

Instructions for Completing the Annual Self-Certification Process

To ensure compliance with applicable Federal Transit Administration (FTA) regulations, Metro requires subrecipients of its Pass-through Grant Program to submit an annual Self-Certification Questionnaire. The reporting year runs from July 1st through June 30th. Additionally, subrecipients with grant-funded assets must update specific information for each asset.

The Self-Certification process consists of three parts:

1. Updating FTA-Funded Assets
2. Completing the Questionnaire
3. Uploading the signed signature page and lobbying form

Required Documents

Before beginning the process, ensure you have the following documents ready for upload:

- **Title VI Compliance Documentation:** A letter of compliance from Metro, an email confirming Metro's receipt of your agency's Title VI Plan, or a notice of concurrence from the FTA (for direct recipients).
- **New- Equal Employment Opportunity (EEO) Statement of Policy Signed by the head of the agency (e.g. CEO/GM):** Required for agencies with 50 or more transit-related employees who received a federal award(s) exceeding \$1M in the previous fiscal year.
- **New-EEO Program Details:** Required for agencies with 100 or more transit-related employees who received a federal award(s) exceeding \$1M in the previous fiscal year.
- **ADA-Related Complaints:** List any complaints, including the date filed, summary of allegations, status, and actions taken by your agency (if applicable).
- **Legal Matters:** List any disputes, breaches, defaults, litigation, or instances where the Federal government was named as a party, and/or FTA-funded assets could be affected (if applicable).
- **Annual Financial Statements:** For the reporting period (if available).
- **Single Audit:** For the reporting period (if applicable and available).
- **Fare Policy:** If applicable.

At the end of the questionnaire, all agencies must upload the following

- **Lobbying Form:** Signed by an Authorized Executive.
- **Signature Page:** Signed by an Authorized Executive.

Instructions for Completing the Annual Self-Certification Process

Getting Started

Once logged into the Subrecipient Portal, select “Start Current Self-Certification.” Depending on whether your agency has FTA-funded assets, you will either be directed to the Asset Update screen or the Certify screen. If your agency has no FTA-funded assets, you will certify this by checking a box and proceeding to the questionnaire.

If your agency has no FTA-funded assets, skip ahead to "2. Completing the Questionnaire."

1. Updating Assets

If your agency has FTA-funded assets, you will be directed to the Asset Update screen. You will see an icon for each asset type currently active for your agency (e.g., rolling stock, equipment, facilities, shelters). Select each icon to view and edit the required fields for every asset. Continue updating until all assets are current.

Once updates are completed, you must certify that the information is accurate and up to date. After certifying, proceed to the Self-Certification Questionnaire.

Information required for asset updates:

- **Rolling stock:**
 - Actual Months in Service –add the “prior year actual months in service” to the number of months during the current reporting year that the vehicle was in operation, up to 12 (e.g., if the prior total is 36 months, and the current reporting period 12 months, enter 48 months)
 - Actual Mileage as of June 30th of the reporting year
 - New (for Rolling Stock) - Condition Assessment Rating
- **Equipment:**
 - Date of the last maintenance plan update
 - Were inspection and preventative maintenance activities completed?
 - Is the maintenance plan consistent with the manufacturer’s minimum requirements?
 - Where are the maintenance records kept?
 - Condition Assessment Rating
- **Facilities:**
 - Is the facility still being used for public transit?
 - Was there any incidental use of the facility?
 - The date that the maintenance plan for the facility was last updated
 - Is the facility subject to inspection and preventative maintenance?
 - Where are the maintenance records kept?
 - Condition Assessment Rating
- **Shelters:**
 - Is the shelter still being used for public transit?
 - Was there any incidental use of the shelter?

Instructions for Completing the Annual Self-Certification Process

- The date that the maintenance plan for the shelter was last updated
- Is the shelter subject to inspection and preventative maintenance?
- Where are the maintenance records kept?
- Condition Assessment Rating

*Condition Assessment Rating Guide:

Rating	Condition	Description
5	Excellent	No visible defects, in new or near new condition, may still be under warranty if applicable.
4	Good	Good condition, but no longer new, may be slightly defective or deteriorated, but is overall functional.
3	Adequate	Moderately deteriorated or defective; but has not exceeded useful life.
2	Marginal	Defective or deteriorated in need of replacement; exceeded useful life.
1	Poor	Critically damaged or in need of immediate repair; well past useful life.

Note: If an asset was taken out of service and/or disposed of during the reporting period, and that information isn't already reflected in the applicable fields, include this information in the Disposition Action box or Comments box. As a reminder, agencies must notify Subrecipient Grants Management if an asset is taken out of service, and written permission must be obtained to dispose of the asset.

2. Completing the Questionnaire

For non-city subrecipients, the certifications apply to the entire organization, not just the department managing the FTA-funded project. For cities, the certification applies to your transit division, but the legal and financial questions apply to the entire city, not just the transit division. Contact us if clarification is needed.

In the **General Certifications** section, you will be asked to upload required documents, such as your agency's Title VI compliance letter, EEO Statement of Policy (if applicable), EEO program details (if applicable), financial statements, and single audit (if applicable). If certain documents are not available, you will be required to provide the expected completion date.

If your agency has no active assets, the questionnaire will conclude after the General Certifications. Agencies with active assets will answer additional questions to confirm ongoing control and usage of assets.

At the end of the questionnaire, we recommend:

- **Download/Print:** Print your responses for review by the Authorized Executive.
- **Download Signature Page and Lobbying Form:** Ensure both are signed by an Authorized Executive after reviewing and approving the responses.

Instructions for Completing the Annual Self-Certification Process

3. Uploading Signed Documents and Submitting for Approval

At the conclusion of the questionnaire, scan and upload the signed Self-Certification Signature Page and Lobbying Form. Once uploaded, check the certification boxes verifying the forms are signed by an Authorized Executive, and submit them for approval.

You will receive a confirmation email once the submission is received. If Metro requires additional information, a grant manager may contact you for clarification.

For assistance, please contact your assigned grant manager.

Regards,

Metro Subrecipient Grants Management

Instructions for Completing the Annual Self-Certification Process

Key Terms and Definitions:

1. **ADA (Americans with Disabilities Act of 1990):** A civil rights law enacted in 1990 that prohibits discrimination against individuals with disabilities in all areas of public life.
2. **ADA Compliance Oversight Program:** A program that ensures organizations receiving federal funds adhere to ADA regulations, particularly regarding accessibility.
3. **Annual Financial Statements:** Financial documents prepared at the end of the fiscal year that summarize the organization's financial status, including income, expenses, assets and liabilities.
4. **Charter Service:** Transportation provided by a recipient at the request of a third party for the exclusive use of a bus or van for a negotiated price. Does not include demand response service to individuals.
5. **Equal Employment Opportunity (EEO):** A principle that ensures individuals have equal chances for employment, free from discrimination based on race, color, religion, sex (including pregnancy, childbirth, or related conditions, gender identity, and sexual orientation), national origin, age (40 or older), disability, or genetic information.
6. **EEO Statement of Policy:** A formal declaration by an organization outlining its commitment to providing equal employment opportunities and the procedures to ensure compliance. The policy is required to be signed by the head of the agency (e.g. CEO/GM) and should be posted in conspicuous locations accessible to employees, applicants, and the general public which could include bulletin boards, near time clocks, in the employee cafeteria, on company websites, and in job postings, ensuring widespread visibility of the agency's commitment to equal employment opportunity.
7. **Fare Structure:** The system or framework established by a transit agency for determining the cost of using its transportation services
8. **Federal Transit Administration (FTA):** An agency within the United States Department of Transportation (DOT) that provides financial and technical assistance to local public transportation systems.
9. **Fixed-route Provider:** A transit service that operates on a set schedule and follows a specific route, with designated stops along the way.
10. **FTA-funded Property/Equipment:** Assets purchased or maintained using funds provided by the Federal Transit Administration.

Instructions for Completing the Annual Self-Certification Process

11. **Group Transit Asset Management (TAM) Plan:** A strategic approach for managing transit assets across a group of transit agencies, ensuring effective asset management. The purpose of the Group Plan option is to reduce the planning and reporting burden on smaller transit agencies from having to develop individual plans and to report to FTA's National Transit Database (NTD) on their own.
12. **Half-fare:** A discounted fare typically offered to specific groups, such as seniors and persons with disabilities. Under 49 U.S.C. Section 5307(d)(1)(D) of the Federal Transit Act, federally subsidized transit providers may not charge more than half of the peak fare for fixed route transit during off-peak hours for seniors, people with disabilities, and Medicare cardholders. This is not an ADA requirement. Rather, this is a general condition placed upon those receiving federal funding for transit from the FTA. The discount does not apply for purposes of determining the fare for ADA complementary paratransit, which, under 49 C.F.R. Section 37.131(c), would be calculated without regard to discounts such as this.
13. **Incidental Use:** Use of federally funded property or equipment for purposes other than those specified in the grant agreement, which may require prior approval from Metro and the FTA.
14. **Lobbying Activities:** Efforts to influence the actions, decisions, or policies of government officials regarding federal funding or other governmental matters.
15. **Maintenance Plan:** Documented maintenance procedures that address how the recipient will maintain Federally assisted property in good operating order and in compliance with any issued applicable Federal regulations and guidance except to the extent that FTA determines otherwise in writing. These plans must describe a system of periodic inspections and preventive maintenance intervals.
16. **Preventative Maintenance:** Regular, scheduled maintenance activities intended to prevent equipment failures and extend the life of assets. Maintenance activities include regular inspections, scheduled services, and documentation.
17. **Rolling Stock:** Vehicles used in public transportation, such as buses and trains. Transit vehicles such as buses, vans, cars, railcars, locomotives, trolley cars, and ferry boats, as well as vehicles used for support services such as for paratransit.
18. **School Bus Service:** Transportation by bus exclusively for school students, personnel and equipment in Type I and Type II school vehicles as defined in Highway Safety Program Standard No. 17.

Instructions for Completing the Annual Self-Certification Process

19. **Single Audit:** In accordance with 2 CFR 200.501(a) and (b), recipients that expend \$750,000 or more in a year in Federal assistance from all sources must have a Single Audit conducted, except when they elect to have a program-specific audit conducted, 2 CFR 200.501(c). Recipients are required to obtain the services of an independent auditor to conduct a Single Audit each year in conformance with 2 CFR Part 200, Subpart F, except if a state constitution or statute provides for a single biennial audit or as permitted by 2 CFR 200.504. The independent auditor is required to determine and report on whether the recipient has internal control systems that reasonably assure that the recipient is managing Federal assistance programs in compliance with applicable laws and regulations.
20. **Title VI:** A section of the Civil Rights Act of 1964 that provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.
21. **Title VI Plan:** A documented strategy and policies outlining how an organization will ensure compliance with Title VI requirements.
22. **Transit Asset Management (TAM):** The strategic and systematic practice of procuring, operating, inspecting, maintaining, rehabilitating, and replacing transit capital assets to manage their performance, risks, and costs over their life cycles, for the purpose of providing safe, cost-effective, and reliable public transportation.
23. **Transit-Related Employees:** An employee of an FTA applicant, recipient, subrecipient, or contractor involved in any aspect of an agency's public transit operation funded by FTA.
24. **Trippler Service:** Regularly scheduled mass transportation service open to the public and designed or modified to accommodate the needs of school students and personnel, using various fare collections or subsidy systems. Buses used in tripper service must be clearly marked as open to the public and may not carry designations such as "school bus" or "school special".
25. **Useful Life:** The minimum acceptable period a capital asset purchased with FTA funds must be used in service prior to being replaced or removed from service. The use of an asset beyond its minimum useful life does not extinguish the Federal interest in the asset or the obligation to use and dispose of property in compliance with Federal requirements.