNESS WHEREOF, the parties have caused this Agreement to be executed by their duly authorized representatives as of the dates indicated below:

LACMTA

LOS ANGELES COUNTY METROPOLITAN TRANSPORTATION AUTHORITY

By: _____ Date _____
Phillip A. Washington
Chief Executive Officer

APPROVED AS TO FORM:

MARY C. WICKHAM
Interim County Counsel

By: _____ Deputy _____ Date _____

GRANTEE:

[AGENCY]

By: _____ NAME _____ Date _____
TITLE _____

APPROVED AS TO FORM (OPTIONAL):

By: _____ Date _____
General Counsel

FTA GRANT CA-16-XXXX

AGMT# 9200000005310FY17XX

EXHIBIT A SCOPE OF WORK

Description

Performance Measures

Timeline

Milestone

Start

Completion

Deliverables

FTA GRANT CA-16-XXXX
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AGMT#

EXHIBIT B FINANCIAL PLAN

The total cost of the Project is \$_____. The following is a description of the funding category and the corresponding funding amounts and funding source to implement the Project.

Category	<u>FTA Grant</u>	<u>Local Match</u>
Traditional Capital Assistance	\$_____	\$_____
Other Capital and Operating Assistance	\$_____	\$_____

Sources of Federal Financial Assistance

<i>UZA ID</i>	<i>Funding Source</i>	<i>Amount</i>
_____	FTA Section 5310	\$_____

Chapter 2 Local Match

The Agency shall use non-USDOT funds to match the grant.

FUNDING SOURCES	TOTAL (\$)	FEDERAL (\$)	LOCAL (\$)
1.			
2.			
3.			
Total			

ELIGIBLE EXPENSES	TOTAL (\$)	FEDERAL (\$)	LOCAL (\$)
1.			
2.			
Total			

Project Set-Up Information

Subrecipients may use this checklist as a reference to ensure that the following systems are set-up and procedures are in place that will provide the subrecipient with the capacity to manage an FTA funded project:

<p>Subrecipients are required to retain all financial and programmatic records, supporting documents, statistical records and other records related to projects with grant funding and specific the grants themselves. The federal retention period is three (3) years after the close of the project, or any period longer that is established by Metro or other policy. As a resource, it is recommended subrecipients create a specific file for the grant funded project and maintain copies of the following, but not limited to, items below for applicable record keeping.</p>	
<input type="checkbox"/>	Schedule of Expenditures of Federal Awards.
<input type="checkbox"/>	Financial Capacity and Management <ul style="list-style-type: none"> • Project funding and match commitment. • Financial plan and program budget • Auditable accounting process • Provision of documentation of project and grant invoices
<input type="checkbox"/>	Technical Capacity <ul style="list-style-type: none"> • Project execution plan and schedule • Adequate staff to complete projects on time and within budget • Provision of project progress reporting and forecasts
<input type="checkbox"/>	Qualified and compliant procurement process, including DBE and other requirements
<input type="checkbox"/>	Asset Management <ul style="list-style-type: none"> • Verifying that funds are used for compliant project elements • Inventory of assets (equipment and property) is maintained and monitored • Processes are in place for protection and security of site, equipment and personnel
<input type="checkbox"/>	Maintenance <ul style="list-style-type: none"> • Preventative maintenance plan program for vehicles, equipment, and facilities that is executed
<input type="checkbox"/>	Civil Rights Compliance <ul style="list-style-type: none"> • Title VI • ADA • EEO • ADA • Other related items such as Lobbying and Debarred Bidders/Third Party Contractors

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PASS-THROUGH PROGRAM OVERSIGHT REQUIREMENTS

FINANCIAL CAPACITY

Requirement: Subrecipients must have the financial capacity to match FTA funds and operate and maintain equipment over the useful life of the project.

Potential Oversight Activities:

Obtain a copy of the most recent financial audit with the grant application.

Obtain a transit program budget with the grant application.

Obtain a three-to-five year transit financial plan with the application.

Obtain a resolution from the governing body committing the necessary local funds with the grant application.

Require subrecipients to submit documentation of paid invoices to receive payment.

Requirement: Subrecipients must be able to track and account for FTA funds.

Potential Oversight Activities:

Obtain a copy of the most recent financial audit with the grant application.

Obtain a copy of the financial audit for the year the funds were expended.

Requirement: Subrecipients expending federal funds in excess of \$500,000 in a year must have a single audit conducted and must address findings.

Potential Oversight Activities: Obtain a copy of the single audit in the year FTA funds were expended and follow up on findings related to the transit program.

TECHNICAL CAPACITY

Requirement: Subrecipients must have the technical capacity to implement the project.

Potential Oversight Activities:

Obtain a description the transit management and operations capabilities with the grant application.

Obtain a description of how subrecipients plan to oversee construction projects with the grant application.

Obtain a description of how subrecipients plan to procure buses with the grant application.

Requirement: The cost-effectiveness of lease versus purchase/construction must be documented.

Potential Oversight Activities: Obtain an analysis of the cost-effectiveness of the lease versus purchase/construction with the grant application.

SATISFACTORY CONTINUING CONTROL

Requirement: FTA approval must be obtained for any incidental use of facilities purchased/constructed with FTA funds. Proceeds must be used to support the transit program. As LACMTA is the grantee, the request for approval must come through you.

Potential Oversight Activities:

Require subrecipients to describe incidental uses of the proposed project in the grant application so that you can include the uses in the grant application to FTA and obtain FTA approval with grant approval.

Follow up on a periodic basis to ensure that there are no unapproved incidental uses of FTA-funded facilities.

Requirement: Maintain an equipment inventory with required data elements.

Potential Oversight Activities: Requirement already met by LACMTA's pass-through program equipment inventory. Kudos!

Requirement: Conduct a biennial physical inventory of equipment and reconcile the results of the physical inventory with equipment records.

Potential Oversight Activities:

LACMTA conducts the physical inventory at least biennially.

LACMTA provides subrecipients with the inventory and requires subrecipients to conduct the physical inventory and submit evidence of the physical inventory and reconciliation of records.

Requirement: Subrecipients must have an adequate control system to prevent loss, damage, or theft of property.

Potential Oversight Activities:

Require a description of bus storage facilities with the application.

Conduct physical inventories.

Impose insurance requirements.

Requirement: FTA must be reimbursed for its share of disposed of equipment and real property.

Potential Oversight Activities: Require prior approval of disposition action and notification of proceeds received.

Requirement: Ensure that equipment and real property is used throughout its useful life and notify FTA if any are removed from service before the end of the useful life.

Potential Oversight Activities:

Inspect facilities and equipment during site visits.

Require periodic reports on the use of the facilities and equipment.

Require approval for removal from service.

MAINTENANCE

Requirement: Subrecipients must have a written maintenance plan for equipment and facilities.

Potential Oversight Activities:

Obtain a copy of the current maintenance plan with the application.

Require a copy of the maintenance plan at the time of delivery or project completion.

Requirement: Subrecipients must maintain equipment and facilities in good operating order. FTA uses a timeliness standard of 80 percent for preventive maintenance inspections.

Potential Oversight Activities:

Obtain a periodic report on the timeliness of preventive maintenance inspections.

Sample maintenance records.

Inspect equipment and facilities.

Requirement: Grantees must maintain ADA accessibility features.

Potential Oversight Activities:

Review maintenance plans to ensure that ADA accessibility features are addressed.

Sample maintenance records.

PROCUREMENT

Requirement: Subrecipients must have written procurement procedures that meet FTA requirements.

Potential Oversight Activities:

Obtain and review a copy of the procurement procedures with the application.

Require grantees to follow LACMTA's procurement procedures.

Requirement: Procurements must be conducted in a free and open manner. A cost or price analysis must be conducted with every procurement action. FTA clauses must be included in contracts. Procurement history must be documented.

Potential Oversight Activities:

Review procurements before contract award.

Review procurements post contract award.

Requirement: Buses that are purchased or leased must have been Altoona tested. The good practice is to obtain a copy of the test report with the bid. The requirement is to obtain a copy of the test report before the expenditure of FTA funds.

Potential Oversight Activities:

- Review procurements before contract award.
- Review procurements post contract award.

DBE

Requirement: Subrecipients' procurements must be included in LACMTA's DBE goals and semiannual contracting activity reports (does not apply to bus purchases). Subrecipients must obtain a copy of the TVM DBE certification for bus purchases. Contracts must include a prompt payment clause. Subrecipients must monitor contractors for compliance with DBE requirements.

Potential Oversight Activities:

- Obtain semiannual DBE reports from subrecipients.
- Review procurements before contract award.
- Review procurements post contract award.
- Require notification of any DBE complaints.

BUY AMERICA

Requirement: Subrecipients must comply with Buy America and pre-award/post delivery review requirements.

Potential Oversight Activities:

- Review procurements before contract award.
- Review procurements post contract award.

SUSPENSION/DEBARMENT

Requirement: The suspension and debarment clauses must be in contracts and subcontracts > \$25,000.

Potential Oversight Activities:

- Review procurements before contract award.
- Review procurements post contract award.

LOBBYING

Requirement: Subrecipients must obtain a signed lobbying certification from bidders for procurements that exceed \$100,000. FTA funds cannot be used for lobbying activities. Subrecipients using local funds for lobbying must submit a LLL form to LACMTA for reporting to FTA.

Potential Oversight Activities:

- Obtain lobbying certifications from subrecipients with the application.
- Review procurements before contract award.
- Review procurements post contract award.

For subrecipients with an active grant, ask whether FTA or local funds were used to support lobbying activities. If local funds were used for lobbying, obtain a LLL form and submit to FTA. If FTA funds, obtain a refund.

TITLE VI

Requirement: Subrecipients must notify their customers of their rights under Title VI, where to obtain additional information on Title VI rights, and how to file a Title VI complaint. Subrecipients must have procedures for investigating and tracking Title VI complaints. Subrecipients must take responsible steps to ensure meaningful access to the transit program.

Potential Oversight Activities:

Review schedules, websites, and other public information materials for the required notifications.

Require subrecipients to submit written procedures for investigating and tracking Title VI complaints or have LACMTA investigate and track Title VI complaints.

Have subrecipients conduct an LEP analysis or provide subrecipients the results of LACMTA's LEP analysis and work with subrecipients to develop an LEP program.

HALF FARE (Section 5307 subrecipients only)

Requirement: Section 5307 subrecipients may charge no more than half the normal peak fare to elderly persons, persons with disabilities, and Medicare cardholders. Public information must list half fares and eligibility, including for Medicare cardholders.

Potential Oversight Activities:

Review subrecipients' half fare application and eligibility programs.

Qualify half fare riders for subrecipients.

Obtain and review public information materials, including websites.

PUBLIC COMMENT FOR FARE INCREASE AND SERVICE REDUCTIONS (Section 5307 subrecipients only)

Requirement: Section 5307 subrecipients must have procedures for obtaining public comment for fare increases and major service reductions. FTA does not require the procedures to be written. The subrecipient defines major.

Potential Oversight Activities:

Require and review written procedures.

Require applicants to describe their procedures in applications.

ADA

Requirement: Subrecipients must comply with ADA service provisions.

Potential Oversight Activities:

Review operating procedures and policies.

Review training materials.

Provide training materials to subrecipients.

Survey or interview subrecipients regarding their policies towards ADA service provisions.

Review ADA complaints.

CHARTER BUS

Requirement: Subrecipients must comply with charter bus restrictions when using FTA-funded equipment or operating out of an FTA-funded facility. LACMTA must report on charter bus activities of subrecipients quarterly.

Potential Oversight Activities:

Require prior approval of charters.

Obtain quarterly reports of charter activities.

Follow up on charters provided to ensure that they complied with FTA requirements.

SCHOOL BUS

Requirement: Subrecipients are prohibited from using FTA-funded facilities or equipment for exclusive school bus service. School tripper service must be open and promoted to the general public.

Potential Oversight Activities:

Ask applicants if they provide exclusive school bus service or school tripper service.

Review schedules, maps, and websites to ensure that school trippers are listed.

NTD

Requirement: Section 5307 subrecipients must report NTD data to you for reporting to FTA.

Potential Oversight Activities: What you already do is great.

SAFETY AND SECURITY

Requirement: The only requirement is to expend one percent of Section 5307 funds on security unless it's not necessary.

Potential Oversight Activities: Obtain information on proposed security expenditures in applications and actual expenditures in requests for reimbursement. If subrecipients do not expend Section 5307 funds on security projects, ask why it is not necessary to do so.

DRUG AND ALCOHOL PROGRAM

Requirement: Subrecipients purchasing buses must have an FTA drug and alcohol program. LACMTA must obtain and file annual calendar year MIS reports from subrecipients that have an FTA D&A program.

Potential Oversight Activities:

Let Human Resources do this.

EEO

Requirement: Subrecipients cannot discriminate.

Potential Oversight Activities:

Obtain an EEO policy statement with the application.

Require reporting of EEO complaints filed by transit employees.

ITS ARCHITECTURE

Requirement: ITS must conform to the local ITS architecture.

Potential Oversight Activities: Review proposed projects to ensure that they comply with the local ITS architecture.

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QUARTERLY PROGRESS REPORT TEMPLATE GRANT YEAR & PROGRAM: _____ CATALOG OF FEDERAL DOMESTIC ASSISTANCE: __.____				
MOU number: MOU.	Grant number:	Project title:		Reporting period From: MM-YYYY To: MM-YYYY
Project Manager:			Phone number:	
Scope of work:				
Previous quarter reported activities:				
Current quarter activities:				
Milestone update:				
Activity	Memorandum of Understanding		Actual	
	Start Date	Completion Date	Start Date	Completion Date

Justification for schedule change:

Status of invoices submitted to Los Angeles County Metropolitan Transportation Authority Accounts Payable Department (accounts payable@Metro.net) for reimbursement during this quarter:

Invoice Number	Date Submitted	Invoice Amount ¹ (\$)	Local Match (\$)	Retention (\$)	Status (paid / not)

¹ Should include any retention

Summary and supporting data explaining how the performance measures described in the Memorandum of Understanding executed with Los Angeles County Metropolitan Transportation Authority are being achieved:

Planned activities for next quarter:

PROJECT CHANGE REQUEST FORM SAMPLE GRANT YEAR & PROGRAM: _____ CATALOG OF FEDERAL DOMESTIC ASSISTANCE: __.____				
Funding Agreement number: MOU.	Grant number:	Project title:		Date
Project Manager:			Phone number:	
Scope of work:				
Proposed Changes to Scope of work:				
Justification for Proposed Changes:				
Milestone update:				
Activity	Memorandum of Understanding		Actual	
	Start Date	Completion Date	Start Date	Completion Date
Justification for schedule change:				

Approved Project Budget:				
Scope	Quantity	FTA Amount (\$)	Local Match (\$)	Total
Estimated Total Eligible Cost				
Federal Share				
Local Share				
Proposed Project Budget Change:				
Scope	Quantity	FTA Amount (\$)	Local Match (\$)	Total
Estimated Total Eligible Cost				
Federal Share				
Local Share				
Justification for Budget Change:				

<i>Signature:</i>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="padding: 2px 5px;">Name:</td></tr> <tr><td style="padding: 2px 5px;">Title:</td></tr> <tr><td style="padding: 2px 5px;">Date:</td></tr> </table>	Name:	Title:	Date:
Name:				
Title:				
Date:				



FTA Grant No:
 Funding Agreement No:
 Invoice No:
 CFDA No:
 Project & Task No:
 Invoice Period:

Date: MONTH, DAY, YEAR

SUBRECIPIENT is requesting the reimbursement of \$ (AMOUNT INVIOCED) for the
 PROJECT TITLE , as summarized below:

1) Total expenses incurred this period for the project	\$-----
2) Program income (fare or other applicable income, if any)	\$-----
3) Federal share	\$-----
4) Local match share	\$-----
5) Amount invoiced	\$-----
6) Retention (10% of invoiced)	\$-----
7) Estimated total project cost	\$-----
8) Prior invoiced total (less project income and includes retention)	\$-----
9) Amount expensed this period (less project income)	\$-----
10) Total invoiced to date	\$-----

I, SUBRECIPIENT, certify that this invoice and the information attached (including a description of all work completed), is true and correct. I also certify that all eligible and required documentation is on file for this invoice and that I am the person duly authorized to sign this certification on behalf of my agency. I further certify that our agency is not using any funds from the United States Department of Transportation to match expenditure funds.

Signature	Title
Print Name	Date

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Metro Grants Management and Oversight Subrecipient Processes and Procedures Guidebook

Chapter 4: Closeout

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SUBRECIPIENT PROCESSES AND PROCEDURES GUIDEBOOK

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Chapter 4 CLOSEOUT

Grant closing or award closeout is the process by which the subrecipient and Metro agree that all activities approved for the grant award have been completed, including related grant award eligible expenditures. Closeout effectively occurs on the date that is defined and published as the project/grant termination end date in the Funding Agreement between subrecipient and Metro. The project/grant termination end date is the end date when all work for the grant funded project has been completed and end date of reimbursable activities for the grant. This Chapter discusses the responsibilities of the subrecipient for when grant projects are ready for closeout and the related requirements.

4.1 PROJECT COMPLETION REQUIREMENTS

The starting point for closeout is knowing if it should end. There are three, but not limited to, general areas, that may indicate the grant project is within 90 calendar days of any of the following:

1. zero funding balance for grant project
2. termination date
3. grant project status/work completed

It's important to keep Metro informed when a grant project is ending. It is recommended subrecipients make note of project completion timeline regularly in the quarterly progress reports and any deviation to the termination end date. As a courtesy, Metro may notify subrecipients within 60 to 90 calendar days prior to termination date to verify grant project progress and ensure project closeout schedule and determine if any changes are necessary. Furthermore, the closeout process should be very important to the subrecipients, as it demonstrates the subrecipients' commitment to end the grant project in accordance with the Funding Agreement and capacity to manage grant funded projects from Metro.

Note: The conditions for closeout or project completion may vary based on the specific Funding Agreement. It is highly recommended that subrecipients follow Section 10, Expenditure and Disposition of Funds, of their respective Funding Agreement for Project Completion Requirements.

Once subrecipients have determined the project will be completed within ninety (90) calendar days, subrecipients have the responsibility to:

- Complete and submit the Notice of Project Completion to Metro.
- Complete and submit the Request of Final Acceptance package to Metro.

A. Notice of Project Completion

At the substantial completion of the grant project subrecipients must submit to Metro a Notice of Project Completion. The requirements for construction and non-construction grant projects are as follow:

1. For construction projects, subrecipients are required to include the following for their Notice of Project Completion:
 - a. Verification subrecipient and/or third-party contractors have completed all the activities specified in the project's scope of the work; and,

- b. Subrecipient must ensure completed grant related project work was performed in accordance with all applicable requirements outlined in the project’s scope of work.
2. For non-construction projects, subrecipients are required to include the following for their Notice of Project Completion:
 - a. Verification all procurement or work by the subrecipient and/or third-party contractors have been completed all activities specified in the project’s scope of the work; and,
 - b. Subrecipient ensures the grant related project procurement and work was performed in accordance with all applicable requirements outlined in the project’s scope of work.

Within a reasonable time after the Notice of Completion is submitted, Metro will need to inspect the grant to ascertain substantial completion and schedule a site visit in coordination with the subrecipient. As an example, Metro may inspect and/or verify, but not limited to, the following:

1. subrecipient’s fleet, including vehicles/equipment purchased with grant funds;
2. validate that the vehicles/equipment have been properly accepted and placed in service;
3. confirm third-party contractors have been paid, contracts closed and no pending invoices;
4. verify that the Agency's Project and/or procurement files are in order; and,
5. a project related itemized punch list is completed

After the inspection has been satisfied to Metro’s standards, the subrecipient shall submit a Request for Final Acceptance.

B. Request of Final Acceptance

The Request of Final Acceptance are the closing submittals for Metro grants. The Request of Final Acceptance consist of the following:

IMPORTANT: Subrecipients must track and include request for the retention amount in the final request for reimbursement.

1. **Final request for reimbursement**
Subrecipients must prepare and submit a final request for reimbursement at the time of Request for Final Acceptance. Typically, subrecipients will use the appropriate grant program invoice template and **Exhibit 3-6 Invoice Cover Letter** for the final request for reimbursement.
2. **Final project progress report**
Subrecipients must prepare and submit a final project progress report at the time of Request for Final Acceptance using **Exhibit 3-4 Quarterly Progress Report Template**.

C. Closeout Certification

Within a reasonable time after the Request for Final Acceptance is submitted, subrecipients will receive notification, usually via e-mail, stating whether the request has been accepted. If it is accepted, Metro will confirm that the project is closed and that the parties are released from the terms of the Funding Agreement, except for the applicable ongoing obligations associated with continuing control. If not accepted, the subrecipient shall perform, or have its contractors perform, such acts as are necessary to obtain acceptance of the grant project releases.

Metro Grants Management and Oversight Subrecipient Processes and Procedures Guidebook

Chapter 5: Ongoing Obligations

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SUBRECIPIENT PROCESSES AND PROCEDURES GUIDEBOOK

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Chapter 5 ONGOING OBLIGATIONS

After the project has been completed, Metro's Pass Through Projects are still subject to compliance with the applicable requirements and certifications of the grant program throughout the useful life of the equipment, vehicle, and facility. In order to ensure subrecipients remain in compliance, Metro collects ongoing annual certifications and conducts reviews and audits of the subrecipient for the applicable useful life of grant assets. This Chapter identifies the applicable ongoing annual certifications.

5.1 ONGOING ANNUAL CERTIFICATIONS

On an annual basis until the grant ends and any applicable assets have met their useful life and /or properly disposed of, subrecipients are required to complete and submit the following certifications:

- **Exhibit 2-4 FY Subrecipient Self-Certification Form**
 - **Rolling Stock Status Form**
 - **Facility & Equipment Form**
- **Exhibit 2-10 Lobby Certification**

Based upon federal record keeping and retention rules, subrecipients are required to retain all financial and programmatic records, supporting documents, statistical records and other records related to grant funded projects. The federal retention period is three (3) years after the close of the project. The useful life of the assets, may exceed the three-year federal retention period. Furthermore, access by Metro and authorized grantor, such as FTA, is required to review subrecipients files and records for the subrecipient's retainage period. Maintenance records for rolling stock may have a subrecipient retention period that is closer to the useful life of the asset.

Due to the uncertainty of the release and collection of these annual certifications, Metro will coordinate and request these ongoing certifications from the subrecipients on an annual basis. Metro site inspections and verifications are every two (2) years.

5.2 ONGOING POLICY & PROGRAM UPDATES

On an ongoing basis, it is required for subrecipients to maintain and update, but not limited to, the following:

- **Title VI Plan:** Update every three (3) years
- **Americans with Disabilities Act of 1990 (ADA) Policy:** Update as needed
- **Disadvantaged Business Enterprise (DBE) Program:** Update as needed
- **Transit Asset Management (TAM) Plan*:** Update every year
- **Maintenance Plan:** Update as needed

IMPORTANT: Subrecipients must immediately notify Metro of any Title VI, ADA, and/or DBE complaints.

* If eligible, your entity may choose to participate in Metro's Group Transit Asset Management (TAM) Plan.

5.3 COMPLIANCE REVIEWS

Federal Grants are subject to Federal reviews, this includes Metro and its' subrecipients. Records that verify subrecipients are correctly fulfilling the grant requirements and compliances must be available for review by both Metro and Federal auditors. To be prepared for a review of the federal grant, Metro conducts reviews of subrecipients on a regular basis. This section provides an overview of the review process, areas of importance, and what to do for any findings and corrective actions.

A. Areas of Importance

The earlier chapters in this Guidebook and referenced material will have more specific explanations and details. This section is intended to serve as a reference for subrecipients. The general list of audit areas of importance includes:

- 1) Financial Capacity and Management**
 - Past and Current Annual Budgets
 - Audited Financial Statements
 - A-133 Single Audits
 - Financial Policy and Procedures
- 2) Technical Capacity**
 - Grant Policy and Procedures
 - Grant Reporting
 - Project Management Plans
- 3) Maintenance Plan***
 - Preventative Maintenance.
 - Driver Pre and Post –Award Inspections
- 4) Civil Rights and other related compliance areas**
 - Title VI Plan
 - Environmental Justice Requirements
 - ADA
 - EEO
- 5) Procurement**
 - Qualified and Compliant Procurement Process
 - Debarred Contractors
 - Construction Employee Protection
 - Buy America Compliance
 - DBE Requirements
- 6) Legal**
 - Lobbying Certification
 - Authorizing Resolutions
 - Certificates & Assurances

7) Satisfactory Continuing Control

- Asset Management
- Equipment Vehicle Property Disposition of Assets
- Inventory
- Insurance Coverage
- Half Fare Compliance Certification

8) Drug and Alcohol Program

- Drug-free Workplace Policy
- Drug and Alcohol Testing

B. Subrecipient Maintenance Site Visits

The Grants Manager shall ensure the following oversight requirements and procedures:

1. At a minimum frequency of every two (2) years, the Grants Manager must conduct site visits to verify subrecipient's self-certification status. A Subrecipient Maintenance Site Visit Checklist (Exhibit 5-1) is to be completed for all subrecipients scheduled for a site visit.
2. Prior to the site visit the Grants Manager shall:
 - a) Provide the questions from the Subrecipient Maintenance Site Visit Checklist shaded in blue to the subrecipient. All responses and documents to be received prior to the site visit.
 - b) All questions from the Subrecipient Maintenance Site Visit Checklist shaded in green should be completed by the evaluator (Metro staff or third party agent) after reviewing the requested responses and documents, prior to the site visit.
3. During the site visit the Grants Manager shall:
 - a. Conduct site inspections of grant generated assets. All questions from the Subrecipient Maintenance Site Visit Checklist shaded in red should be completed by the evaluator on site to test performance.
 - b. Review documentation, policies and procedures to verify the subrecipients technical competency in the management of FTA assets; Subrecipient Maintenance Site Visit Areas to be Examined (Exhibit 5-2) include:
 - i. Resources and Reporting
 - ii. Vehicle Maintenance
 - iii. Facility and Equipment Maintenance
 - iv. Warranty Program
 - c. Conduct other activities and coordinate with the subrecipient staff, as necessary

C. Findings and Corrective Actions

During Metro's reviews of subrecipients, Metro determines whether a subrecipient complies with the grant requirements to which the subrecipient has certified, including: legal, financial and technical capacity; satisfactory continuing control; and maintenance. Furthermore, Metro examines management practices and program implementation.

At the conclusion of the review, Metro may determine and identify deficiencies under the various compliance areas. These deficiencies are also referred to as findings and can range from minor findings that can be easily corrected to significant findings that require a written corrective action plan with ongoing monitoring. Specifically, when significant internal control weaknesses or other issues indicate the need to restrict a subrecipient's access to funding, Metro will notify subrecipients to:

- Temporarily restrict their eligibility for Metro grants,
- Conduct oversight reviews of the subrecipients, and
- Monitor subrecipients' progress in completing corrective actions.

Furthermore, findings may also be used to determine grant awards for future solicitations. It is recommended that subrecipients remain in good standing and address all deficiencies and corrective actions.

Metro Grants Management and Oversight Subrecipient Processes and Procedures Guidebook

Chapter 5: Exhibits

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Subrecipient Maintenance Site Visit Checklist

The Direct Recipient must have an effective mechanism to monitor subrecipients maintenance of FTA-funded vehicles, facilities and/or equipment, which includes a periodic physical site visit to review maintenance records and inspect FTA-funded assets. A Subrecipient Maintenance Site Visit Checklist is to be completed for all subrecipients scheduled for a site visit.

Instructions: Please complete all the questions that pertain to your Subrecipient FTA asset. For Vehicles, please complete questions 1-14, 24-26. For Facilities/Equipment, please complete questions 1-4, 15-26. All the questions shaded in **blue** should be sent to the subrecipient, and all items should be requested, received, and reviewed prior to the site visit. All the questions shaded in **green** should be completed by you (Metro staff or third party agent) prior to the visit after review of subrecipient documents. All parts shaded in **red** will be reviewed on site to test performance.

Date of Site Visit

Name of Subrecipient

Location of Site Visit

Metro Staff (or third party agent) Representative:

Name/Details of FTA Asset(s) being inspected:

Maintenance Checklist

Maintenance Questions	Response	Provide Pre-Site Visit	Provide at Site Visit
RESOURCES AND REPORTING			
1. Describe the resources (organizational structure, staffing levels, experience, etc.) assigned to maintenance of FTA- funded assets. This includes resources of a third party contractor if maintenance is contracted. What technical training have maintenance employees had? Does the agency have certification requirements for maintenance employees or contractors?		X	
2. What maintenance management reporting system is used to track vehicle, equipment, and facility preventive maintenance?		X	
3. What performance reports inform senior management about maintenance activities?		X	
4. Has the subrecipient deferred any vehicle, facility, or equipment maintenance since the last Site Visit?		X	
VEHICLE MAINTENANCE			
5. When was the written maintenance plan for FTA-funded rolling stock last updated? (Please Provide Copy of Maintenance Plan, Maintenance Records, Preventive Maintenance Checklist, and Warranty Information)		X	
6. Does the written maintenance plan for FTA-funded rolling stock include goals and objectives?		X	
7. Are the written maintenance plan and preventive maintenance checklists for FTA-funded rolling stock consistent with the current operating fleet?		X	

8. Are the written maintenance plan and preventive maintenance checklists for FTA-funded rolling stock consistent with manufacturers' minimum maintenance requirements for vehicles under warranty?		X	
9. How does the subrecipient track the manufacturer's recommendations and updates on requirements for FTA-funded rolling stock?		X	
10. How does the maintenance program for FTA-funded rolling stock address on-board security systems (if applicable)?		X	
11. What is the subrecipients schedule for preventive maintenance inspections for FTA-funded rolling stock? Maintenance records and vehicles will be reviewed on site to evaluate performance.		X	X
12. How does the subrecipients vehicle maintenance program address maintenance procedures for wheelchair lifts and other accessibility features? Wheelchair lifts and other accessibility features will be reviewed on site to test performance.		X	X
13. Do vehicle maintenance records indicate regular and periodic maintenance checks for wheelchair lifts and ramps?		X	
14. Do vehicle maintenance records indicate that other accessibility features (e.g., kneelers, public address systems, voice announcement systems, etc.) are maintained in operational condition?		X	
FACILITY AND EQUIPMENT MAINTENANCE			
15. When was the written maintenance plan for FTA-funded facilities and facility-related equipment last updated? (Please Provide Copy of Maintenance Plan, Maintenance Records, Preventive Maintenance Checklist, and Manufacture Warranty Information)		X	

16. Does the program for FTA-funded facilities and facility-related equipment include inspections and preventive maintenance activities to ensure that assets are protected from deterioration and reach their maximum useful life?		X	
17. Is the written maintenance plan for FTA-funded facilities and facility-related equipment consistent with manufacturers' minimum maintenance requirements for equipment under warranty?		X	
18. Does the program for FTA-funded facilities and facility-related equipment define 'mission critical' items?		X	
19. Does the program for FTA-funded facilities and facility-related equipment address facility security equipment?		X	
20. Where does the subrecipient maintain records of the maintenance history of FTA-funded facilities and equipment?		X	
21. How long are the records for FTA-funded facilities and facility-related equipment kept?		X	
22. What is the subrecipients schedule for preventive maintenance inspections of FTA-funded facilities and facility-related equipment? Maintenance records and facility/equipment will be reviewed on site to evaluate performance.		X	X
23. How does the subrecipient ensure that facility accessibility features are maintained in operational condition? Facility accessibility features will be reviewed on site to evaluate performance.		X	X
WARRANTY PROGRAM			
24. What is the subrecipients system for tracking warranty issues and recovering warranty claims for FTA-funded assets?		X	

25. Are claims for FTA-funded assets pursued satisfactorily?		X	
26. Identify any FTA-funded assets under warranty.		X	
FOLLOW-UP ACTION			
Required:			
Recommended:			
Other Comments:			

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Subrecipient Maintenance Site Visit Areas to be Examined

The on-site visits will be conducted and maintenance activities monitored by Metro staff, or a third party agent of Metro. Areas to be examined include:

1. Resources and Reporting

Staff Resources

The way in which the agency's maintenance function is organized and staffed, along with the experience of maintenance staff should be commensurate with the size and complexity of the agencies transit program. The type, frequency, and method of training provided to staff regarding FTA requirements and industry best practices are important indicators of the subrecipients technical competency in the management of FTA assets.

- **Review organizational charts, position descriptions, training programs/information, and certification requirements provided by the subrecipient. If maintenance is contracted to a third party, these questions should be addressed to the maintenance contractor.**

Reports for Senior Management

As appropriate for the size and functionality of the entity, subrecipient senior management should be well informed on matters pertaining to preventive maintenance of all FTA-funded assets. The presence of regularly recurring reports with specific performance measures tied to the subrecipient's written maintenance plans, including manufacturer's recommendations, and other actionable management data, indicates that senior management is monitoring maintenance activities.

- **Obtain samples of preventive maintenance reports provided to management for all FTA-funded assets. Review recurring preventive maintenance management reports for FTA-funded rolling stock, facilities, and facility-related equipment, including how often they are generated and who receives them.**

Maintenance Budgets

The funds that a subrecipient budgets for maintenance activities should be commensurate with the composition of assets being managed, including the average age of those assets. Note that cuts in a maintenance budget could indicate that preventive maintenance activities are being deferred.

- **Review the subrecipients annual maintenance budgets for vehicles, facilities, and equipment for each year since the last Comprehensive Review. Compare budgeted-to-actual expenditures for the review period.**

2. Vehicle Maintenance

Maintenance Plan

Subrecipients of FTA funds must have in its files a maintenance plan. The maintenance plan should identify the goals and objectives of a maintenance program, which may include, for example, vehicle life, frequency of road calls, and maintenance costs compared to total operating costs. The maintenance plan should establish the means by which the subrecipient will meet such goals and objectives. These plans should describe a system of periodic inspections and preventive maintenance to be performed at certain defined intervals. Plans should be updated with the purchase of new rolling stock to account for new technology and/or new manufacturer's recommended maintenance intervals

and programs, and incorporate actions to maintain each vehicle type and model on a specific cycle. These actions should be designed to ensure proper care and maximize vehicle longevity.

Warranty

For vehicles under warranty, the subrecipient typically must perform a series of preventive maintenance actions if the warranty is to remain valid. If the subrecipient either does not perform these required maintenance routines, or performs them at greater intervals than the manufacturer's maximum intervals, the subrecipient runs the risk of invalidating vehicle warranty provisions. Some operators have relied on oil analysis to extend the interval between oil changes beyond the engine manufacturer's recommended interval. This is acceptable provided the subrecipient has a letter from the manufacturer of the vehicles' engines stating that this practice will not void the engine warranty. FTA-funded vehicles that are not under warranty must still be maintained in accordance with the manufacturer's recommendations.

- **As part of scoping review activities, examine the subrecipient's vehicle maintenance plan(s) and/or program(s), and maintenance checklists. While on site, review the recommended maintenance procedures and updates of the manufacturer. When performing a review of a bus system, compare the interval for the change of engine oil and filters in the subrecipient's maintenance plan and checklists with the maximum interval specified in the engine manufacturer's maintenance manual.**

Preventive Maintenance Inspections

Actual maintenance practices should be consistent with the written plan. If the subrecipient performs preventive maintenance inspections as planned, the subrecipient's entire maintenance program may be effective. If preventive maintenance inspections are not scheduled or performed as planned, it is probable that other aspects of the maintenance program are lacking as well and the subrecipient is putting FTA's investment and its warranties at risk. A sound preventive maintenance program will reduce the incidence of unscheduled repairs and extend the vehicles' useful life.

- **Review the vehicle maintenance plan(s) for the interval (miles or operated hours) between preventive maintenance inspections. Check preventive maintenance inspection intervals by reviewing management reports used by the subrecipient for monitoring preventive maintenance inspections and by reviewing records for a selected sample of FTA-funded vehicles. Determine the maintenance interval for each mode operated. In some cases, intervals also may vary by sub fleet. Examine preventive maintenance records (manual or electronic) to determine whether the subrecipient is performing inspections according to its maintenance plan.**
- **For each vehicle chosen, examine the preventive maintenance history for the preceding 12 months. Most subrecipients schedule preventive maintenance inspections based on relative miles (e.g., 6,000 miles since the last inspection) or hours of service. Others schedule based on absolute miles or hours. Subrecipients may choose either method. Focus on whether the inspections are conducted when due. Note the date when each inspection was accomplished and record the vehicle mileage (or hours) at the time of each inspection. Inspections that are no later than 10 percent of schedule are considered on time.**

ADA Accessibility Features

The U.S. Department of Transportation (US DOT) ADA regulations require all vehicle accessibility features, such as wheelchair lifts, ramps, securement devices, signs, and communication equipment for persons with disabilities, be maintained and operational. The accessibility features must be repaired promptly if they are damaged or out of order. When ADA equipment is not working, the

subrecipient must take reasonable steps to accommodate persons with disabilities who would otherwise use it. The ADA maintenance elements may be incorporated into the regular maintenance plan or addressed separately with specific checklists. At a minimum, the subrecipient must show that accessibility features are checked regularly for proper operation and receive periodic maintenance.

- **Review the subrecipient’s vehicle maintenance program/plan(s) and maintenance checklists for ADA equipment. When sampling vehicle maintenance records, ensure that accessibility features are maintained regularly and repaired promptly if out of order. Interview personnel responsible for the subrecipient’s vehicle maintenance activities. Review the entire fleet, not just FTA-funded vehicles.**

3. Facility and Equipment Maintenance

Maintenance Program

Public transit requires a considerable investment in buildings, equipment, and machinery. As with vehicle maintenance, the proper maintenance of facilities, machinery, and equipment is key to protecting the FTA investment and prolonging the useful life of the asset. The facility/equipment maintenance program should identify specific mission critical and safety items. Subrecipients are required to have a current written maintenance program for FTA-funded facilities and facility-related equipment. A model program for FTA- funded facilities would include:

- **An organization and assignment of responsibility for facility and equipment maintenance**
- **A series of inspections and routine maintenance actions designed to ensure proper care and maximize useful service life of facilities and equipment**
- **A record-keeping system that maintains adequate permanent records of maintenance and inspection activity for buildings and equipment**
- **The facility/equipment maintenance program should describe a system of periodic inspections and preventive maintenance to be performed at certain defined intervals. Maintenance intervals might be measured in terms of time (daily, monthly, or annually) or in terms of use (hours). Such a system may be part of a subrecipients city public works maintenance plan only if the plan identifies the specific FTA asset(s), i.e., buildings, elevators, escalators, parking lots, fueling stations, bus shelters, transit benches, concrete trash cans, kiosks, vehicle maintenance lifts, etc.**
- **Check preventive maintenance inspection intervals by reviewing management reports used by the subrecipient for monitoring preventive maintenance inspections and by reviewing a sample of facility and equipment maintenance records. For each item in the sample, examine the facility/equipment maintenance history for the preceding 12 months. Note the date when each inspection was accomplished and record the interval from the previous inspection. Compare the interval with the subrecipient’s definition of an “on-time” inspection to determine if the inspection was in accordance with the subrecipient’s facility and equipment maintenance plan.**

ADA Accessibility Features

The US DOT ADA regulations require all facility accessibility features, such as elevators in the subrecipients facilities, be maintained and operational. The accessibility features must be promptly repaired if they are damaged or out of order. When the equipment is not working, the subrecipient must take reasonable steps to accommodate persons with disabilities who would otherwise use it. The ADA maintenance elements may be incorporated into the regular maintenance program or addressed separately with specific checklists. At a minimum, the subrecipient must show that accessibility features are checked regularly for proper operation and receive periodic maintenance.

- **Review the subrecipient’s maintenance program and the maintenance checklists. When sampling facility maintenance records, ensure that accessibility features are maintained regularly and repaired promptly if out of order. Interview the person responsible for facility maintenance activities.**

4. Warranty Program

If the subrecipient has equipment under warranty, FTA requires that the subrecipient have a system for identifying warranty claims, recording claims, and enforcing claims against the manufacturers. An aggressive warranty recovery program ensures that the cost of defects is borne properly by the equipment manufacturer and not the grantee and FTA. There should be clear procedures to identify warranty repairs, record the warranty claim, submit the claim to the manufacturer, and follow up on unpaid claims.

- **Identify the vehicles and equipment under warranty. Ask the subrecipient to explain how the preventive maintenance program meets or exceeds the manufacturer’s recommended program. Ask the subrecipient for a copy of its warranty recovery program, or if the program is not in writing, to describe the warranty recovery system. Review the records and files for the program to learn whether the subrecipient has pursued and collected warranty claims. Compare the records of claims submitted with claims settled.**