NEW GRANTEE HANDBOOK

New Grantee Process Basics

- **All required documentation should be provided to the New Grantee Coordinator:**
  Robert Buckley
  Phone: 404-865-5618
  E-mail: robert.buckley@dot.gov.

- **However, if there are specific programmatic (e.g. Civil Rights) questions refer to the specific points of contact.**

- **Many of the steps below can be accomplished concurrently,**

- ***ALL* documentation must be submitted to the New Grantee Coordinator *AT ONE TIME*. Please use the New Grantee Checklist (*Attachment 1*) to ensure all necessary documents have been compiled before submitting to FTA Region IV.**

New Grantee Process Steps

- **Step 1: Demonstrate Legal Capacity**
  Point of Contact
  Erica Matos, Regional Counsel
  Phone: 404-865-5625
  E-Mail: erica.matos@dot.gov

  - **Opinion of legal counsel**
    - **Develop** the legal authority in the new grantees office to specify the programs the grantee is eligible for federal funding and to cite the necessary statutes used to confirm capacity.
      - A sample of this document can be found in ***Attachment 2.***

  - **Authorizing Resolution**
    - **Submit** a copy of the grantees authorizing resolution to FTA Region IV. This document provides FTA with the basis for the new grantees mission and goals
      - A sample can be found in ***Attachment 3.***

  - **FTA Master Agreement**
    - **Review** FTA Master Agreement. While it is not signed until the grantee is given access to TEAM, the requirements should be reviewed and proof of compliance should be ready.
      - The agreement can be found in ***Attachment 4.***

- **Certifications & Assurances**
  - **"PIN"** applicable certifications & Assurances in TEAM.
    - The certifications & assurances ensure grantees will comply with various federal regulations. Any certifications & assurances that will be covered by the service that the grantee wishes to provide, must be "PIN-ed" each year in TEAM (more on that later) before grants may be obligated. Behind each certification & assurance there must be documentation to demonstrate that the new grantee is able to comply with the numerous federal regulations. While this documentation might not be asked for at the beginning of the process, it needs to be available if FTA needs to verify any section of the certifications & assurances.

    - A list of the certifications & assurances can be found in ***Attachment 5.***

    - For all applicable certifications & assurances there must be substantive backup materials to demonstrate the certification. (Note: Not all of the certifications & assurances may be applicable. Endorse only those related to the type of service(s) operated.)

- **Step 2: Comply with Civil Rights**

  Point of Contact
  Frank Billue, Civil Rights Officer
  Phone: 404-865-5628
  E-mail: frank.billue@dot.gov
  OR
  Jimmy Moore, EEO Specialist
  Phone: 404-865-5471
  Email: jimmy.moore@dot.gov

  - **Title VI of the Civil Rights Act of 1964**
    - **Submit** signed policy statement assuring compliance with Title VI of the Civil Rights Act of 1964.

    - **Develop** public notification process:
      - **Submit** a copy of the agency's public notice demonstrates compliance with Title VI and the procedures the public may follow to file a discrimination complaint. The public notice does not need to refer to "Title VI of the Civil Rights Act of 1964," but it should clearly state the agency's non-discrimination policy towards those protected under Title VI.
      - **Submit** a summary of public outreach and involvement activities undertaken to assure that minority persons had meaningful access to the activity and/or services provided by your agency or organization.

- **Develop** complaint process:
    - **Submit** a copy of procedures for filing a Title VI complaint with your agency. The procedures should explain how complaints are identified as Title VI. These procedures should be developed locally, but provided to the new grantees contact in Region IV.

- **Submit** an analysis and implementation plan to assure meaningful access to services by people with Limited English Proficiency (LEP):
    - **Include** in LEP Analysis (***Attachment 6***: LEP Handbook):
        - Nature and importance of service provided by agency or organization;
        - Number and proportion of LEP persons in service area;
        - Frequency of contact with LEP persons and the service provided;
        - Costs and availability of resources that could assure meaningful access to services by LEP persons.

    - **Include** in LEP Implementation Plan:
        - **Identify** LEP persons in the service area who need language assistance;
        - **Develop** language assistance measures that are feasible for the agency or organization given the resources available;
        - **Train** staff;
        - **Submit** notice to LEP population of any and all measures that might change and/or improve access to services;
        - **Monitor** progress and update plan on a regular basis.

- **Submit** list of Title VI complaints, lawsuits, audits, reviews, etc. that are currently active and/or have occurred in the past 3 years.
    - Each grantee must have the update documentation attached in TEAM as well as "PIN-ed" the current Fiscal Year Certifications and Assurances.
    - The Title VI program requires an update every 36 months. Information on the update requirements can be found here: ***http://www.fta.dot.gov/civilrights/civil_rights_5088.html***

- ***Attachment 7:*** The Title VI Program Checklist is used by FTA Region IV's Civil Rights Officers to review any submitted Title VI documentation, and should be consulted before final Title VI Program is transmitted to FTA.

- **Disadvantaged Business Enterprise (DBE) Plan and Annual Goal**
    - **Develop** a DBE plan and annual goal is required for grantees that contract out more than $250,000 in FTA funding (excluding vehicle purchases). In addition to the $250,000 in federal financial assistance there must also be $250,000 in overall contracting opportunities.

        - See ***http://www.fta.dot.gov/civilrights/civil_rights_5089.html*** for guidance.

    - ***Attachment 8:*** The DBE Program Checklist is used by FTA Region IV Civil Rights Officers to review submitted DBE programs and should be consulted before final DBE Program is transmitted to FTA.

  - **Equal Employment Opportunity (EEO)**
    - **Submit** an EEO plan if the organization has more than 50 transit-related employees, and received $1 million in the previous fiscal year.
        - See ***http://www.fta.dot.gov/civilrights/civil_rights_5090.html*** for guidance.

    - ***Attachment 9:*** The EEO Program Checklist is used by FTA Region IV Civil Rights Officers to review submitted EEO programs and should be consulted before final EEO Program is transmitted to FTA.

  - **Americans with Disabilities Act of 1990 (ADA)**
    - Currently there are no written ADA plan requirements; however the Master Grant Agreement requires compliance with all accessibility requirements.

- ## Step 3: Demonstrate Financial Capacity

  Point of Contact
  Rhonda King-Lakeman, Logistics Management Team Leader
  Phone: 404-865-5620
  E-mail: Rhonda.king@dot.gov

  - **Submit** a 3-5 year financial profile is required for FTA and Region IV approval.
    - Each new grantee must be capable of proving they can provide the local share portion of the projects they apply to FTA for. This local share is typically 20% for capital projects and 50% for operating assistance, but does vary across FTA programs.
    - The financial plan should also indicate adequate revenues to maintain and operate the existing system and to complete the annual Program of Projects. Revenue sources must be stable enough to meet future capital and operating cost. The grantee should also submit income statements for the past 3 years.
    - Additional guidance to financial capacity can be found in the Triennial Review Workbook within the Financial section: ***(Attachment 10)***

  - **Submit** A-133 audit reports for the past 3 years.

  - **Submit** current year operating and capital budgets.

  - **Complete** the Financial Capacity Questionnaire ***(Attachment 11)***.
    - Each question should be addressed with any necessary documentation included and provided back to FTA Region IV.

- **Step 4: Demonstrate Technical Capacity**

  Point of Contact
  Varies by Geographic Area
  See Geographic Assignments for FTA Region IV:
  http://www.fta.dot.gov/regional_offices_871.html.

  - **Submit** an organizational chart supporting existence of adequate staff required to function.
    - The organizational chart should illustrate which positions and offices will carry out grant related activities such as procurements, reporting, equipment maintenance, and operations.

  - **Submit** a completed copy of the FTA Internal Control Self-Assessment (***Attachment 12***).

  Schedule a conference call with FTA Region IV Office of Program Management to understand the reporting and oversight requirements FTA grantees are subject to.

    - This will also allow you to become familiar with your points of contact at FTA Region IV and understand the lessons learned from reviews conducted on current FTA grantees in the previous fiscal year.

  - **Review** the 23 areas covered by the Triennial Review Workbook. Note, recipients of 5307 funds are subject to Triennial Reviews ***(Attachment 13)***.
    - The 23 areas coincide with the certifications & assurances previously discussed. Again, while FTA might not be asking for documentation at this time, those documents should be readily available should FTA make the request.

- **Step 5: Other Requirements**

  TEAM Point of Contact
  Robert Buckley, Community Planner
  Phone: 404-865-5618
  E-mail: robert.buckley@dot.gov

  ECHO Point of Contact
  Derethia Johnson, Transportation Program Specialist
  Phone: 404-865-5627
  E-mail: Derethia.johnson@dot.gov

  - **Transportation Electronic Award and Management (TEAM)**
    - **Complete** the following forms for access to TEAM:
      - **"Request for Addition to Vendor File Award (TEAM)" form.** This form requests a vendor number for your agency: ***(Attachment 14)***.

- **"TEAM User Access Form"** This form sets up an account for each person in your organization who will have access to TEAM: ***(Attachment 15)***.
- **Designation of Signature Authority Letter.** This letter is required for any new user that will require a PIN number. An example of this letter is provided in ***Attachment 16***. The text of that example should be edited to match the PIN functions being requested for each new user.
- **"TEAM User Access Form Instruction."** ***Attachment 17*** provides guidance on how to complete the TEAM User Access Form and highlights when a designation of signature authority letter is required.

- **DUNS (Data Universal Numbering System)**
  - **Enter** into the recipient profile within the TEAM system. Refer to http://www.neh.gov/grants/guidelines/duns.html if DUNS is needed.

- **Electronic Clearing House Operation (ECHO)**
  - **Download** ECHO Manual ***(Attachment 18).*** This document will be useful in navigating the ECHO website once the grant has been awarded.
  - **Complete** User Access Setup form on page 36 of the manual. Also linked separately in: ***(Attachment 19).***

• FTA Training and Guidance

- **Grant Program Guidance**
  - Guidance for specific grant programs provided by FTA is available at this website: http://www.fta.dot.gov/funding/grants_financing_263.html.
  - New Grantees should become familiar with program circulars, especially ones that correspond to the programs from which they will receive funding.
    - Circulars that apply across all programs include:
      - Managing grants/projects: http://www.fta.dot.gov/laws/circulars/leg_reg_8640.html
      - Third Party Procurement: http://www.fta.dot.gov/laws/circulars/leg_reg_8641.html

- **Grant Making and Grant Management Guidance Provided by FTA Region IV**

  - **State Programs Team Guidance:** http://www.fta.dot.gov/regions/region4/regional_offices_8009.html

    - **FTA 101**: http://www.fta.dot.gov/documents/FTA_FDOT_Training_Tampa_June_17_18_2010.pdf

  - **NEPA/Environmental Guidance:** http://www.fta.dot.gov/regions/regional_offices_12134.html

- **TEAM Training:**
  http://www.fta.dot.gov/regions/regional_offices_12240.html

    - **Common TEAM Comments:**
      http://www.fta.dot.gov/documents/Common_TEAM_Comments_FY2011.pdf

- **Presentations** made at the May 2008 Regional Conference are also available online and may be of additional assistance.
  http://www.fta.dot.gov/regions/region4/regional_offices_8285.html