

complying with the requirements in 49 CFR 604.13.

(Approved by the Office of Management and Budget under Control No. 2132-0543)

### Subpart B—Complaint Process

#### § 604.15 Filing a complaint.

(a) An interested party (“complainant”) who believes that a recipient is in violation of the requirements of this part may submit a written complaint to the FTA Regional Administrator. The complainant shall also send a copy of the complaint to the recipient (“respondent”).

(b) If the Regional Administrator determines that the complaint is not without obvious merit and that it states grounds on which relief may be granted, the Regional Administrator shall advise the complainant and respondent to attempt to conciliate the dispute. The period for informal conciliation shall last for up to 30 days from the date of receipt of the Regional Administrator’s order unless an extension is mutually agreed upon by the parties.

(c) If the parties are unable to conciliate the dispute, either party may so notify the Regional Administrator in writing. The Regional Administrator shall send a copy of the complaint to the respondent and provide it with 30 days from the receipt of the notice to provide written evidence to show that no violation has occurred. The respondent shall provide a copy of this information to the complainant.

(d) After the Regional Administrator receives that respondent’s evidence, the Regional Administrator shall inform the complainant that it has 30 days from the receipt of the notice to rebut the respondent’s evidence. The complainant shall provide a copy of its rebuttal to the respondent.

(e) The Regional Administrator shall review the evidence submitted and prepare a written decision. The Regional Administrator shall attempt to transmit the written decision to the parties within 30 days of receiving all of the evidence.

(f) If the Regional Administrator determines that further investigation is necessary, including the submission of additional information or the holding of an informal evidentiary hearing, the

Regional Administrator shall so inform the parties in writing.

(g) Either party may request an informal evidentiary hearing prior to the transmission of the Regional Administrator’s decision. The Regional Administrator may grant or deny the request.

(h) If an informal evidentiary hearing is held, the date and location shall be arranged by the Regional Administrator in consultation with the parties. Any new evidence introduced by the parties at the informal evidentiary hearing shall be submitted to the Regional Administrator within 10 days after the hearing.

(i) The Regional Administrator may extend the deadlines imposed in this part for administrative convenience by notifying all parties in writing of the extensions.

[52 FR 11933, Apr. 13, 1987, as amended at 58 FR 52685, Oct. 12, 1993]

#### § 604.17 Remedies.

(a) If the Regional Administrator determines that a violation of this part has occurred, the Regional Administrator may order such remedies as the Regional Administrator determines are appropriate.

(b) If the Regional Administrator determines that there has been a continuing pattern of violation of this part, the Regional Administrator may bar the respondent from the receipt of further financial assistance for mass transportation facilities and equipment.

[52 FR 11933, Apr. 13, 1987, as amended at 58 FR 52685, Oct. 12, 1993]

#### § 604.19 Appeals.

(a) The losing party may appeal the Regional Administrator’s decision to the Administrator within 10 days of receipt of the decision. The losing party (“appellant”) shall include in its appeal the basis for the appeal and evidence to support the position. The appellant shall send a copy of the appeal to the prevailing party (“appellee”).

(b) The Administrator will only take action on an appeal if the appellant presents evidence that there are new matters of fact or points of law that were not available or not known during the investigation of the complaint.