



U.S. Department  
of Transportation  
**Federal Transit  
Administration**

REGION IV  
Alabama, Florida, Georgia,  
Kentucky, Mississippi,  
North Carolina, Puerto  
Rico, South Carolina,  
Tennessee, Virgin Islands

230 Peachtree St., N.W.,  
Suite 800  
Atlanta, GA 30303  
404-865-5600  
404-865-5605 (fax)

December 16, 2008

New Grantee Contact  
Agency  
Address  
Address  
Phone

Dear Colleague:

It is my pleasure to CONGRATULATE you on your Federal apportionment to provide public transit opportunities to the citizens in your community. The Federal Transit Administration (FTA) Region IV Office, located in Atlanta, GA, will be working closely with you in the planning, application, and administration of your local transit programs and projects. Over the coming months, my staff will facilitate the required paperwork, which enables you to become an FTA grantee. The attached **New Grantee Handbook** includes a step-by-step process, timeline, and supplemental information to assist you with our grant system and prepare you for submitting a complete grant application to the Region IV Office.

Again, Congratulations on your Federal funding. I look forward to hearing about the success of your transit programs in the near future.

Sincerely,

Yvette G. Taylor, Ph.D.  
Regional Administrator  
Federal Transit Administration  
Atlanta, GA

# NEW GRANTEE HANDBOOK

- **All required documentation should be provided to:**
  - Jeffery Anoka
  - Phone: 404-865-5631
  - E-mail: [Jeffery.anoka@dot.gov](mailto:Jeffery.anoka@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, as illustrated in the attached timeline.**
- **Step 1: Demonstrate Legal Capacity**
  - Point of Contact**
    - Paul Jensen, Regional Counsel
    - Phone: 404-865-5625
    - E-Mail: [paul.jensen@dot.gov](mailto:paul.jensen@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 1*)
  - **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 2*)
  - **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 3*)
  - **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 4*)
- 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](mailto:frank.billue@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:
          - 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](http://www.fta.dot.gov/civilrights/civil_rights_5088.html)
- **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](http://www.fta.dot.gov/civilrights/civil_rights_5089.html) for guidance.
- **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](http://www.fta.dot.gov/civilrights/civil_rights_5090.html) for guidance.
- **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**  
Brandy Smith, Transportation Program Specialist  
Phone: 404-865-5621  
E-mail: [brandy.smith@dot.gov](mailto:brandy.smith@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.

- Additional guidance to financial capacity can be found in the Triennial Review Workbook within the Financial section: (*Attachment 5*)

- **Step 4: Demonstrate Technical Capacity**

- **Point of Contact**

- Varies by Geographic Area

- See Geographic Assignments for Program Managers and Region IV Contact List

- **Submit** an organizational chart supporting existence of adequate staff required to function.
      - **Become Familiar** with the 23 areas covered by the Triennial Review Workbook. Note, recipients of 5307 funds are subject to Triennial Reviews (*Attachment 6*).
        - 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**

- Jeffery Anoka, Transportation Program Specialist

- Phone: 404-865-5631

- E-mail: [Jeffery.anoka@dot.gov](mailto:Jeffery.anoka@dot.gov)

- **ECHO Point of Contact**

- Derethia Johnson, Transportation Program Specialist

- Phone: 404-865-5627

- E-mail: [Derethia.johnson@dot.gov](mailto: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 7*).
      - **“TEAM User Request Form and Instructions.”** This form sets up an account for each person in your organization who will have access to TEAM: (*Attachment 8*).
      - **User Access Authorization Letter.** This letter should specifically authorize the level of access given to each new TEAM user accounted for on the User Request Form.
  - **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 9*). 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 10*).

- **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](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](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](http://www.fta.dot.gov/laws/circulars/leg_reg_8641.html)

- **Presentations from FTA Regional Conference held in May of 2008**

- **FTA 101:** [http://www.fta.dot.gov/documents/Day\\_1\\_-\\_Ib\\_-\\_FTA\\_101\\_-\\_Pfister.pdf](http://www.fta.dot.gov/documents/Day_1_-_Ib_-_FTA_101_-_Pfister.pdf)
- **Grant Making 101:** [http://www.fta.dot.gov/documents/Day\\_1\\_-\\_IIb\\_-\\_Grant\\_Making\\_101\\_-\\_LaShore.pdf](http://www.fta.dot.gov/documents/Day_1_-_IIb_-_Grant_Making_101_-_LaShore.pdf)
- **FTA Grant Management and Reporting 101:** [http://www.fta.dot.gov/documents/Day\\_1\\_-\\_IIIb\\_-\\_FTA\\_Grant\\_Management\\_and\\_Reporting\\_101.pdf](http://www.fta.dot.gov/documents/Day_1_-_IIIb_-_FTA_Grant_Management_and_Reporting_101.pdf)
- **Guided TEAM Presentation:** [http://www.fta.dot.gov/documents/Day\\_3\\_-\\_TeamWeb\\_-\\_Anoka.pdf](http://www.fta.dot.gov/documents/Day_3_-_TeamWeb_-_Anoka.pdf)
- **Remaining 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](http://www.fta.dot.gov/regions/region4/regional_offices_8285.html)