# Bay Area Rapid Transit (BART)
# Sub-Recipient Pre-Authorization/Assurance Checklist
**2020-202023**

## Name of Sub-grant recipient: _____

FTA C 4704.1A states that if *"a primary recipient extends Federal financial assistance to any other recipient, such other recipient shall also submit such compliance reports to the primary recipient as may be necessary to enable the primary recipient to carry out its obligations under this part."* As a subrecipient of BART, you are required to provide general reporting requirements under the Department of Transportation (DOT).

This assurance checklist must be completed, signed, and returned to BART's Office of Civil Rights as part of your sub-grant recipient funding process. In order to receive federal financial assistance, sub-grant recipients must agree to provide the following information when required. This checklist also serves to document that the sub-grant recipient currently has in place, or will be able to implement, where applicable, the required processes and procedures.

This checklist covers the most recent reporting period of 1/1/20 through 12/31/23. A "No" answer does not necessarily mean that the sub-grant recipient is "non-compliant," but a written explanation must be provided for any "No or "N/A" responses. A compliance or non-compliance determination will be made by BART after submittal of the checklist and the narrative explanations relative to "No" or "N/A" responses. Copies of this information along with a copy of your agencies Affirmative Action Plan and Title VI Plan must be provided with this checklist.

*For any questions regarding this checklist please contact the Office of Civil Rights at (510) 464-6113.*

**EMPLOYMENT**

| # | Questions | Yes | No | N/A | Narrative explanation for "No", N/A responses or additional information |
|---|---|---|---|---|---|
| **1.** | Does the sub-grant recipient employ 50 or more transit related employees and receive capital operating assistance in excess of 1 million dollars? | | | | |
| **2.** | Does the sub-grant recipient receive planning assistance in excess of $250,000? | | | | |
| **3.** | Can the sub-grant recipient produce a current copy of its Annual EEO-4 Report on employees? | | | | |
| | a. Is equal opportunity considered when appointments are made? | | | | |
| **4.** | Can the sub-grant recipient produce a current copy of its Affirmative Action Plan? | | | | |
| | a. Does the documentation include the race and sex of applicants? | | | | |
| | b. Does the documentation include the race and sex of the persons hired or promoted? | | | | |
| | c. Are recruitment efforts made to hire minority or female applicants? | | | | |
| | • If yes, are these efforts documented? | | | | |
| | d. Are vacancies advertised both internally and externally? | | | | |

Sub-grant Recipient Name:_____