Instructions for Completing the Annual Self-Certification Process

To ensure compliance with applicable Federal Transit Administration (FTA) regulations, Metro requires that all subrecipients of its Pass-through Grant Program submit a Self-Certification Questionnaire every year. The reporting year is defined as the period July 1st through June 30th. In addition to the questionnaire, all subrecipients with grant-funded assets must update specific information about each grant-funded asset.

The Self-Certification process has three parts:

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

Before starting, you may wish to locate several documents you will be asked to upload during the questionnaire. These include:

- Title VI letter of compliance from Metro, the e-mail from Metro confirming receipt of your agency's Title VI Plan, or the notice of concurrence from the FTA (for direct recipients)
- Annual Financial Statements for the reporting period (if available at this time)
- Single Audit for the reporting period (if applicable)
- Fare policy (if applicable)

At the conclusion of the questionnaire, all agencies are required to upload:

- Lobbying Form signed by an Authorized Executive
- Signature page signed by an Authorized Executive

Getting Started

Once you've logged-in to the Subrecipient Portal, select "Start Current Self-Certification," and you will be directed to either the Asset Update screen, or the Certify screen, depending on whether your agency has FTA-Funded assets. Both screens include these same instructions. For agencies with no FTA-funded assets, you will simply be asked to certify that this is the case. After checking the box, select Next, and you will begin the Self-Certification Questionnaire.

If your agency does not have FTA-funded assets, scroll down to "2. Completing the Questionnaire."

1. **Updating Assets**

If your agency has assets that were acquired with FTA pass-through grant funds, you will be directed to the Asset Update screen. Here you will see an icon for each of the asset types currently active for your agency. Asset types are rolling stock, equipment, facilities, and shelters. After selecting the icon, you will be presented with the list of assets currently operated by or in use by your agency. You will then select "edit" for each line item, complete the required fields for each asset, save, and continue until all the assets are updated.

After you complete the updates, you will need to check a box certifying that you've reviewed and updated each asset and that the information is accurate and current. After checking the box(es), select Next, and you will begin the Self-Certification Questionnaire.

The information that you are asked to provide as a part of your asset update includes:

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

Equipment

- Condition Assessment
- The date that the maintenance plan for the equipment was last updated
- Were inspection and preventative maintenance activities completed?
- Is the maintenance plan consistent with the manufacturer's minimum requirements?
- Where are the maintenance records kept?

Facility

- Condition Assessment
- 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?

Shelters

- Condition Assessment

- Is the shelter still being used for public transit?
- Was there any incidental* use of the shelter?
- 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?

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 for that asset. As a reminder, agencies must notify Grants Management if an asset is taken out of service, and written permission must be obtained to dispose of the asset.

*Incidental use means the limited authorized non-transit use of project property acquired with FTA assistance. Such use must not conflict with the approved purposes of the project and must not interfere with the intended transit uses of the project property.

2.   Completing the Questionnaire

Except for cities, the certifications apply to the entire organization, not just the department that manages the FTA-funded project. However, for cities, the legal and financial questions do apply to the whole city, not just the transit division. Contact us if you have questions about the scope of this certification.

In the General Certifications section, you will be asked to upload a copy of your agency's Title VI compliance letter or e-mail confirmation from Metro (or explain the status of your program development), annual financial statements, and single audit (if applicable). If the financial statements or the single audit are not yet complete, provide the date that you expect them to be available to submit.

If your agency does not have active assets, the questionnaire will end after the General Certifications. If your agency does have active assets, then you will have another series of questions to establish your agency's continuing control over the assets. These are questions about how you manage and use your assets. If your agency has fixed assets (facility, shelters, equipment) and rolling stock, there will be two sets of questions.

When the questionnaire is complete, we suggest:

- Download/Print the questionnaire with your responses using the buttons on the bottom right corner of the page, for your Authorized Executives review.

- Download the Self-Certification Signature Page and Lobbying Form if you haven't already done so, and request they be signed by an Authorized Executive verifying that they have reviewed the responses for completeness and accuracy.

Remember, if you have any assets that have been or will be removed from service, you must notify your grant manager immediately. **No FTA-funded asset(s) may be removed from service or disposed of prior to consulting with and obtaining approval from Metro's Grants Management.**

3. Uploading the Signed Signature Page and Lobbying Form, and Submitting the Self-Certification for Approval

Scan and upload the signed Self-Certification Signature Page and Lobbying Form at the conclusion of the questionnaire. When the uploads are complete, check the certification boxes verifying that the forms are signed by an Authorized Executive, and submit them for approval. You will receive a confirmation e-mail that the package was successfully submitted and is under review by the grant manager.

If Metro requires additional information, a grant manager may contact you directly with questions or requests for clarification, and you may need to return to the portal to make corrections.

If you need assistance, please contact your grant manager directly.

Regards,

Metro Grants Management