Instructions for Completing the Annual Self-Certification Process

To ensure compliance with Federal Transit Administration (FTA) regulations, Metro requires all subrecipients of its Pass-through Grant Program to submit an annual Self-Certification Questionnaire. The reporting year runs from July 1 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).
- **Equal Employment Opportunity (EEO) Statement of Policy Signed by the 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.
- **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.
- **Proof of Active Rolling Stock Insurance and Registration**: Required for all agencies with rolling stock funded, in whole or in part, through Metro's pass-through grant programs that are reported to Metro as part of the current inventory. All insurance documents will need to be uploaded as one PDF file, and all registration documents as a separate, single PDF file.

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.

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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
    - 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?
  - 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, 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.

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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.

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 Assistance and Subregional Grants Management