

FTA REGION IV



NEW GRANTEE HANDBOOK

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New Grantee Handbook

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New Grantee Official Request Letter

To initiate the New Grantee Process, all potential new grantees should send a letter to FTA Region IV outlining their intentions with regard to their FTA funding requests. Each letter should contain the following elements:

1. Identify what types of activities FTA funds will be used to complete.
2. Identify the type of FTA funds the potential new grantee will seek for these activities.
3. Cite the planning basis for the activities being funded [i.e. feasibility study, transit service analysis, long-range transportation plan, state or metropolitan transportation improvement program (STIP/TIP), etc.]
4. Identify a point of contact at the potential new grantee's agency to work with FTA through the review process.

There must be a planning basis for every project or for every group of projects. As such, the official new grantee request letter will outline for FTA Region IV the types of projects the potential new grantee will seek as well as the planning basis for these types of project. Further, FTA requires recipients to include the planning justification in the electronic award management system. Feasibility studies can occur at varying levels of detail as appropriate and proportionate to the complexity of the project or projects in question. For facility-related projects, the letter should also address the status of the project in regards to the National Environmental Policy Act (NEPA).

Planning Guidance Documents and Links

[FTA Office of Planning & Environment/NEPA](#)

[FTA Office Environmental Analysis & Review](#)

[FTA Region IV Environment/NEPA Resources](#)

Regional Expert

Varies by Geographic Area

See [Region 4 Organization Chart](#) for FTA Region IV for the Planner and Program Manager assigned to your area.

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Capacity/Requirements Review

Demonstrate Legal Capacity

Before FTA may award a grant, FTA must make a finding that the grant applicant has or will have the legal capacity to carry out the project. In making this finding, FTA generally relies on the grant applicant's certification that it has or will have the legal capacity to carry out the project.

Specifically, the grant applicant must be eligible and authorized under State or local law to request, receive, and spend FTA funds to administer FTA-assisted projects. Officials acting on behalf of the applicant must have appropriate authority designated by State or local law or by the governing body of the applicant. FTA requires first-time applicants to submit an Opinion of Counsel and Authorizing Resolution as described below. FTA also retains the discretion to require any recipient to submit a legal opinion and other supporting documentation throughout the period of FTA funding assistance.

(a) Opinion of Counsel

An Opinion of Counsel identifies the legal authority of the grant applicant, citing, for example, State and local statutes, and states whether any significant legislation or litigation is pending that may affect the legal status of the applicant. It is not uncommon for legislation or litigation to be pending; its significance in terms of legal capacity and in terms of ability to complete the project determines whether or not it should be noted in the Opinion of Counsel. A sample format of an Opinion of Counsel is provided in Appendix A of this handbook. While the first Opinion of Counsel sets forth the basis that gives the grant applicant the authority to apply for FTA funding, the recipient will certify its authority to apply for subsequent grants in the annual certification process. That affirmation appears on FTA's website on the [Annual Certifications & Assurances](#) page, which lists the current year Certifications and Assurances.

FTA expects the recipient to notify FTA of any change in local law, litigation, conditions, or any other event that may significantly affect the recipient's ability to carry out the project. Any significant change in status will require a new Opinion of Counsel.

(b) Authorizing Resolution

The authority of those officials acting on behalf of a public body grant applicant generally must be demonstrated by a resolution from the governing body of the grant applicant, a statute, or an ordinance showing the grant applicant has authority to file an official grant application, showing who has the authority to act on behalf of the applicant, and supporting the application. A certified copy of the Authorizing Resolution is required for all FTA recipients. A sample format of an Authorizing Resolution is provided in Appendix A of this handbook. The

Authorizing Resolution only has to be submitted prior to the grant applicant's first application. For subsequent grant applications, FTA will rely on the annual certifications and assurances.

Potential new grantees should also be familiar with the FTA Master Agreement and Annual Certifications and Assurances.

(a) *FTA Master Agreement*

The FTA Master Agreement is the FTA official document containing FTA and other cross-cutting Federal requirements applicable to the FTA recipient and its project(s). The Master Agreement is generally revised annually in October. The Master Agreement is incorporated by reference and made part of each FTA grant, cooperative agreement, and amendment thereto. The current Master Agreement is included in Appendix A-1.

(b) *Annual Certifications and Assurances*

Before FTA may award Federal funding, the applicant must provide to FTA all certifications and assurances required by Federal laws and regulations. Near the beginning of each Federal fiscal year, FTA publishes the certifications in the *Federal Register*, highlighting any changes or additions from the previous year. FTA sometimes publishes the certifications and assurances on the same date the formula apportionments are published. The current Certifications and Assurances can be found in Appendix A. The authorized representative of the recipient and the recipient's attorney must make the requisite certifications by attesting to the certifications and assurances electronically with a personal identification number (PIN) in the electronic award management system. New grantees will be required to complete this PIN process immediately upon receiving access to the electronic award management system.

FTA Legal Capacity Guidance Documents and Links

[Annual Certifications & Assurances](#)

Example Opinion of Counsel (Appendix A)

Example Authorizing Resolution (Appendix A)

FTA Master Agreement (Appendix A-1)

Regional Expert

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Summary of Required Submittals

1. Opinion of Counsel

2. Authorizing Resolution

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Demonstrate Financial Capacity

A potential new grantee for FTA funds must be able to match and manage those funds, to cover cost overruns, to cover operating deficits through long-term stable and reliable sources of revenue, and to maintain and operate federally funded facilities and equipment. Financial capacity and proposed project financing must be made evident. The source of local share must be identified and assurances must be provided that adequate local funds will be available at the time Federal funds are drawn down. Financial capacity is also reviewed by FTA's Financial Management Oversight contractors as deemed necessary.

[FTA Circular 7008.1](#), "Financial Capacity Policy," defines the basis upon which FTA will make determinations of a grant applicant's financial capacity to receive a Section 5307 grant. The circular refers to two aspects of financial capacity: general financial condition of the transit operator and financial capability.

- (a) The general financial condition includes historical trends and current experience in financial factors affecting the ability of the grant applicant to operate and maintain the transit system at present levels of service. The information supporting an assessment of financial condition is usually available in audited annual financial statements and other financial reports which address working capital levels, cash balances, capital reserves, the presence and status of depreciation accounts, long-term debt levels, trends in transit costs compared to available revenues, and trends in relevant economic indicators.

As part of this aspect, FTA Region IV requires the submittal of the following documentation:

1. FTA Region IV Financial Capacity Questionnaire

This questionnaire provides FTA Region IV a current and past snapshot of the potential new grantee's financial standing. An example is provided in Appendix B.

2. Current Year Operating and Capital Budgets

3. Two Most Recent Years of Single Audit Reports.

The Single Audit Act, as amended (31 U.S.C. 7501 *et seq.*), implemented by Title 2 U.S. Code of Federal Regulations Part 200, requires recipients of Federal awards resulting in expenditures of \$750,000 or more to have independent audits conducted annually. FTA Region IV will review the results of these independent audits for potential material weaknesses in the potential new grantees financial systems.

4. Desk Procedures for the following:

- a. DESK PROCEDURES FOR GRANTS FINANCIAL MANAGEMENT
- b. DESK PROCEDURES FOR CASH MANAGEMENT
- c. DESK PROCEDURES FOR BUDGET
- d. DESK PROCEDURES FOR ACCOUNTS PAYABLE
- e. DESK PROCEDURES FOR PAYROLL PROCESSING; AND
- f. DESK PROCEDURES FOR PERIOD-END PROCEDURES
- g. DESK PROCEDURES FOR PREVENTIVE MAINTENANCE
- h. DESK PROCEDURES FOR PROJECT MANAGEMENT
- i. DESK PROCEDURES FOR MAINTAINING AN INFRASTRUCTURE FOR THE DEVELOPMENT OF COST ALLOCATION PLANS (CAPS)
- j. DESK PROCEDURES FOR PROCUREMENT
- k. DESK PROCEDURES FOR ACCOUNTING FOR FUEL UTILIZATION
- l. DESK PROCEDURES FOR ACCOUNTING OPERATIONS AND FINANCE OPERATIONS
- m. DESK PROCEDURES FOR ACCOUNTING FIXED ASSETS

- (b) Financial capability addresses the sufficiency, stability, and reliability of the grant applicant's revenue sources to meet future operating deficits and to meet future annual capital and operating costs. Financial capability considers the nature of funds pledged to support operating deficits and capital programs, and changes in forecast in fare and nonfare revenues. To ensure the potential new grantee has the financial capability necessary to manage their FTA program a financial plan must be developed and submitted to FTA Region IV for Review.

1. 3-5 Year Financial Plan

Multi-year financial plans should indicate adequate revenues to maintain and operate the existing systems and to complete programs of projects. Revenue sources must be stable and reliable enough to meet future capital and operating costs. Any sign of major decreases in service levels or operations must be explained. Guidance for the development of these plans can be found in Appendix B

FTA Financial Capacity Guidance Documents and Links

[Best Practices Procurement Manual](#)

Financial Capacity Documents (Appendix B)

Financial Capacity Questionnaire (Appendix B-1)

[FTA Circular - Award Management Requirements](#)

[FTA Circular - Financial Capacity Policy](#)
[FTA State Management Oversight & Review](#)
[FTA Triennial Review Workbook](#)

Regional Expert

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Summary of Required Submittals:

1. Financial Capacity Questionnaire
2. Current Year Operating and Capital Budgets
3. Two Years of Single Reports
4. 3-5 Year Financial Plan
5. Desk Procedures in 13 Areas

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Demonstrate Technical Capacity

Technical capacity involves the capability of the grant applicant to properly carry out and manage Federal grants. A first-time grant applicant must demonstrate that it can carry out the project described in the grant application in accordance with the requirements of the grant agreement, and with all applicable laws and regulations, using sound management practices. Thus, a certification that the recipient will comply with all requirements applicable to its grant application and to the grant agreement, when awarded, is required. Guidelines for management practices can be found in [FTA Circular 5010.1E](#), “Award Management Requirements.” In order to review and confirm the potential new grantee has the requisite technical capacity to manage FTA-funded projects, the following documentation should be submitted:

(a) FTA Region IV Technical Capacity Questionnaire

This questionnaire provides FTA Region IV an overview the current type of service being provided, as well as the policies and procedures the potential new grantee has in place to ensure its ability to comply with FTA award management requirements. An example is provided in Appendix C.

NOTE: Adequately answering some of the questions may necessitate the submittal of additional support documentation. These materials will be required in order to begin the FTA Region IV Regional Review Process.

(b) Potential New Grantee Organizational Chart

The organizational chart should illustrate which positions and offices will carry out grant-related activities such as procurements, reporting, equipment maintenance, and operations. If this information cannot be discerned from the generic organizational chart, the chart should be accompanied by a narrative explaining how these various activities will be handled.

Potential new grantees should also be familiar with the Triennial Review Workbook, updated annual by FTA.

(a) FTA Triennial Review Workbook

The Triennial Review is the process by which FTA is required to review and evaluate completely every three years the performance of a recipient of Urbanized Area Formula (Section 5307) Program funds and how it meets statutory and administrative requirements, especially those requirements included in the Annual Certifications and Assurances. In addition to evaluating compliance with Federal law, the review gives FTA an opportunity to provide technical assistance on the latest FTA requirements. Triennial reviews also aid FTA in reporting to the Secretary, Congress, other oversight agencies, and the public transportation community on the Urbanized Area Formula Program.

While the potential new grantee might not be subject to these reviews, depending upon the type of funding is being requested, the workbook provides a strong assessment and abundant guidance on FTA requirements for any grantee.

FTA Technical Capacity Guidance Documents and Links

[Best Practices Procurement Manual](#)

[FTA Circular - Award Management Requirements](#)

[FTA Circular - Third Party Contracting Guidance](#)

[FTA State Management Oversight & Review](#)

[FTA Triennial Review Workbook](#)

Technical Capacity Questionnaire - (Appendix C)

Regional Expert

Varies by Geographic Area

See [Region 4 Organization Chart](#) for FTA Region IV for the Engineer/Program Manager assigned to your area.

Summary of Required Submittals:

1. Technical Capacity Questionnaire
2. Technical Capacity Questionnaire Supporting Documentation
3. Organizational Chart
4. Procurement Procedures

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Comply with Civil Rights

Potential new grantees must agree to comply with all applicable civil rights statutes and implementing regulations as a condition of receiving any FTA funding, regardless of type.

The three major Civil Rights Programs that require a submittal to FTA as part of the New Grantee Process are:

1. **Title VI Plan**
2. **Equal Employment Opportunity (EEO) Plan**
3. **Disadvantaged Business Enterprise (DBE) Plan and Triennial Goals**

Two other Civil Rights areas should also be reviewed and considered as part of the New Grantee Process:

4. **American with Disabilities Act (ADA)**
5. **Environmental Justice**

While these areas do not require specific submittals for the purposes of the Regional Capacity/Requirements Review, all FTA grantees are subject to their requirements.

FTA Civil Rights Guidance Documents and Links

[FTA Title VI Website](#)

[FTA EEO Website](#)

[Title VI Circular](#)

[EEO Circular](#)

Title VI Program Checklist - (Appendix D)
(Note: This is also Appendix A of C 4702.1B)

EEO Program Checklist - (Appendix E)

[FTA Transit Vehicle Manufacturing \(TVM\) Listing](#)

[FTA DBE Website](#)

[FTA EEO Guidance](#)

DBE Program Checklist - (Appendix F)

[USDOT Office of Small and Disadvantaged Business Utilization](#)

[Environmental Justice Circular](#)

Regional Expert

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Summary of Required Submittals:

1. Title VI Plan and Required Elements
2. EEO Plan (or Questionnaire to justify exemption)
3. DBE Plan (or Exemption justification letter)

1. Title VI of the Civil Rights Act of 1964

Section 601 of Title VI of the Civil Rights Act of 1964 states the following:

No person in the United States shall, on the ground 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.

The Civil Rights Restoration Act of 1987 clarified the broad, institution-wide application of Title VI. Title VI covers all of the operations of covered entities without regard to whether specific portions of the covered program or activity are federally funded. The term “program or activity” means all of the operations of a department, agency, special purpose district, or government; or the entity of such State or local government that distributes such assistance and each such department or agency to which the assistance is extended, in the case of assistance to a State or local government.

Potential New Grantees must submit a Title VI Program that is compliant with reference [FTA Circular 4702.1B](#): “Title VI Requirements and Guidelines for FTA Recipients”, and submit an assurance that it will comply with Title VI.

All potential new grantees are required to submit a Title VI plan with the following elements:

1. Title VI Notice to the Public, including a list of locations where the notice is posted
2. Title VI Complaint Procedures (i.e., instructions to the public regarding how to file a Title VI discrimination complaint)
3. Title VI Complaint Form
4. List of transit-related Title VI investigations, complaints, and lawsuits
5. 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
6. Language Assistance Plan for providing language assistance to persons with limited English proficiency (LEP), based on the DOT LEP Guidance. Additional guidance on LEP can be found in the LEP Handbook provided in Appendix D.
7. 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
8. Primary recipients shall include a description of how the agency monitors its subrecipients for compliance with Title VI, and a schedule of subrecipient Title VI Program submissions
9. A Title VI equity analysis if the recipient has constructed a facility, such as a vehicle storage facility, maintenance facility, operation center, etc.
10. 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.

Further information is also required depending on the type of potential new grantee and the service they will provide. Refer to chapters IV, V, and VI of the Title VI Circular for additional submittal requirements. A checklist of the Title VI Plan requirements is also available in Appendix D.

In addition, consistent with 28 CFR § 50.3, entities applying for FTA funding for the first time must provide a summary of any past Title VI compliance activities stemming from the receipt of funding from any other Federal agencies.

(a) *Summary of Title VI Compliance History*

Specifically, this summary should include any Title VI compliance review activities conducted in the previous three years, including the purpose or reason for the review, the name of the agency or organization that performed the review, a summary of the findings and recommendations of the review, and a report on the status and/or disposition of such findings and recommendations. In addition, first-time applicants shall submit a brief description of any pending applications to other Federal agencies for assistance, and whether any Federal agency has found the applicant to be in noncompliance with any civil rights requirement.

2. Equal Employment Opportunity (EEO)

The Federal Transit Laws, 49 U.S.C. 5332(b), provide that "no person in the United States shall on the grounds of race, color, religion, national origin, sex, or age be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any project, program or activity funded in whole or in part through financial assistance under this Act." This applies to employment and business opportunities and is considered to be in addition to the provisions of Title VI of the Civil Rights Act of 1964.

To achieve the Equal Employment Opportunity described in the Federal Transit Laws, FTA requires all recipients of FTA funding, which meet certain thresholds, to develop and submit for approval an EEO Plan every three years. Those thresholds are:

1. Fifty (50) or more transit-related employees AND
2. Receives capital or operating assistance in excess of \$1 million, OR planning assistance in excess of \$250,000.

In order to assist potential new grantees in determining if they meet these thresholds, each potential new grantee should complete the EEO Questionnaire found in Appendix E.

The purpose of the EEO plans is to establish a strong company policy and commitment to equal employment opportunity. Within these plans, top officials should be assigned responsibility and authority for the program. In addition, the plan should analyze the present workforce to identify jobs and departments where minorities and females are underrepresented. From there the plan should outline a detailed, results-oriented set of procedures designed to achieve prompt and full utilization of minorities and women at all levels and in all parts of the grantees' workforce.

Each EEO Plan should have the following components:

1. Statement of Policy
2. Dissemination
3. Designation of Personnel Responsibility
4. Utilization Analysis
5. Goals and Timetables
6. Assessment of Employment Practices
7. Monitoring and Reporting

An EEO Program Checklist is provided in Appendix E for reference in the development of these plans.

3. Disadvantaged Business Enterprise (DBE) Plan and Triennial Goal

All FTA Grantees must comply with DOT regulation, “Participation by Disadvantaged Business Enterprises in Department of Transportation Financial Assistance Programs,” 49 CFR part 26. Among other provisions, this regulation requires certain recipients of DOT Federal financial assistance, namely State and local transportation agencies, to establish goals for the participation of disadvantaged entrepreneurs and certify the eligibility of DBE firms to participate in their DOT-assisted contracts.

There are two main components of an FTA-approved DBE Program:

(a) Written DBE Program

Written DBE programs are required of FTA recipients of planning, capital, and/or operating assistance that will have contracting opportunities (excluding transit vehicle purchases) exceeding \$250,000 with those funds in a Federal fiscal year. Contracting opportunities are counted in the aggregate, and include FTA funded purchase orders, capital projects, professional services, Transportation Infrastructure Finance and Innovation Act (TIFIA) loan funded projects, and contracting activities of subrecipients.

The DBE program plan is not an annual submission and grantees do not submit regular updates of their DBE programs. However, significant changes to the programs must be submitted for approval. Grantees (particularly new grantees) that do not meet the threshold are not required to develop a written DBE program.

(b) Triennial DBE Goals

Overall three-year goals must be submitted to FTA for review by August 1 preceding the Federal fiscal year in which the goal submission is due. The submittal must include a description of the methodology used to establish the goal and other items detailed in 49 CFR 26.45.

These goals must be based on demonstrable evidence of the availability of ready, willing, and able DBEs relative to all businesses ready, willing, and able to participate on FTA-assisted contracts. The goal must reflect the grantee’s determination of the level of DBE participation the grantee would expect absent the effects of discrimination. Grantees cannot rely on either the 10 percent aspirational goal at the national level, or the previous goal, or past DBE participation rates without reference to the relative availability of DBEs in the market.

As required by 49 CFR part 26 and approved by DOT, the recipient’s DBE Program is incorporated by reference and made part of the Grant Agreement or Cooperative Agreement. The recipient agrees that implementation of this DBE Program is a legal obligation, and that

failure to carry out its terms shall be treated as a violation of the Grant Agreement or Cooperative Agreement.

It is also important to note that FTA recipients that meet the DBE thresholds are also required to submit Semi-Annual DBE Reports. These reports are to be filed in our electronic award management system on June and December 1 of each year.

Regardless of whether a DBE program and goal submittal is required for a potential new grantee, for FTA-assisted transit vehicle procurements, all FTA recipients must ensure that each transit vehicle manufacturer (TVM) certifies that it has complied with the USDOT DBE requirements. This can be achieved by checking the [TVM listing](#) on FTA's website or by checking with FTA's Office of Civil Rights at the time of bid-opening that the manufacturer, which is the apparent contract recipient, is in fact in compliance.

4. Americans with Disabilities Act of 1990 (ADA)

Titles II and III of the Americans with Disabilities Act of 1990 (ADA) provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility and the provision of service, including complementary paratransit service.

Recipients must ensure that each transit vehicle meets the accessibility requirements for that vehicle type specified in 49 CFR Part 38, as incorporated by 49 CFR 37.7 and implemented under Subpart D to 49 CFR Part 37. Where a vehicle or component departs from the particular technical and scoping requirements of 49 CFR Part 38, as described in 49 CFR 38.2, the recipient must obtain a determination of equivalent facilitation from the FTA Administrator as described in 49 CFR 37.7(b), subject to the provisions found in 37.7(b)(2)-(6). Where a specific vehicle type is not addressed by 49 CFR Part 38, accessibility requirements must be determined by the US Department of Transportation in consultation with the US Architectural and Transportation Barriers Compliance Board (Access Board) as specified in 49 CFR 38.171(c).

Recipients must ensure that transit facilities meets the accessibility requirements specified in 49 CFR Part 38, as incorporated by 49 CFR 37.7 and implemented under Subpart C to 49 CFR Part 37. Where any departures from the specific requirements are contemplated, as permitted under 36 CFR part 1191, the recipient must obtain a determination of equivalent facilitation from the FTA Administrator as described in 49 CFR 37.9(d), subject to the provisions found in 37.7(d)(2)-(6).

Potential New Grantees must also agree to comply, and assures the compliance of each third party contractor and each subrecipient at any tier of the project, with Section 504 of the Rehabilitation Act of 1973 (Section 504), as amended (29 U.S.C. 794), which prohibits discrimination on the basis of disability by recipients of Federal financial assistance.

While no specific submittal is required during the New Grantee Process, these requirements are incorporated into the FTA Master Agreement and Annual Certifications and Assurances. Failure to adhere to these requirements could result in FTA funding restrictions or repayments.

5. *Environmental Justice*

Executive Order 12898, “Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations,” required the USDOT and the FTA to make environmental justice (EJ) part of our mission by identifying and addressing, as appropriate, disproportionately high and adverse human health or environmental effects of our programs, policies, and activities on minority populations and/or low-income populations (collectively “EJ populations”). Environmental justice at FTA includes planning and decision-making processes as well as project-specific environmental reviews.

FTA grantees and subgrantees are required to consider the EJ guiding principles followed by DOT and FTA:

- To avoid, minimize, or mitigate disproportionately high and adverse human health and environmental effects, including social and economic effects, on minority populations and low-income populations.
- To ensure the full and fair participation by all potentially affected communities in the transportation decision-making process.
- To prevent the denial of, reduction in, or a significantly delay in the receipt of benefits by minority and low-income populations.

While no specific submittal is required during the New Grantee Process, these requirements are incorporated into the FTA Master Agreement and Annual Certifications and Assurances. Failure to adhere to these requirements could result in FTA funding restrictions or repayments.

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New Grantee Review Process

Once all materials discussed in the preceding sections have been compiled/developed they should be submitted via email or mail to the FTA Region IV New Grantee Coordinator:

Federicka Tolen
230 Peachtree Street, NW, Suite 1400
Atlanta, GA 30303-1512
Phone: 404-865-5613
E-mail: fredaricka.tolen@dot.gov

The Region IV New Grantee Coordinator can be contacted for any process or general New Grantee questions. A Regional Expert has been identified in each of the preceding sections for any questions relating to the development of those materials.

The Regional Review process will begin once all documentation has been received by the FTA Region IV New Grantee Coordinator (Please see the New Grantee Checklist below that summarizes the required submittals for all sections). Upon receipt of all documentation, the New Grantee Coordinator will initiate a 30 day review period for the Regional Experts to review the submitted documentation and provide concurrence to the New Grantee Coordinator that the potential new grantee has demonstrated appropriate capacity and compliance with FTA requirements.

A sample timeline for the New Grantee Process is below. Potential New Grantees should expect questions/comments from Regional Experts as they review the submitted documentation. Depending on the substance of the questions/comments, the review process could extend beyond 30 days.

New Grantee Process Timeline

<u>Action</u>	<u>Agency</u>	<u>Estimated Time</u>
Compilation/Development of Required New Grantee Documents	New Grantee	30 Days
FTA Review Period: New Grantee Documents	FTA	30 Days
New Grantee Response to FTA Review Comments	New Grantee	30 Days
Approval of Legal/Technical/Financial/Civil Rights Requirements	FTA	14 Days
System Access Documentation Development	New Grantee	14 Days
System Access Documentation Processing	FTA	14 Days
Confirmation of New Grantee Process Completion	FTA	14 Days
Total Estimated Time		~5 Months

New Grantee Checklist

Legal Capacity

1. Opinion of Counsel	
2. Authorizing Resolution	

Financial Capacity

3. Financial Capacity Questionnaire	
4. Current Year Operating and Capital Budgets	
5. Two Years of Single Audit Reports	
6. 3-5 Year Financial Plan	
7. Desk Procedures	

Technical Capacity

8. Technical Capacity Questionnaire	
9. Technical Capacity Questionnaire Supporting Documentation	
10. Organizational Chart	
11. Procurement Procedures	

Civil Rights Requirements

12. Title VI Plan and Required Elements	
13. EEO Plan (or Questionnaire to justify exemption)	
14. DBE Plan (or Exemption justification letter)	

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Additional FTA Guidance Documents and Links

Once approved through the New Grantee Process, there are number of resources available for familiarizing those within the New Grantee’s organization about FTA programs, procedures and processes. The links below provide a snapshot of that information. The assigned planner and program manager for the New Grantee’s geographic area will also be an invaluable resource for becoming familiar with FTA.

FTA Grant Program Guidance

Cross-Cutting Program Circulars

<i>Topic</i>	<i>Circular</i>	<i>Link</i>
Award Management Requirements	FTA C 5010.1E	https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/grant-management-requirements
Third Party Contracting Guidance (Procurement)	FTA C 4220.1F	https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/third-party-contracting-guidance

Major Program Specific Circulars

<i>Topic</i>	<i>Circular</i>	<i>Link</i>
5307 UZA Formula Program	FTA C 9030.1E	https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/urbanized-area-formula-program-program-guidance-and
Metro and State Planning Program	FTA C 8100.1C	https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/program-guidance-metropolitan-planning-and-state-planning-and
5309 Capital Investment Program	FTA C 9300.1B	https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/capital-investment-program-guidance-and-application
5339 Bus and Bus Facilities Program	FTA C 5100.1	https://www.transit.dot.gov/regulations-and-guidance/fta-circulars/bus-and-bus-facilities-program-guidance-and-application

FTA Region IV Grantee Resource Centers

FTA Region IV also provides a large amount of information and training materials online at their external website. New Grantees are encouraged to explore this resource and reach out to assigned planners and program managers with questions/comments/concerns.

- **Region IV Grantee Resource Center:** <https://www.transit.dot.gov/about/regional-offices/region-4/grantee-resources-center>

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Appendices

Appendix A: Legal Capacity Documents

Appendix A-1: Legal Capacity FTA Master Agreement

Appendix B: Financial Capacity Documents

Appendix B-1: Financial Capacity Questionnaire

Appendix C: Technical Capacity Questionnaire

Appendix D: Civil Rights – Title VI Program Checklist (Appendix A of C 4702.1B)

Appendix E: Civil Rights – EEO Program Checklist

Appendix F: Civil Rights – DBE Program Checklist