

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

**State Management Review:
Best Practices**

FY 2002-2004

By Advanced Systems Technology and Management (AdSTM)

February 2005

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Introduction

This collection of grantees' Best Practices provides guidance to avoid and resolve deficiencies that are identified during a State Management Review (SMR). The identification of best practices is an integral part of a SMR, because its goal is to provide technical assistance to grantees to improve compliance with Federal Transit Administration regulations.

During SMRs, the review team often suggests best practices to grantees with the intention of providing them with another tool for program improvement. In the past, SMRs have assisted grantees to eliminate a number of deficiencies by identifying practices, procedures, manuals, and State Management Plans that all meet FTA requirements.

The following is the format in which **best practices** and **technical assistance** are presented in each SMR area.

- Summary of each SMR area and its requirements
- Explanation of deficiencies as noted on reviews conducted over the past 2 years
- Recommended best practices that the state or subgrantee can implement to ensure compliance with FTA regulations
- Best Practice examples by other grantees
- Reference documents of best practices and state contact information.
 - *Some documents are selective portions of large original documents.*
 - *Titles marked with * denote documents included in the Handbook.*

Disclaimer

This Handbook is designed to provide assistance and advice to state and local transit systems; FTA funded programs are not required to use it. The Handbook is not exhaustive, and its implementation does not shield the state and local transit systems from liability for third party claims. However, it provides a resource to assist state local transit systems to develop and implement programs with procedures and processes that meet FTA requirements for the benefit of passengers, employees, and the public. Any material used from the Handbook may be modified to accommodate the needs of the state or local transit systems.

I. Program Management

- The State Management Plan (SMP) is required in program management. This document demonstrates how the grantee will administer each program, comply with FTA requirements, provide oversight, and monitor subgrantees' compliance.
- The SMP must address the areas listed in Chapter XI of FTA Circular 9040.1E or Chapter VII of Circular 9070.1E, depending on the program. As a best practice, the state should verify that its plans address each required area by using the above chapters of the Circulars as a checklist for the required items.
- Some states prepare one consolidated plan that addresses both Section 5310 and 5311 and update it as conditions warrant. As the SMP is updated, a copy should be sent to FTA, so that a current version is always on file.
- A state needs to design its subgrantee application for assistance and subgrantee agreement for meeting all required conditions.
 - Some states have attempted to use the annual FTA certifications and assurances as the model for including FTA terms and conditions, but these documents fail to include all requirements.
 - The FTA master agreement lists all conditions for assistance.
- A best practice is to create a checklist of all FTA requirements to ensure the state's documents are complete. The state needs to ensure all entities involved in Federal contracts also meet these Federal requirements.

IA. Best Practice(s)

IA1. Montana State Management Plan

The SMP developed by the Montana Department of Transportation (MDT) is one of the most complete and detailed SMPs. It addresses all required FTA elements and provides adequate levels of guidance to subgrantees for effective administration of both Section 5310 and 5311 programs.

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| Reference <i>*Montana State Management Plan</i> | Point of Contact Tom Steyaert 406-444-4210 tsteuaert@state.mt.us |
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IA2. Missouri Application for Section 5310 and 5311 Assistance

The application for assistance under Section 5310 or 5311 can be unclear to both current and new subgrantees. Missouri Department of Transportation has developed handbooks

with required Federal contract clauses and certifications that lead subgrantees through every step of the assistance process.

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| Reference <i>*Handbooks on Application for Assistance Under Sections 5311</i> | Point of Contact Stevens A. Billings 573-751-2523 billis1@mail.modot.state.mo.us |
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IB. Reference Document(s)

IB1. Montana State Management Plan

INTRODUCTION

The primary objective of the Transit Section, located within the Rail, Transit, & Planning Division of the Montana Department of Transportation, (MDT), is to assist the State in the establishment and maintenance of public, private and non-profit passenger transportation systems. This assistance is provided by the Transit Section through a working relationship with the Federal Transit Administration (FTA).

A prerequisite for receiving FTA financial assistance requires each state to have an approved State Management Plan (SMP) on file with their FTA Regional Office.

Montana's SMP documents the State's objectives, policies, procedures and administrative guidelines for the Sections 5303/5313, 5310, 5311 programs, including the Rural Transit Assistance Program (RTAP) and the state funded program TransADE (Transportation Assistance for the Disabled and Elderly).

This SMP for Montana supersedes the 1998 State Management Plan.

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IB2. Missouri Application for Section 5310 and 5311 Assistance

INTRODUCTION

Section 5311 of Title 49, United States Code herein referred to as 5311, provides operating assistance to public transportation systems in nonurbanized areas. A nonurbanized area is an area outside a city of 50,000 plus inhabitants and its densely settled fringe areas.

Eligible applicants of Section 5311 assistance must be either public bodies or private nonprofit corporations. Private for profit providers of service are eligible through purchase of service agreements with a local public body for the provision of public transportation services.

Section 5311 of Title 49, United States Code provides capital assistance to those systems providing general public services. Capital projects are funded at the ratio of 80 percent federal funds with 20 percent local match required.

This document is intended to acquaint applicants with the administrative requirements for federal planning, capital and operating assistance and to provide specific information on the contents and format of a Section 5311 application.

If you have any questions concerning this program, please contact the:

**Missouri Department of Transportation
P. O. Box 270
Jefferson City, Missouri 65102
(573) 751-7481**

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II. Grants Administration

- State program managers' responsibilities in grants administration are ¹⁾ getting FTA grant approval, ²⁾ awarding Federal assistance to subgrantees, ³⁾ monitoring grant balances in TEAM, ⁴⁾ reporting in TEAM as required, and ⁵⁾ closing out grants.
- As grant development begins, a state can present to grant managers an opportunity to commit funds to many eligible activities by including as many scopes and line item codes as possible in a grant. By committing Federal assistance to activities beyond rolling stock procurement and operating expenses, grant managers can close out grants faster by expending Federal assistance in a multitude of small areas.
- State program managers can track open grants by periodically checking TEAM, listed under "Program Management." "Project Status" indicates the balance available for disbursement. State program managers can close out the oldest grant(s) by using those funds first. This practice does not preclude the program manager from having other systems in place for monitoring grant activities, such as spreadsheets.
- If possible, set a goal for grant close out, such as within three years of the grant award from FTA. In many cases, grants remain open because of small balances of uncommitted funds, preventing the state from closing out those grants. Some states use written grant close out procedures.
- A best practice for reporting is matching the completion date with the mandatory reporting date. Some states have assigned an individual to do milestone reporting on all grants.
- With Category C, a state must use it as intended, reserving it for "unanticipated project and program needs."

IIA. Best Practice(s)

IIA1. Washington Grants Management

It is important to provide current and new subgrantees with the appropriate tool to manage FTA grants, so that the public receives the greatest benefit of the Federal money. Washington Department of Transportation has developed a grants management guide that provides technical assistance to FTA grant-funded organizations to comply with the FTA funding regulations.

| | |
|--|---|
| Massachusetts program: Use of Category C funds Point of Contact Joanne Champa 617-973-7062 joanne.champa@state.ma.us | Washington Guide: * <i>Managing Grants</i> Point of Contact Patty Alvord 360-705-7979 alvordp@wsdot.wa.gov |
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Massachusetts Executive Office of Transportation has developed a program for the utilization of Category C funds for unidentified projects. No documentation was provided during the review.

IIA2. Missouri Application Checklist

Missouri Department of Transportation has developed Application Checklists to assist subgrantees to prepare for their application each year and to ensure all FTA requirements are addressed in these applications.

| | |
|--|---|
| Reference * <i>Section 5311 Application Checklist</i> * <i>Certifications and Assurances Checklist</i> | Point of Contact Stevens A. Billings 573-751-2523 billis1@mail.modot.state.mo.us |
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IIB. Reference Document(s)

IIB1. Washington Grants Management Guide

Introduction

Purpose of this guide

The purpose of this guide is to provide technical assistance to organizations that have been awarded state and/or federal public transportation projects through the Washington State Department of Transportation (WSDOT). This guide will help you comply with the laws and regulations associated with Federal Transit Administration (FTA) and Washington State public transportation funding in Washington State. In addition, you will find technical assistance and best practices on implementing and managing your project.

Note: Most of the requirements addressed in this guide pertain to organizations receiving federal funds but can be used as a model for best practices on all projects.

What does this guidebook contain?

The key to ensuring compliance with the laws and regulations associated with grants is record keeping and the development and implementation of policies and procedures. This guide is divided into three parts to help you locate the information you need based on the type of project you were awarded:

- Chapter 1: Guidelines for All Projects
- Chapter 2: Guidelines for Operating Projects
- Chapter 3: Guidelines for Capital Projects

What funding programs are covered in this guide?

This guide covers all public transportation funding programs managed by WSDOT's Public Transportation and Commute Options Office (PT&CO). PT&CO manages both competitive grants and transit formula based grants. This section provides a brief overview of each program.

What FTA programs are covered?

Below is a list of FTA programs covered in this guide.

- 5310 - Transportation Services for Elderly Persons and Persons with Disabilities. Types of projects eligible:
 - ◆ Capital - Vehicles and other equipment.
 - ◆ Purchase of Services - Service contracts between WSDOT and transportation providers.
- 5309 – Transit bus and bus related. Types of projects eligible:
 - ◆ Capital – Transit Vehicles and other equipment.
- 5311 - Transportation services for the general public in rural areas. Types of projects eligible:

- ◆ Capital – Passenger service vehicles and other equipment.
- ◆ Operating – Subsidy for fixed route and demand response service.
- 5311(f) - Intercity Bus Program. Intercity service provided to the general public.
Types of projects eligible:
 - ◆ Capital – Passenger service vehicles and other intercity bus equipment.
 - ◆ Construction or modification of facilities used by intercity bus providers.
 - ◆ Operating - Intercity bus service in small urban and rural areas.

Note: Feeder service is eligible only if it is designed to provide transportation to the general public for the purpose of accessing intercity bus services.
- ³⁰ ~~53~~37 – Job Access and Reverse Commute (JARC)
 - ◆ Capital – Passenger service vehicles
 - ◆ Operating – Subsidy for providing passenger transportation services to low income persons to access work and educational programs

In addition to the FTA programs listed above, this guide covers projects that are transferred from the Federal Highway Administration's (FHWA) Surface Transportation Program (STP) to the 5311 program.

IIB2. Missouri Application Checklist (1)

SECTION III: CERTIFICATIONS AND ASSURANCES REQUIRED OF APPLICANT

This form needs to be checked and signed by the appropriate official of the applicant.

This is done so signatures are not required throughout the application.

The following pages/text explain each federal requirement that the applicant certifies.

The Applicant assures that it will comply with all applicable Federal statutes, regulations, executive orders, FTA circulars, and other Federal administrative requirements in carrying out any grant or cooperative agreement awarded by FTA. The Applicant acknowledges that it is under a continuing obligation to comply with the terms and conditions of the grant or cooperative agreement issued for its approved project with FTA. The Applicant understands that Federal laws, regulations, policies, and administrative practices might be modified from time to time and affect the implementation of the project. The Applicant agrees that the most recent Federal requirements will apply to the project, unless FTA issues a written determination otherwise.

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| Certificate of Compliance Authority of Applicant & its Representative | 49 U.S.C. 5323 (n) | 16 | |
| Certificate of Compliance Standard Assurances | 49 USC 5323(n) | 16 | |
| Certificate of Compliance Debarment, Suspension, and other Matters for Primary Covered Transactions | 49 CFR 29.510 | 16 | |
| Certificate of Compliance Drug-Free Workplace Agreement | 49 CFR Part 29 (f) 49 U.S.C. 702 | 17 | |
| Certificate of Compliance Intergovernmental Review Assurance | 49 CFR Part 17 | 18 | |
| Certificate of Compliance Nondiscrimination Assurance | 49 U.S.C. 5332 49 CFR Part 21 42 U.S.C. 2000d FTA Circular 4702.1 | 18 | |
| Certificate of Compliance Disadvantaged Business Enterprise Assurance | 49 CFR Part 26 31 U.S.C. 3801 et seq. | 19 | |
| Certificate of Compliance Assurance of Nondiscrimination on the basis of Disability | 49 CFR 27.9 29 U.S.C. 794, et seq. ADA of 1990, 43 U.S.C. 12101 49 CFR Parts 27, 37, and 38 | 20 | |
| Certificate of Compliance Procurement Compliance Certificate | FTA Circular 4220.1D | 20 | |

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| Certificate of Compliance Assurances Required by the U.S. Office of Management and Budget | (see language in following description) SF-424B and SF-424D | 20 | |
| Certificate of Compliance Public Hearing | 49 U.S.C. 5323 (b) | 25 | |
| Certificate of Compliance Acquisition of Rolling Stock | 49 U.S.C. 5323 (m) 49 CFR Part 663 | 25 | |
| Certificate of Compliance Bus Testing | 49 CFR 665.7 | 25 | |
| Certificate of Compliance Charter Service Agreement | 49 U.S.C. 5323 (d) 49 CFR 604.7 | 26 | |
| Certification of Compliance School Transportation Agreement | 49 U.S.C. 53 49 CFR 605.14 | 26 | |
| Certification of Compliance Demand Responsive Service | 49 CFR 37.77 | 27 | |
| Certificate of Compliance Alcohol Misuse and Prohibited Drug Use | 49 CFR Part 655 | 27 | |
| Certificate of Compliance Interest of Other Financing Costs | 49 U.S.C. 5307 (g), 49 U.S.C. 5309 (g)(2)(B), 49 U.S.C. 5309 (g)(3)(A), 49 U.S.C. 5309 (n) | 28 | |
| Certificate of Compliance Intelligent Transportation Systems Program (ITS) | 66 FR 1459 | 28 | |
| Certificate of Compliance Required for Capital Leasing | 49 CFR 639.15(b)(1), 49 CFR 639.21, 49 USC 5309 | 28 | |
| Certificate of Compliance Sole Source Acquisition of an Associated Capital Maintenance Item | 49 U.S.C. 5325(c) | 29 | |
| Certificate of Compliance Clean Fuels Formula Grant Program | 49 U.S.C. 5308 | 29 | |

The _____ agrees to all certifications, conditions and assurances listed above.

Signature

Date

III. Selection and Eligibility of Sub-Recipients and Projects

- Most SMPs establish a rating system for evaluating Section 5310 grants.
- The rating system should note the rating system/ point system may change annually.
- It should include a grievance procedure for resolving protests.
- As described by Federal law, a state needs to have a process to monitor and ensure the provisions of eligible services to the public.

IV. Financial Management

- A best practice is for a state to have sufficient documentation to support Federal drawdowns in TEAM; such documentation includes subgrantee requests to the program manager for payment and invoices from vendors approved for payment.
- A state should ensure subgrantees have the necessary local funds for match purposes.
- If a state is unable to commit its funds first and requests reimbursement from the FTA, it must expend FTA funds within three working days of drawing down those funds, as directed by FTA procedures. Documentation must be available to indicate compliance with the requirement.
- A state must have processes in place to ensure charges are made to the proper grants.

V. Intercity Bus Program – Section 5311(f)

- *Intercity Bus Apportionment/ Governor’s Certification.* States receive a 5311(f) apportionment to meet the needs of intercity bus programs. They must either spend the entire apportionment or provide a governor’s certification that indicates their intercity bus needs are met. This certification is needed regardless of the amount of the apportionment used.
- To determine if the intercity needs are met, the review team checks for either the requested apportionment or the governor’s certifications on file.
- The governor’s signature on the certifications should have a verifiable basis. If not, sufficient documentation, such as surveys, studies, or discussion with transit officials, can be used to indicate intercity needs are being met.

VI. Rural Transit Assistance Program (RTAP)

- In the apportionment process, FTA provides funding to the state and subgrantee for training. These RTAP funds should be obligated and expended within the fiscal year apportioned. They can be used in several ways to improve the performance of states’ and subgrantees’ systems.

- Some states found developing an integrated transit-training program difficult. To solve this problem,
 - States have worked with educational institutions to develop and provide training to state and subgrantees.
 - Some states turn over their RTAP funding to a local university or community college for the development and holding of training courses.
 - One state has employed a full-time RTAP instructor.

VIA. Best Practice(s)

VIA1. Washington Driver Training

In a transit system, drivers need to be trained in all aspects of their duties to ensure their professional service to customers. Washington Department of Transportation has developed a training manual that outlines the best practices for volunteer drivers.

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|---|---|
| Reference <i>*Volunteer Drivers, A Guide to Best Practices</i> | Point of Contact Washington’s Volunteer Drivers Training Don Chartoiock 360-705-7928 chartod@wsdot.wa.gov |
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VIA2. New Mexico Driver Evaluations

The trained drivers need to have a periodic evaluation of their performance and knowledge to identify additionally required training courses and to ensure their service is professional. New Mexico State Highway and Transportation Department has developed this evaluation tool for drivers.

| | |
|---|--|
| Reference <i>*Driver Evaluation & Coaching Documentation</i> | Point of Contact New Mexico Driver Evaluations Linda J. Trujillo 505-827-1573 linda.Trujillo@nmshtd.state.nm.us |
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VIB. Reference Document(s)

VIB1. Washington Volunteer Driver Training

SECTION 1: Introduction

What is the Volunteer Drivers Guide?

This guide will assist organizations that provide passenger transportation services to persons with special transportation needs, with developing and maintaining volunteer driver programs. The guide is a tool kit that provides the framework for developing and maintaining volunteer driver programs.

This guide will help you navigate through the complex requirements imposed by Washington State law and various funding organizations. An organized volunteer transportation program can add to the mobility options available in a community. However, organizations may struggle with developing volunteer driver programs.

In the pages to follow you will find helpful information to help meet those requirements. In addition, the guide contains recommendations, best practices, and sample forms as well as informational attachments and resources.

Why Was This Guide Developed?

Many parts of the state rely heavily on volunteer drivers to transport persons with special transportation needs. As counties developed their coordinated special needs transportation systems, they found that volunteer driver programs might be the key to filling transportation gaps in the community. For this reason the Agency Council on Coordinated Transportation compiled *Volunteer Drivers – A Guide to Best Practices*.

Note: In Washington State, “Persons with special transportation needs” are defined as: “Those persons, including their personal attendants, who because physical or mental disability, or income status, or age, are unable to transport themselves or to purchase transportation.”

How Was The Guide Developed?

A Guide to Best Practices was developed with comprehensive input from model programs currently operating in Washington State and in other parts of the United States. The *Guide* represents a collation of common practices. The goal is to strengthen existing programs and to serve as a guide for development of new programs.

What formed the foundation of the guide?

Certain facts and assumptions were used to form the foundation of these guidelines. Those are:

1. An organized volunteer driver program should be in place whenever public funds are used for reimbursement of a driver's expenses and/or to offset organizational costs related to providing volunteer transportation to persons with special transportation needs.
[Attachment 1a- RCW 81.66 Special Transportation Needs]
2. Volunteer drivers should perform their duties under the direction of a legally constituted Sponsoring Organization.
3. Whether volunteers use their vehicles on organizational business or drive the organization's vehicles, the volunteers are legally agents of the Sponsoring Organization.
4. These guidelines do not apply to the operation of commuter ride sharing or flexible commuter ride sharing as defined in RCW 46.74.010 Sections 1 & 2. *[Attachment 1b-Ride Share RCW]*

Who developed this guide?

Under the direction of ACCT the Program for Agency Coordinated Transportation (PACT forum) established a workgroup comprised of representatives from:

1. Washington State Department of Transportation (WSDOT)
2. Agency Council on Coordinated Transportation (ACCT)
3. DSHS Aging and Adult Services Administration (AASA)
4. CTED Office of Community Development
5. DSHS Medical Assistance Administration (MAA)
6. Washington State Transit Insurance Pool (WSTIP)
7. Washington Utilities and Transportation Commission
8. Agencies that run volunteer driver programs including:
 - a. Catholic Community Services of Western Washington
 - b. Lewis Mason Thurston Area Agency on Aging
 - c. Olympic Community Action
 - d. Council on Aging and Human Services Transportation
 - e. Senior Services for South Sound
 - f. Intercity Transit
 - g. Pierce Transit

SECTION 4: Establishing and Managing a Volunteer Driver Pool

Maintaining a well trained, enthusiastic driving staff is key to the success of any volunteer transportation program. Whether a driver uses an agency-owned vehicle or their own vehicle (POV), he/she is responsible for the safety of all riders.

There are two important features to remember when developing or managing a volunteer driver workforce. Those are:

1. It is important to recognize that all drivers, whether using agency vehicles or their personal vehicles, should be appropriately trained to safely carry out their responsibilities.
2. All volunteer drivers who operate agency vehicles should follow the same policies and procedures as paid drivers (if any) operating similar vehicles for the Sponsoring Organization.

Sponsoring Organizations have the responsibility of assuring that transportation volunteers and staff have the tools necessary to be successful in their positions. Success depends on proper selection and management of volunteer and paid drivers including quality program orientation, training and evaluation.

How to Select Drivers

Sponsoring Organizations should ensure that all volunteer recruiting, screening, interviewing and selection processes are objective and free from discrimination. Potential volunteer drivers should begin the process by filling out three initial application forms. [*Form 5a: Driver Application, Form 5b: Vehicle Registration, Form 6: Availability*]

Specific Qualifications:

To protect the safety of passengers, minimum volunteer driver qualifications should be established. These include but are not limited to:

1. The driver should be at least 21 years of age.
2. Possess a valid driver's license appropriate for the type of vehicle to be operated.
3. Provide a minimum of two excellent references. [*Form 7: References*]
4. Be able to operate the assigned equipment.
5. Willing to attend required training courses and to follow the Sponsoring Organization's policies.
6. Not have a history of crimes against a person.
7. Have a self declared ability to physically carry out the essential job functions as listed in the job description. [*Form 8: Statement of Medical Condition*]

8. Not have an uncontrolled chronic illness such as epilepsy, diabetes, heart or respiratory problems. When indicated, a driver must be willing to provide a physician's statement qualifying him/her as physically able to drive. Suggested form is the one that goes with acquisition of a Commercial Drivers License (CDL). If the driver does not have medical insurance, the Sponsoring Organization may choose to pay for the physical exam. *[Form 9: Medical Release]*
9. Not abuse alcohol, drugs, and/or medication.

Driving History Requirements

To protect the Sponsoring Organization, and the passengers they serve, minimum driving history information should be gathered. To determine the eligibility of volunteer drivers, based on driving history, the following guidelines may be used:

1. Paid or volunteer drivers are eligible to transport riders when their three-year unrestricted driving history (as recorded by the Department of Licensing) totals no more than four points on the rating scale. *[Form 10a: Selection Guidelines, Form 10b: Selection Standards]*
2. Drivers are required to inform the sponsoring agency if they no longer meet the eligibility requirements due to moving violations and/or collisions that may make them ineligible.
3. The driving history should be re-checked annually, for cause, or because of reasonable suspicion.

How Should Drivers Be Selected?

As a provider of services to vulnerable populations, the Sponsoring Organization is responsible for following a proper selection process. This will minimize the chance of being challenged about those processes. The driver selection process should include the following:

1. Prospective volunteer reads and becomes familiar with the job description. *[Form 11a: Driver Job Description; Form 11b: Essential Functions]*
2. Applicant completes a position application at the Sponsoring Organization's offices. *[Form 5: Application]*
3. Applicant completes a Statement of Understanding. *[Form 12: Statement of Understanding]*
4. Manager reviews the application.
5. Manager conducts a personal interview.
6. A report from the Department of Licensing is obtained. *[Form 13: Driving Record Request; Link 6 - Department of Licensing: www.wa.gov/dol/forms/511009.pdf]*

VIB2. New Mexico Driver Evaluations

NEW MEXICO PUBLIC TRANSPORTATION

DRIVER EVALUATION & COACHING DOCUMENTATION

AGENCY NAME: _____

DRIVER NAME: _____ DATE: _____

SUPERVISOR: _____ TIME: _____

ROUTE PERFORMANCE AND SCHEDULE PERFORMANCE:

| | Satisfactory | Unsatisfactory | Comments |
|--------------------------|--------------------------|--------------------------|----------|
| Knows Stop Locations | <input type="checkbox"/> | <input type="checkbox"/> | |
| Knows Geography | <input type="checkbox"/> | <input type="checkbox"/> | |
| Knows Policy | <input type="checkbox"/> | <input type="checkbox"/> | |
| Operates within Schedule | <input type="checkbox"/> | <input type="checkbox"/> | |

DRIVING PERFORMANCE:

| | Satisfactory | Unsatisfactory | Comments |
|----------------------------|--------------------------|--------------------------|----------|
| Pre-trip Inspection | <input type="checkbox"/> | <input type="checkbox"/> | |
| Courtesy Driving | <input type="checkbox"/> | <input type="checkbox"/> | |
| Right Turns | <input type="checkbox"/> | <input type="checkbox"/> | |
| Left Turns | <input type="checkbox"/> | <input type="checkbox"/> | |
| Smoothness: Stops & Starts | <input type="checkbox"/> | <input type="checkbox"/> | |
| Intersection Awareness | <input type="checkbox"/> | <input type="checkbox"/> | |
| General Traffic Awareness | <input type="checkbox"/> | <input type="checkbox"/> | |
| Pulling into/out of Stops | <input type="checkbox"/> | <input type="checkbox"/> | |
| Use of Signals | <input type="checkbox"/> | <input type="checkbox"/> | |
| Use of Four-way Flashers | <input type="checkbox"/> | <input type="checkbox"/> | |
| Use of Mirrors | <input type="checkbox"/> | <input type="checkbox"/> | |
| Use of Hands | <input type="checkbox"/> | <input type="checkbox"/> | |
| Use of Feet | <input type="checkbox"/> | <input type="checkbox"/> | |
| Use of Interior Lights | <input type="checkbox"/> | <input type="checkbox"/> | |
| Radio Procedures | <input type="checkbox"/> | <input type="checkbox"/> | |
| Defensive Driving Skills | <input type="checkbox"/> | <input type="checkbox"/> | |
| Seatbelt Use | <input type="checkbox"/> | <input type="checkbox"/> | |
| Pedestrian Awareness | <input type="checkbox"/> | <input type="checkbox"/> | |

NEW MEXICO PUBLIC TRANSPORTATION

Driver Evaluation & Coaching (cont'd)

DEFENSIVE DRIVING SKILLS:

| | Satisfactory | Unsatisfactory | Comments |
|--------------------|--------------------------|--------------------------|----------|
| Control of Vehicle | <input type="checkbox"/> | <input type="checkbox"/> | |
| Controlling Speed | <input type="checkbox"/> | <input type="checkbox"/> | |
| Managing Space | <input type="checkbox"/> | <input type="checkbox"/> | |
| Driving at Night | <input type="checkbox"/> | <input type="checkbox"/> | |
| Driving in Winter | <input type="checkbox"/> | <input type="checkbox"/> | |
| Driving in Heat | <input type="checkbox"/> | <input type="checkbox"/> | |
| Railroad Crossings | <input type="checkbox"/> | <input type="checkbox"/> | |
| Seeing Hazards | <input type="checkbox"/> | <input type="checkbox"/> | |
| Staying Alert | <input type="checkbox"/> | <input type="checkbox"/> | |
| Backing Procedures | <input type="checkbox"/> | <input type="checkbox"/> | |

UNUSUAL OPERATING PROCEDURES:

| | Satisfactory | Unsatisfactory | Comments |
|---------------------------|--------------------------|--------------------------|----------|
| Weather Conditions | <input type="checkbox"/> | <input type="checkbox"/> | |
| Lights on for Safety | <input type="checkbox"/> | <input type="checkbox"/> | |
| Incident Reports | <input type="checkbox"/> | <input type="checkbox"/> | |
| Brake Failures | <input type="checkbox"/> | <input type="checkbox"/> | |
| Tire Blowouts | <input type="checkbox"/> | <input type="checkbox"/> | |
| Breakdown Procedures | <input type="checkbox"/> | <input type="checkbox"/> | |
| Securing the Vehicle | <input type="checkbox"/> | <input type="checkbox"/> | |
| Bloodborne Pathogens | <input type="checkbox"/> | <input type="checkbox"/> | |
| Safety Equipment | <input type="checkbox"/> | <input type="checkbox"/> | |
| Accident Procedures | <input type="checkbox"/> | <input type="checkbox"/> | |
| Fire Procedures | <input type="checkbox"/> | <input type="checkbox"/> | |
| General Safety Guidelines | <input type="checkbox"/> | <input type="checkbox"/> | |

NEW MEXICO PUBLIC TRANSPORTATION

Driver Evaluation & Coaching (cont'd)

PASSENGER RELATIONS AND ASSISTANCE SKILLS:

| | Satisfactory | Unsatisfactory | Comments |
|-------------------------------|--------------------------|--------------------------|----------|
| Attitude with Customers | <input type="checkbox"/> | <input type="checkbox"/> | |
| Helpful & Courteous | <input type="checkbox"/> | <input type="checkbox"/> | |
| Handling Difficult Passengers | <input type="checkbox"/> | <input type="checkbox"/> | |
| Mobility Impairments | <input type="checkbox"/> | <input type="checkbox"/> | |
| Vision Impairments | <input type="checkbox"/> | <input type="checkbox"/> | |
| Hearing Impairments | <input type="checkbox"/> | <input type="checkbox"/> | |
| Developmental Disabilities | <input type="checkbox"/> | <input type="checkbox"/> | |
| Seizures | <input type="checkbox"/> | <input type="checkbox"/> | |
| Neuro-Muscular Conditions | <input type="checkbox"/> | <input type="checkbox"/> | |
| Aging | <input type="checkbox"/> | <input type="checkbox"/> | |
| Temporary Disabilities | <input type="checkbox"/> | <input type="checkbox"/> | |
| Alzheimer's | <input type="checkbox"/> | <input type="checkbox"/> | |
| Disease/Dementia | <input type="checkbox"/> | <input type="checkbox"/> | |
| Youth & Children | <input type="checkbox"/> | <input type="checkbox"/> | |

OTHER ISSUES AS REQUIRED:

OVERALL COMMENTS:

SIGNATURES:

Driver: _____ Date: _____

Supervisor: _____ Date: _____

VII. Satisfactory Continuing Control

- A state must have effective inventory controls over rolling stock, fixed facilities, and equipment funded with FTA assistance.
 - These controls include the establishment of vehicle useful life standards.
 - State guidance to subgrantees for disposition procedures should be clearly stated and compliance closely monitored.
- The Federal interest in real property exists until the property is disposed, with the FTA receiving its share of the disposition.
- Effective inventory controls assist the state to recognize any excess property and determine the number of vehicles and/or facilities needed.
- Effective disposition procedures should provide guidelines for the state to authorize FTA funded items for proper disposition and the means to properly maintain property.

VIIA. Best Practice(s)

VIIA1. New Mexico Accident Reporting

The common rule permits all states to develop procedures to protect the Federal interest and to maintain the appropriate value of vehicles in the state records. Because it is necessary to assess damage on Federally funded vehicles and report, New Mexico State Highway and Transportation Department has developed an accident reporting form for subgrantees to report any Federally funded vehicles in an accident. This form provides a standardized approach to accident reporting and establishes the basis for valuing Federally funded vehicles in an accident.

| | |
|---|---|
| Reference <i>*Vehicle Accident Report Form</i> | Point of Contact Linda J. Trujillo 505-827-1573 linda.Trujillo@nmshtd.state.nm.us |
|---|---|

VII B. Reference Document(s)

VIIB1. New Mexico Vehicle Accident Report Form

/
 DATE OF REPORT: _____ AGENCY: _____

VEHICLE ACCIDENT REPORT FORM

ABOUT THE ACCIDENT

Date of Accident _____ Time _____ A.M. Were You _____ Inbound
 _____ P.M. _____ Outbound

Veh. No. _____ Route Name _____ Driver _____ Age _____

Driver's ID No. _____ Address _____ Date of Birth _____

Location Of Accident _____

Road Condition _____ Weather _____

At What Distance Did You Notice The Impending Accident _____ Feet

What Was Your Speed _____ MPH What Was Your Speed At Impact _____ MPH

Approximate Distance Traveled After Impact _____ Feet

Did You Sound Horn _____

No. of Passengers On Board At Time Of Accident _____

Point Of Impact On Your Vehicle _____

Damage To Your Vehicle Confined To _____

NARRATIVE (DESCRIPTION OF ACCIDENT)

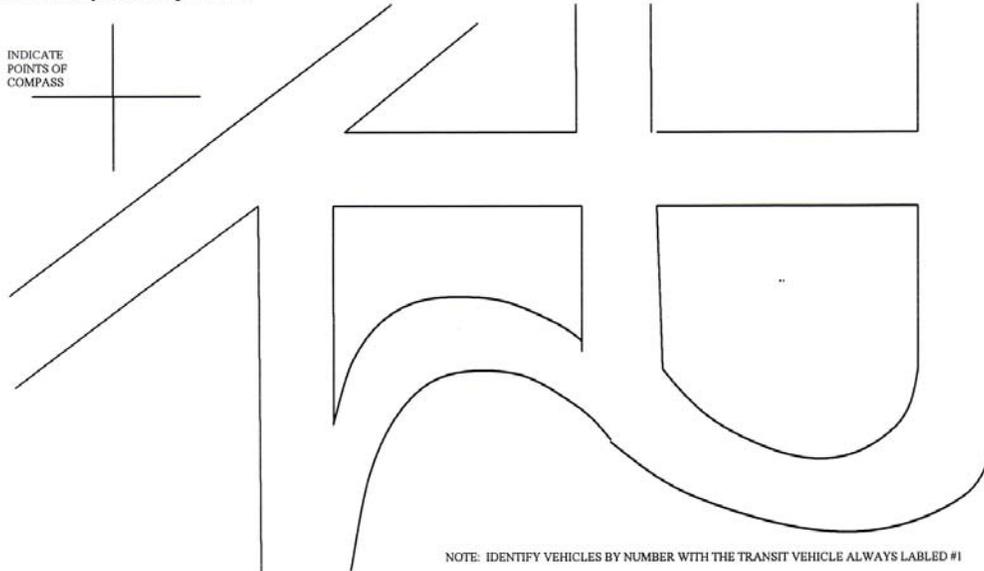
WITNESSES

| | | |
|---------------|------------------|------------------|
| _____ Name | _____ Address | _____ Phone # |

NEW MEXICO PUBLIC TRANSPORTATION

SKETCH OF ACCIDENT SCENE

Please indicate on the diagram the position of vehicles, directions they were facing, traffic signal lights or stop signs, and other information which you deem pertinent.



ABOUT THE INJURIES

Was Anyone In Your Vehicle Injured? Yes No If yes, list below:

| Name | Address | Taken to the Hospital? | |
|-------|---------|------------------------|----|
| _____ | _____ | Yes | No |
| _____ | _____ | Yes | No |
| _____ | _____ | Yes | No |
| _____ | _____ | Yes | No |

Was Anyone In The Other Vehicle Injuries? Yes No If yes, list below:

| Name | Address | Taken to the Hospital? | |
|-------|---------|------------------------|----|
| _____ | _____ | Yes | No |
| _____ | _____ | Yes | No |
| _____ | _____ | Yes | No |
| _____ | _____ | Yes | No |

NEW MEXICO PUBLIC TRANSPORTATION

ABOUT THE SECOND VEHICLE, PEDESTRIAN OR PROPERTY

Year _____ Make _____ Type _____ Color _____ License Plate No. _____ State _____ Inbound _____ Outbound _____

Driver or Pedestrian's Name _____

Address _____ City _____ State _____ Age _____

Owner's Name _____ Address _____

City _____ State _____

Insurance Number _____ Company _____

Agent _____

Point of Impact _____

Damage to His/Her Vehicle _____

What Did Driver Say _____

Approximate Distance Vehicle Traveled After Impact _____ FT

Number of Passengers In Vehicle _____

Did Police Investigate _____ Department _____

ABOUT THE THIRD VEHICLE, PEDESTRIAN OR PROPERTY

Year _____ Make _____ Type _____ Color _____ License Plate No. _____ State _____ Inbound _____ Outbound _____

Driver or Pedestrian's Name _____

Address _____ City _____ State _____ Age _____

Owner's Name _____ Address _____

City _____ State _____

Insurance Number _____ Company _____

Agent _____

Point of Impact _____

Damage to His/Her Vehicle _____

What Did Driver Say _____

Approximate Distance Vehicle Traveled After Impact _____ FT

Number of Passengers In Vehicle _____

Did Police Investigate _____ Department _____

Signature of Person Preparing This Report: _____

Signature of Person Receiving This Report: _____

IF MORE THAN THREE
VEHICLES, PEDESTRIANS OR
PROPERTIES ARE INVOLVED
ATTACH ADDITIONAL COPIES
OF THIS PAGE

[insert system name here]
[insert address]
[address line 2 if needed]
[insert city, state, zip]
[insert phone/fax number]

Passenger Name: _____ Date: _____

Address: _____
(In order for this to be a valid complaint, name and address must be completed)

COMPLAINT: _____

You may either mail this form to the address above or call in the information using the telephone number listed above. *Thank you* for helping us to improve our transportation services.

Please be assured that information provided will remain confidential and will be used only for the purposes of enhancing the quality of our public transportation services. Thank you.

[insert system name here]
[insert address]
[address line 2 if needed]
[insert city, state, zip]
[insert phone/fax number]

Passenger Name: _____ Date: _____

Address: _____
(In order for this to be a valid comment, name and address must be completed)

COMMENDATION: _____

You may either mail this form to the address above or call in the information using the telephone number listed above. *Thank you* for helping us to improve our transportation services.

Please be assured that information provided will remain confidential and will be used only for the purposes of enhancing the quality of our public transportation services. Thank you.

VIII. Maintenance

- *State Management Plan.* The SMP needs to address the issue of maintenance for vehicles, facilities, and equipment purchased with FTA funds. Although a formalized maintenance plan is not required, it is necessary to indicate how effectively preventive maintenance will protect the Federal interest in this property.
- *Preventive Maintenance Plan.* A preventive maintenance plan can be brief or extensive; the size and complexity of the preventative maintenance program usually depends on the number of vehicles in the inventory.
- *Monitoring.* The majority of deficiencies noted under this area are caused by the lack of state guidance to subgrantees in establishing a maintenance plan or the lack of state monitoring subgrantees' preventive maintenance.
 - A state needs to monitor subgrantees for their level of compliance with the SMP. The state's monitoring checklist should provide a random sampling of vehicles maintenance records to determine the frequency of preventive maintenance performed.
 - When subgrantees perform their own maintenance, a scheduling tool should be used to ensure all vehicles have preventive maintenance performed as required. These grantees usually have more complex systems to track the maintenance of their vehicles.
 - For smaller subgrantees, preventive maintenance is usually performed by a local garage or dealership. These subgrantees must be instructed to keep receipts for all maintenance items, to maintain a scheduling system that tracks mileage, and to establish intervals for maintenance for vehicles, facilities, or equipment.
- In all cases, it is the state's responsibility to ensure the performance of preventive maintenance at regular intervals on vehicles, facilities, and equipment funded with FTA assistance to maintain the Federal interest.
- The SMR team found that states or subgrantees that require a beginning-of-day and end-of-day checklist for their drivers had less deficiency in the preventive maintenance program than those states or subgrantees that only required a beginning-of-day checklist or none.

VIIIA. Best Practice(s)

VIIIA1. Virginia Facility Maintenance

Although the majority of FTA funds are used to procure rolling stock, several states have obtained facilities using Section 5311 funds; these facilities must be maintained to ensure protection of the Federal interest. Virginia Department of Rail and Public Transportation has developed a facility maintenance program document that describes various facility systems and equipment and specifies the frequency of maintenance performed on them.

| | |
|---|--|
| Reference <i>*Facility Maintenance Program</i> | Point of Contact Darrel M. Feasel 804-786-8089 darrel.feasel@drpt.virginia.gov |
|---|--|

VIIIA2. New Mexico Pre-Trip Inspections

New Mexico State Highway and Transportation Department has developed a checklist for a pre-trip inspection of vehicles for their subgrantees. This checklist is designed for drivers to ensure the proper maintenance of vehicles and resolve deficiencies prior to vehicles going into service.

| | |
|--|---|
| Reference <i>*Pre-Trip Inspection Sheet</i> | Point of Contact Linda J. Trujillo 505-827-1573 linda.Trujillo@nmshtd.state.nm.us |
|--|---|

VIIIA3. North Carolina Vehicle Maintenance

A detailed maintenance plan ensures Federally funded vehicles are maintained to protect the Federal interest. Several state agencies, including North Carolina Department of Transportation, have developed maintenance plans or checklists to assist their subgrantees with the maintenance of Federally funded vehicles.

| | |
|--|---|
| Reference <i>*Preventive Maintenance Guidelines</i> | Point of Contact Miram S. Perry 919-733-4713 X243 mperry@dot.state.nc.us |
|--|---|

Note: Nebraska Department of Roads and Florida Department of Transportation have similar preventive maintenance programs that they can share with other states.

| | |
|--|--|
| Point of Contact Nebraska Department of Roads Jerry Wray 402-479-4694 jwray@dor.state.ne.us | Point of Contact Florida Department of Transportation Robert Westbrook 850-414-4500 robert.westbrook@dot.state.fl.us |
|--|--|

VIIIA4. New Mexico Daily Preventive Maintenance

A best practice is to require drivers to complete a daily preventive maintenance schedule at the end of the day. New Mexico State Highway and Transportation Department has developed a daily preventive maintenance schedule. Drivers can review the maintenance requirements daily and schedule vehicles for maintenance to minimize impact to customer services.

Reference

**Daily Preventive Maintenance Schedule*

Point of Contact

Linda J. Trujillo

505-827-1573

linda.Trujillo@nmshtd.state.nm.us

VIIIB. Reference Document(s)

VIIIB1. Virginia Facility Maintenance

VIRGINIA REGIONAL TRANSPORTATION ASSOCIATION Facility Maintenance Program

POLICY STATEMENT: Virginia Regional Transportation Association (VRTA) desires to maintain its facility and equipment for providing public transit to the highest standards financially feasible. Service of the highest quality to our passengers cannot be maintained without the most efficient operating and support program we can provide. A physical inventory of the equipment will be prepared annually.

OBJECTIVES: The facilities and equipment used in support of public transit will be maintained at a minimum to the specifications in the operation and maintenance manual provided with the facility. In addition a facility manager will insure the following routine maintenance and care functions are provided:

- 1.) Overhead Doors - Each overhead door will be inspected quarterly and lubricated semi annually. In addition the manager will generate quarterly visual inspection report for any needed repairs.
- 2.) Plumbing – The Facility manager will inspect all plumbing fixtures weekly to insure proper operation and make sure there are no leaks. Any corrosion or poor operation will be noted and scheduled for repair/replacement.
- 3.) Irrigation – The irrigation system will be serviced twice annually by the installation company. This service will include spring start-up and fall winterizing so that the system irrigates our landscaping five (5) minutes twice weekly. The fountain in the front of the building shall be tested and inspected weekly for proper water levels, operation, etc.
- 4.) HVAC – These systems will be serviced twice annually, once at the beginning of the heating season and once at the beginning of the Cooling season. All units will be programmed to operate at peak efficiency. In addition each system will be inspected monthly by the facility manager and have filters cleaned and replaced as appropriate. The Waste oil heaters will also be serviced according to the above criteria.
- 5.) Generator – The back-up power system will be tested monthly for 10 minutes to insure proper operation, and serviced as per the manufacturer’s specification, but no less than twice annually.
- 6.) Painting & Exterior Care – The maintenance free exterior of the building will be inspected monthly by the facility manager and needed repairs noted and requested. This inspection shall include, but not be limited to: gutters, doors, sidewalks, windows, flashings, roof, caulking, signage and general appearance issues. All Yellow Painted markings will be refreshed annually.
- 7.) Landscaping – The facility Manager shall assure that all landscaped areas are maintained to include trimming, grass cutting, mulching and live growth replacement when needed. Fences shall be sealed and stained as appropriate but at least once every other year.

- 8.) **Parking Lots**- The parking lots will be re-stripped and sealed once every three or four years based upon recommendation from the facility manager. In each case this maintenance will be performed as needed to insure safety and durability of the parking surfaces.
- 9.) **Roof** – Twice annually (spring and fall) the facility manager will walk the roof to insure that roof components including flashings, gutters and tar are in good repair.
- 10.) **Lifts** – The facility manager will inspect operate, and lubricate as needed the lifts quarterly.
- 11.) **Wheel Balancer, & Tire Changer** – The facility manager will arrange for factory calibration and service on this equipment twice yearly.
- 12.) **Bobcat** – The fleet manager will incorporate the service requirements of this equipment into the regular maintenance program for all vehicles insuring that the Bobcat is maintained pursuant to factory and warranty specifications.
- 13.) **Bus Washing Equipment** – The facility manager will arrange for twice annual factory service of the bus washing equipment. He will also inspect said equipment quarterly for signs of wear and recommend service as appropriate.

Each month the facility manager shall walk the facility noting any and all repairs to both minor and major equipment items and provide the general manager a written report of any item needing service or repair.

VIIIB2. New Mexico Pre-Trip Inspections

PRE-TRIP INSPECTION SHEET

Name _____ Vehicle # _____ Date _____

UNDER THE HOOD

| BAD | ? | SAFE | ITEM TO BE CHECKED | WHAT TO LOOK FOR |
|-------|-------|-------|----------------------------|---|
| _____ | _____ | _____ | Fluid Leaks | Puddles on the ground under the bus |
| _____ | _____ | _____ | Oil Level | Add only if below "add" mark on dipstick |
| _____ | _____ | _____ | Belts: Alt. & P. Steering | Should be tight & free of cracks & chips on inside surface |
| _____ | _____ | _____ | Power Steering Fluid | Note "Full Cold" & "full Hot" marks on the dipstick |
| _____ | _____ | _____ | Coolant Level | Note "Full Cold" & "Full Hot" marks on the reservoir |
| _____ | _____ | _____ | Battery | Fluid level, corrosion & cables should be tight |
| _____ | _____ | _____ | Windshield Washer Fluid | Check the level |
| _____ | _____ | _____ | Hoses & Miscellaneous | Cracks, swelling or leaks in hoses. Broken or loose things |
| _____ | _____ | _____ | Automatic Transmission Oil | Check with vehicle level, transmission warm, & engine idling in park. Does the fluid look brown or smell burnt? |

FROM THE DRIVER'S SEAT

| BAD | ? | SAFE | ITEM TO BE CHECKED | WHAT TO LOOK FOR |
|-------|-------|-------|------------------------------|---|
| _____ | _____ | _____ | Brake Warning Light | Lights with the key in the "cranking" position |
| _____ | _____ | _____ | Brake Light & Back Up Lights | Have someone check visually, or use a mirror |
| _____ | _____ | _____ | Turn Signal Indicators | Check only the indicators on the dash |
| _____ | _____ | _____ | Wipers & Washers | Check both speeds, look for streaks. Check washer aim |
| _____ | _____ | _____ | Fans | Check all speeds by sound |
| _____ | _____ | _____ | Mirrors & Front Windows | Are they clean & unbroken? Are mirrors adjusted? |

TURN ON THE HEADLIGHTS OR BRIGHTS, HAZARD FLASHERS AND CLEARANCE LAMPS

WALK AROUND THE VEHICLE

| BAD | ? | SAFE | ITEM TO BE CHECKED | WHAT TO LOOK FOR |
|-------|-------|-------|-------------------------------|--|
| _____ | _____ | _____ | Adjust Outside Mirrors | Use the driver's seat as a reference |
| _____ | _____ | _____ | Wheels | Check tire tread depth & uniformity. Check lug nuts. |
| _____ | _____ | _____ | Tire Pressure | R. Front ___ L. Front ___ L.Rear ___ R. Rear ___ |
| _____ | _____ | _____ | All Lamps | Blown out bulbs or broken lenses |
| _____ | _____ | _____ | Differential & R. Wheel Leaks | Gear oil on differential or inside surface of rear wheels |
| _____ | _____ | _____ | Emergency Door | Check for sound of buzzer and ease of opening |
| _____ | _____ | _____ | Exhaust | Put foot over pipe & feel pressure & listen for leaks |
| _____ | _____ | _____ | Lift | Operate down & up, look for low power, loose joints or binding |
| _____ | _____ | _____ | Body | Is it clean? Are there new dents or scrapes? |

BACK ON THE BUS

| BAD | ? | SAFE | ITEM TO BE CHECKED | WHAT TO LOOK FOR |
|-------|-------|-------|-----------------------------|--|
| _____ | _____ | _____ | Rear Windows, Seats & Floor | Are they clean? Are there cracks in windows, or cuts on seats? |
| _____ | _____ | _____ | Escape Windows & Vents | Check for ease of opening & sound of buzzers |
| _____ | _____ | _____ | Fire Extinguisher | Charge indications. Shake or lightly pound it |
| _____ | _____ | _____ | First Aid Kit | Is it complete? Are there wrappers on the packets? |
| _____ | _____ | _____ | Triangular reflectors | Cracks or broken pieces |
| _____ | _____ | _____ | Gauges on the Dash | Fuel level, coolant temperature, charging rate & oil pressure |
| _____ | _____ | _____ | Horn(s) | Listen for both tones |
| _____ | _____ | _____ | Dash Lights | Bad bulbs & variable adjustment |
| _____ | _____ | _____ | Brakes | Pulling or grabbing |
| _____ | _____ | _____ | Steering | Looseness or pulling |

INTRODUCTION

Preventive maintenance: a term used to describe the performance of regularly scheduled maintenance procedures on a vehicle in order to prevent the possibility of malfunctions. Waiting until a malfunction occurs to begin to fix it is not an example of preventive maintenance.

A well-established comprehensive preventive maintenance program is as important to a successful transportation system as the actual purchase of the vehicles.

The Preventive Maintenance Plan proposed here consists of :

- *making preventive maintenance arrangements*
- *adhering to a preventive maintenance schedule*
- *conducting daily vehicle inspections*
- *completing corresponding inspection checklists, and*
- *keeping a comprehensive maintenance record on file for each vehicle.*

Preventive Maintenance Schedule

Be alert and ready to make schedule alterations according to your specific needs.
When making alterations, be sure to document any changes and update this list for reference.

Regularly Wash vehicle interior and exterior – determine need by the amount of use and road conditions.
(Salt used for clearing roads and chloride compounds used to control dust on unpaved roads may require more frequent washes.)

Unscheduled Apply rustproofing (if not included in vehicle purchase specifications).
Replace:
alternator
starter motor
windshield wiper motor
windshield wiper blades
exhaust components: muffler, manifolds, pipes, hangers and clamps
headlamps, turn signal bulbs, brake lights and marker lights
vehicle interior fittings, seat materials
wheelchair lift components
wheelchair restraint components

Every Year Flush radiator.
Replace coolant.
Service air conditioner.

Every 2 Years Replace all hoses; more often if necessary.

Every 4 Years Replace battery.

Mileage Specific * In dusty areas, the air filter should be changed every 10,000 miles.
** PCV valve and brake pad replacements and engine tune-ups may need to be performed more often than suggested in this schedule.

| | |
|--------|--|
| 3,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 6,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 9,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 10,000 | Inspect drive belts, adjust belt tension — (In dusty areas, change air filter) |
| 12,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 15,000 | Change: oil, oil filter, fuel filter (if diesel), air filter* and PCV valve** Lubricate chassis — Rotate tires |
| 18,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 20,000 | Inspect drive belts, adjust belt tension — Change front and rear brake pads** (In dusty areas, change air filter) |

| | |
|--------|--|
| 21,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 24,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 25,000 | Engine tune-up** |
| 27,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 30,000 | Change: oil, oil filter, fuel filter (gas and diesel), air filter*, PCV valve**, spark plugs, Lubricate chassis — Rotate tires—Inspect drive belts, adjust belt tension Service transmission, replace filter and fluid —Pack wheel bearings |
| 33,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 36,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 39,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 40,000 | Inspect drive belts, adjust belt tension — Change front and rear brake pads** (In dusty areas, change air filter) |
| 42,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 45,000 | Change: oil, oil filter, fuel filter (if diesel), air filter* and PCV valve** Lubricate chassis — Rotate tires |
| 48,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 50,000 | Inspect drive belts, adjust belt tension — Engine tune-up** (In dusty areas, change air filter) |
| 51,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 54,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 57,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 60,000 | Change: oil, oil filter, fuel filter (gas and diesel), air filter*, PCV valve**, front and rear brake pads**, spark plugs — Lubricate chassis — Rotate tires Inspect drive belts, adjust belt tension — Service transmission, replace filter and fluid Pack wheel bearings — Replace: EGR valve and clean EGR passage, ignition cables, distributor cap and rotor drive belts (V-type only), vacuum-operated emission system components |
| 63,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 66,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 69,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 70,000 | Inspect drive belts, adjust belt tension — (In dusty areas, change air filter) |

| | |
|---------|---|
| 72,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 75,000 | Change: oil, oil filter, fuel filter (if diesel), air filter* and PCV valve** Lubricate chassis — Rotate tires — Engine tune-up** |
| 78,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 80,000 | Inspect drive belts, adjust belt tension — Change front and rear brake pads** (In dusty areas, change air filter) |
| 81,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 82,500 | Replace oxygen sensor (if so equipped) |
| 84,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 87,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 90,000 | Change: oil, oil filter, fuel filter (diesel and gas), air filter*, PCV valve**, spark plugs— Lubricate chassis — Rotate tires — Pack wheel bearings Inspect drive belts, adjust belt tension — Service transmission, replace filter and fluid |
| 93,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 96,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 99,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 100,000 | Inspect drive belts, adjust belt tension — Change front and rear brake pads** Engine tune-up** — (In dusty areas, change air filter) |
| 102,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 105,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 108,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 110,000 | Inspect drive belts, adjust belt tension — (In dusty areas, change air filter) |
| 111,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 114,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 117,000 | Change: oil, oil filter, fuel filter (if diesel) — Lubricate chassis — Rotate tires |
| 120,000 | Change: oil, oil filter, fuel filter (diesel and gas), air filter*, PCV valve**, spark plugs, front and rear brake pads** — Lubricate chassis — Rotate tires Inspect drive belts, adjust belt tension — Service transmission, replace filter and fluid Pack wheel bearings — Replace: EGR valve and clean EGR passage, ignition cables, distributor cap and rotor drive belts (V-type only), vacuum-operated emission system components. |

Wheelchair Lift Maintenance Schedule

Perform lift maintenance at scheduled intervals according to number of cycles or elapsed time, whichever comes first. Correct any potentially dangerous situations at once.

**Every 2 weeks
or 50 cycles**

Grease: whale slot
fold slots (bridge plate ends)
safety barrier latch

**Every 4 weeks
or 100 cycles**

Light Oil: whale pins
safety barrier hinge
bridge plate hinge
platform fold bearings
horseshoe pivot pins

**Every year
or 1250 cycles**

Change pump oil:
1 qt. transmission fluid type "A"
(fill to 1/2" of breather cap with lift down and unfolded)

Inspect and replace if needed:
cotter pins
weldment lever
whale slots
horseshoe pivot
fold slots
platform fold bearings
weldment lever
power cable

Decals: Replace if missing or if not legible.

Mounting: Check to see that lift is securely anchored to vehicle and there are no loose bolts, broken welds, or stress fractures.

Also: Remove cover and inspect cylinder, chains, bearings, hoses and wires for wear or damage. See that all bolts are tight.

Make sure lift operates smoothly. Realign if needed.

For additional wheelchair lift maintenance reference see Bibliography item #6 on page 21.

DAILY VEHICLE INSPECTION

Daily vehicle inspections are crucial to the success of the Preventive Maintenance Program. Investing a short time on a daily basis to inspect each vehicle will help detect problems early, thereby improving safety and decreasing vehicle repair costs.

Each driver will inspect his or her vehicle before departure by completing the Daily Vehicle Inspection Checklist. The completed checklist is submitted to the transportation manager at the end of the driver's shift so that necessary maintenance can be noted and scheduled accordingly.

The following notes should be given to each driver to use during vehicle inspections and to keep as a reference tool.

Daily Vehicle Inspection Checklist

Fuel added: gal. _____ \$ _____

Date: ___/___/___

Oil added: qts. _____ \$ _____

Vehicle ID# (VIN): _____

| Maintenance Reminder Box | |
|---|---|
| Current mileage: _____ | <input type="checkbox"/> Maintenance due within 500 miles |
| Maintenance due at : _____ <small>(According to Preventive Maintenance Schedule) (Miles)</small> | <input type="checkbox"/> Maintenance past due! |

Inspect each item below.

If there is not a problem, place a check (✓) in the box next to the item.

If there is a problem, an item needs maintenance or if damage is found, place an X in the box next to the item and include a description in the space provided to the right.

Check if OK:

Note any problems below:

| Under Hood | |
|---|--|
| <input type="checkbox"/> oil level | <input type="checkbox"/> windshield washer level |
| <input type="checkbox"/> radiator level | <input type="checkbox"/> engine/hoses/belts |
| <input type="checkbox"/> battery level | |

| Interior | |
|---|---|
| <input type="checkbox"/> brakes | <input type="checkbox"/> gauges/instruments |
| <input type="checkbox"/> steering | <input type="checkbox"/> controls (equipment) |
| <input type="checkbox"/> transmission | <input type="checkbox"/> radio |
| <input type="checkbox"/> mirrors (adjust) | <input type="checkbox"/> horn |
| <input type="checkbox"/> cleanliness | <input type="checkbox"/> blower fan |
| <input type="checkbox"/> wheelchair fluid | <input type="checkbox"/> emergency handpump |

| Safety Equipment | |
|---|--|
| <input type="checkbox"/> flares/triangles | <input type="checkbox"/> back-up alarm |
| <input type="checkbox"/> first aid kit | <input type="checkbox"/> rear door buzzer |
| <input type="checkbox"/> extra fuses | <input type="checkbox"/> fire extinguisher |
| <input type="checkbox"/> flashlight (fresh batteries) | |

| Accessibility Equipment | |
|---|--|
| <input type="checkbox"/> fully-operable wheelchair lift | |
| <input type="checkbox"/> wheelchair lift ramp | |
| <input type="checkbox"/> proper number of belts and securement devices | |
| <input type="checkbox"/> belts and securement devices in good condition | |

Checklist continued on back.

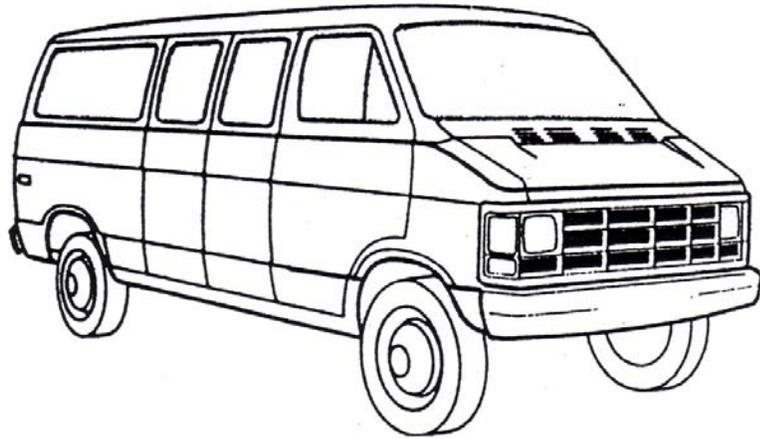
Exterior

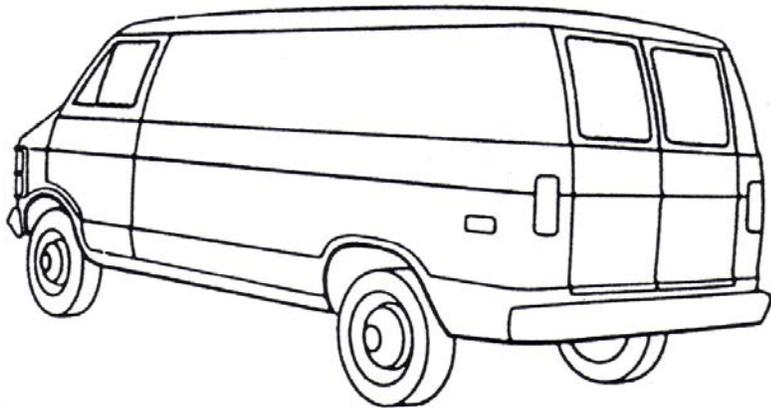
- tires
- turn signals
- headlights
- clearance lights
- tail/brake lights
- windshield wipers
- fresh body damage
- cleanliness

Carefully inspect the entire vehicle exterior.

On the illustrations below, locate and note any damage or problems using the following code:
Indicate any other damage by circling the area and then describe the damage.

X dent
~ scratch





Driver's Signature: _____

COMPREHENSIVE MAINTENANCE RECORD

A Comprehensive Maintenance Record should be kept on file for each vehicle. This record should be filled out every time any maintenance is performed on that vehicle.

Benefits of a consistently keeping a Comprehensive Maintenance Record on file:

- *provides a quick reference to the vehicle*
- *provides a complete history of repairs*
- *identifies chronic problems*
- *shows trends in mileage and fuel consumption*
- *tracks responsibility for repairs*
- *records the amount of time vehicle is not available for service*

VIIIB4. New Mexico Daily Preventive Maintenance

Daily Preventive Maintenance Schedule

Vehicle Number: _____

Date: _____

Inspector: _____

Pre-Trip Inspection:

Before each scheduled day of lift service, operate lift **minimum one complete cycle** and inspect each of the following:

- Does the lift interlock (if equipped) function as intended?
- Does the lift cargo door light (if equipped) function as intended?
- Does the lift deploy when the lift interlock is activated as intended?
- Does the lift safely clear the cargo door as the lift is deployed and stowed?
- Does the lift operate smoothly (no jerking or abnormal movement)?
- Does the lift operate at normal speed?
- Is the lift power source adequate?
- Does the roll stop(s) operate properly?
- Does the outboard roll stop latch operate properly?
- Do the handrails operate properly?
- Is the platform angle normal?
- Is lift operation quiet (no rattles, abnormal sounds, etc.)?
- Has the hand-held switch box cable been damaged?
- Do the lift control switches function properly?
- Do the lift cargo door securement devices function as intended?
- Is the manual back-up pump handle in place?
- Is the hand pump valve closed securely (tight)?
- Are the lift-posted and door-posted decals worn, missing or illegible?
- Is the lift protective padding (if equipped) in place, worn or damaged?
- Can you visually detect any lift wear, damage, misalignment, hydraulic leaks, loose bolts, broken welds or any abnormal conditions?

new 2013

Post-Trip Inspection:

Operate lift **minimum one complete cycle** and check each of the above daily pre-trip inspections **if applicable** for your daily inspection routine (outlined by your transit agency).

- Clean lift surfaces where wheelchairs travel
- Clean and lubricate key locations based on lift usage frequency and climate conditions (outlined by your transit agency). Lubrication procedures should be performed by transit agency maintenance personnel.

IX. Competitive Procurement

- Specific rules follow when Federal funds are used to purchase services, fixed facilities, rolling stock, and other items through the third-party contracts. The rules ensure that Federal funds are spent as Congress intended (obtaining the maximum value for the funds expended) and protect the Federal government from third parties' legal actions.
- *Procurement Processes.* Based on the observation of the SMR team, any rolling stock procurement is accomplished by one of the following methods.
 - The state, through a state procurement agency, handles ¹⁾ developing the specifications and request for proposal, ²⁾ evaluating the proposals, ³⁾ awarding the contract, and ⁴⁾ inspecting and accepting the vehicles.
 - Additionally, the subgrantee submits a purchase order and inspects and accepts vehicles.
 - The state provides the funding to the subgrantee, and the subgrantee develops specifications and a request for proposal, evaluates the proposals, awards the contract, and inspects and accepts vehicles.
 - A state or subgrantee can piggyback off an existing FTA funded procurement contract from another state or subgrantee.
- Regardless of the entity that awards a contract, the state, as the FTA grantee, will be held responsible for meeting all FTA procurement requirements.
- *Monitoring of Procurement Development.* In any of the above processes, the state must monitor closely each step to ensure procurements are accomplished per FTA regulations.
- Where a state handles all aspects of procurement, it must have controls to ensure the procurement document is unchanged once it leaves the state's public transit office.
 - For example, one state completes a procurement package and forwards it to the state's central procurement office. At some point in that agency's process, the document is altered; some Federally required clauses are removed. The contract is awarded without the transit office's final approval, and no copies of the executed procurement are provided to the transit office.
 - Where a state transit office provides procurement document(s) to another state agency, a procedure needs to be in place to ensure the state transit office has final approval prior to awarding and signing the contract.
- Where a state allows the subgrantee to award the contract, the state must have a monitoring process in place to ensure that the contract awarded by the subgrantee complies with all FTA requirements. This monitoring can parallel the process used during an SMR. The state should review all contracts to ensure compliance with FTA requirements.

- Where a state or subgrantee is piggybacking off an existing contract, the state must treat this procurement action as if the state initiated the development of specification and request for proposal, evaluation of bids, and awarding of contract. The state buying from an existing contract developed by different grantee or subgrantee must have in its possession all required documentation that supports any FTA assisted procurement.
- *Federally Required Clauses.* In general, most deficiencies in this area relate to missing Federal clauses and certifications; it is facile to correct these issues.
 - During every calendar year or state fiscal year, the state can visit the FTA procurement best practices website and print a current copy of the required Federal clauses and certifications for FTA contracts.
 - Several states have created a checklist of Federally required clauses and certifications for reviewing procurement documents for completeness prior to sending them to vendors.
- *Bus Testing Report/ FMVSS.* Prior to the disbursement of Federal funds, the state or subgrantee must have ¹⁾ the bus testing, ²⁾ FMVSS certifications, and ³⁾ a copy of the bus testing report for the vehicles procured. When the makes and models of vehicles to be procured during the year are known, the appropriate bus testing reports should be in the state’s possession prior to disbursing funds.

IXA. Best Practice(s)

IXA1. Illinois Federal Required Clauses

Most deficiencies in this area relate to the lack of some or all of the Federally required clauses in FTA funded procurements. A checklist or a review of the Federally required clauses in the *FTA Procurement Best Practices Manual* should allow state’s Federally funded procurement to contain all of the required clauses. Illinois Department of Transportation has developed a comprehensive checklist for required Federal clauses.

| | |
|--|--|
| Reference | Point of Contact |
| * <i>Third Party Contract Clauses</i> | David Spacek 312-793-2154 spacekdt@nt.dot.state.il.us |
| * <i>Federal Transit Administration, Best Practices Procurement Manual, Appendix A.1</i> www.fta.dot.gov/library/admin/BPPM/appA1.html | |

IXA2. FTA Piggyback Procurements

A state that piggybacks off another state must obtain a copy of the original contract and ensure all Federal requirements have been met prior to procuring vehicles. To assist such a state, FTA has developed a worksheet to ensure all Federal requirements are met.

Reference

**Piggybacking Worksheet, Appendix B. 16*

www.fta.dot.gov/library/admin/BPPM/appB16.html

IXB. Reference Document(s)

IXB1. Illinois Third Party Contract Clauses

| Clause | TYPE OF CONTRACT | | | | |
|---|---------------------------|----------------------------------|---------------------|---------------------|---|
| | Professional Services/A&E | Operating/ Admin. (Section 5311) | Rolling Stock (CVP) | Rolling Stock (CMS) | Construction/ Materials and Supplies (5309 capital) |
| No Federal government Obligations to third-parties by use of disclaimer | | | | | |
| Program fraud and false or fraudulent statements and related acts | | | | | |
| Access to records | | | | | |
| Federal Changes | | | | | |
| Civil Rights (EEO, Title VI, ADA) | | | | | |
| Termination Provisions | | | | | |
| Disadvantaged Business Ent. (DBE) | | | | | |
| Incorporation of FTA terms | | | | | |
| Debarment and Suspension | | | | | |
| Buy America | | | | | |
| Provision for resolution of disputes, breaches, or other litigation | | | | | |
| Lobbing | | | | | |
| Clean Air | | | | | |
| Clean Water | | | | | |
| Cargo Preference | | | | | |
| Fly America | | | | | |
| Contract Work Hours & Safety Standards Act | | | | | |
| Copeland Anti-Kickback Act | | | | | |
| Bonding | | | | | |
| Seismic Safety | | | | | |
| Transit Employees Protective Arrangements | | | | | |
| Charter Bus Operations | | | | | |
| School Bus Operations | | | | | |
| Alcohol Misuse and Testing | | | | | |
| Patent Right | | | | | |
| Rights in Data and Copyrights Requirements | | | | | |
| Energy Conservation | | | | | |
| Recycled Products | | | | | |
| Conformance with ITS National Architecture | | | | | |
| ADA Access | | | | | |
| Notification of Federal Participation | | | | | |

FEDERAL TRANSIT ADMINISTRATION

BEST PRACTICES PROCUREMENT MANUAL

TABLE OF CONTENTS (Appendix A - Governing Documents)

A.1 - Federally Required and Other Model Contract Clauses

1. Fly America Requirements
2. Buy America Requirements
3. Charter Bus and School Bus Requirements
4. Cargo Preference Requirements
5. Seismic Safety Requirements
6. Energy Conservation Requirements
7. Clean Water Requirements
8. Bus Testing
9. Pre-Award and Post Delivery Audit Requirements
10. Lobbying
11. Access to Records and Reports
12. Federal Changes
13. Bonding Requirements
14. Clean Air
15. Recycled Products
16. Davis-Bacon and Copeland Anti-Kickback Acts
17. Contract Work Hours and Safety Standards Act
18. [Reserved]
19. No Government Obligation to Third Parties
20. Program Fraud and False or Fraudulent Statements and Related Acts
21. Termination
22. Government-wide Debarment and Suspension (Nonprocurement)
23. Privacy Act
24. Civil Rights Requirements
25. Breaches and Dispute Resolution
26. Patent and Rights in Data
27. Transit Employee Protective Agreements
28. Disadvantaged Business Enterprises (DBE)
29. [Reserved]
30. Incorporation of Federal Transit Administration (FTA) Terms
31. Drug and Alcohol Testing

1. FLY AMERICA REQUIREMENTS

**49 U.S.C. §40118
41 CFR Part 301-10**

Applicability to Contracts

<http://www.fta.dot.gov/library/admin/BPPM/appA1.html>

2/1/2005

IXB3. FTA Piggybacking Worksheet

Appendix B.16

PIGGYBACKING WORKSHEET

Definition: *Piggybacking is the post-award use of a contractual document/process that allows someone who was not contemplated in the original procurement to purchase the same supplies/equipment through that original document/process.* ("FTA Dear Colleague" letter, October 1, 1998).

In order to assist in the performance of your review, to determine if a situation exists where you may be able to participate in the piggybacking (assignment) of an existing agreement, the following considerations are provided. Ensure that your final file includes documentation substantiating your determination.

| WORKSHEET | YES | NO |
|---|-----|----|
| 1. Have you obtained a copy of the contract and the solicitation document, including the specifications and any Buy America Pre-award or Post delivery audits? | | |
| 2. Does the solicitation and contract contain an express "assignability" clause that provides for the assignment of all or part of the specified deliverables? | | |
| 3. Did the Contractor submit the "certifications" required by Federal regulations? See BPPM Section 4.3.3.2. | | |
| 4. Does the contract contain the clauses required by Federal regulations? See BPPM Appendix A1. | | |
| 5. Were the piggybacking quantities included in the original solicitation; i.e., were they in the original bid and were they evaluated as part of the contract award decision? | | |
| 6. If this is an indefinite quantity contract, did the original solicitation and resultant contract contain both a minimum and maximum quantity, and did these represent the reasonably foreseeable needs of the parties to the contract? | | |
| 7. If this piggybacking action represents the exercise of an option in the contract, is the option provision still valid or has it expired? | | |
| 8. Does your State law allow for the procedures used by the original contracting agency: e.g., negotiations vs. sealed bids? | | |
| 9. Was a cost or price analysis performed by the original contracting agency documenting the reasonableness of the price? Obtain a copy for your files. | | |
| | | |

| | | |
|---|--|--|
| 10. Does the contract term comply with the five-year term limit established by FTA? | | |
| 11. Was there a proper evaluation of the bids or proposals? Include a copy of the analysis in your files. | | |
| 12. If you will require changes to the vehicles (deliverables), are they "within the scope" of the contract or are they "cardinal changes"? See BPPM Section 9.2.1. | | |

Note: This worksheet is based upon the policies and guidance expressed in (a) the FTA Administrator's "Dear Colleague" letter of October 1, 1998, (b) the Best Practices Procurement Manual, Section 6.3.3-Joint Procurements of Rolling Stock and "Piggybacking," and (c) FTA Circular 4220.1E.

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 PROCUREMENT LABORATORY**

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X. Buy America

- Per *Buy America Law* of 1933, as amended, Federal funds can only obligate to FTA funded projects that use steel, iron, and manufactured products from the United States, unless subject to a general waiver. Rolling stock that has 60% or more domestic content and final assembly in the United States satisfies this requirement.
- *Required Documentation.* The most common deficiency noted in previous reviews has been the lack of required Buy America documentation. Whether a state or subgrantee is directly procuring or piggybacking off an existing contract, the state must obtain the following documentation and assurance.
 - *Buy America Certification.* As part of the request for proposal process, a state or subgrantee must request a Buy America Certification from the vendor. If the state or subgrantee receives a vendor bid package without the required certification, they should take immediate steps to obtain the certification or eliminate it from the bid process and notify the vendor.
 - *Pre Award.* In order to ensure that the Buy America provisions are sufficient, a vendor must provide a list of components with their origins to the state or subgrantee that procures the materials. This list of material needs to demonstrate that the domestic components equal 60% or greater of the total.
 - The state or subgrantee, at minimum, should attempt to verify the major components listed by the vendor by using the Internet, interviewing on-site inspector, or contacting the manufacturers. The state or subgrantee should have a process that allows them to verify the components' origins.
 - If a state or a subgrantee is procuring more than 10 units of rolling stock in a single procurement, the state or subgrantee must have an in-plant inspector present during the manufacturing.
 - *Post Delivery Inspection of Final Assembly.* Upon delivery of each rolling stock unit, the state or subgrantee must check both the vehicle identification number (VIN), displayed on the driver's side of the dashboard close to the windshield, and the manufacturers sticker, located on the driver's door. The code for US assembly must appear in both locations. If not, the units should not be accepted.
 - In a recent SMR, a state accepted all units in the delivery after checking one VIN on a single vehicle. Not all units were assembled in the US. Therefore, the process for verifying the final assembly point should be documented as a checklist or procedures to be retained in the procurement folder.

XI. Debarment and Suspension

- Any vendor who has been debarred or suspended from participating in Federal procurements cannot participate in any FTA contracts, including using the Federal funds to procure facilities, equipment, or services.
- Whether a state or subgrantee is directly procuring or piggybacking off an existing contract, the state must obtain and retain the proper documentation.
- The most common deficiency noted in previous reviews has been the lack of the Debarment and Suspension Certification.
- *Debarment and Suspension Certification.* As part of the request for proposal process, a state or subgrantee must request a Debarment and Suspension Certification from the vendor. If the state or subgrantee receives a vendor bid package without the required certification, they should take immediate steps to obtain the certification or eliminate it from the bid process and notify the vendor.

XII. Restrictions on Lobbying

- If a grantee expends more than \$100,000 of non-Federal funds, the grantee must complete an LLL form, submit it to the FTA, and retain a copy on file.
- The most common deficiency noted in previous reviews has been the lack of the Lobbying Certification.
- *Lobbying Certification.* As part of the request for proposal process, a state or subgrantee must request a Lobbying Certification from the vendor. If the state or subgrantee receives a vendor bid package without the required certification, they should take immediate steps to obtain the certification or eliminate it from the bid process and notify the vendor.

XIII. Planning and Coordination

- The state is responsible for developing the Statewide Transportation Improvement Program (STIP).
- A STIP must list the amount of Section 5310 and 5311 assistance that the state is planning to request from FTA.
- The state must ensure its Section 5310 projects, recommended for funding, are listed in the respective Metropolitan Planning Organization Transportation Improvement Program.
- The state must ensure that public meetings regarding a STIP are held in ADA accessible locations.

XIV. Transportation Services for Individuals with Disabilities

- The state needs to ensure its subgrantees providing fixed route service comply with complimentary paratransit service requirements.
- The state needs to monitor its subgrantees for their written policies that address the requirements for transporting personal care attendants, portable oxygen tanks, and service animals.
- Facilities funded with FTA assistance and constructed or renovated since August 1999 must meet ADA design standards.

XIVA. Best Practice(s)

XIVA1. Utah Compliance with the Americans with Disabilities Act

Although all transit systems strive to ensure their equal treatment to all employees and customers, the best practice is to have a written policy that addresses the *Compliance with the Americans with Disabilities Act*. Park City, Utah, a Section 5311 funded subgrantee has developed such a written policy.

| | |
|--|---|
| Reference <i>*Policies & Procedures to Ensure Compliance with the Americans with Disabilities Act</i> | Point of Contact Leone Harwood 801-964-4508 lhardwood@utah.gov |
|--|---|

XIVB. Reference Document(s)

XIVB1. Utah Policies and Procedures for Compliance with the Americans with Disabilities Act

PARK CITY TRANSIT DEPARTMENT POLICIES & PROCEDURES TO ENSURE COMPLIANCE WITH THE AMERICANS WITH DISABILITIES ACT

1. PURPOSE

Federal Transit Administration (FTA) grantees are required to comply with Title I and Title II of the Americans with Disabilities Act (ADA) of 1990 which states that no entity will 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 complementary paratransit service. The Park City Transit (PCT) Department herein establishes its Policy to comply with the requirements of the ADA and its implementing regulations at 49 CFR Parts 27, 37 and 38.

2. TRANSPORTATION FACILITY AND VEHICLE ACCESSIBILITY

PCT will construct any new facility to be used in providing designated public transportation services so that the facility is readily accessible to and usable by individuals with disabilities. PCT will also ensure that all vehicles procured or leased will be readily accessible to and usable by individuals with disabilities.

3. PARATRANSIT AS A COMPLEMENT TO FIXED-ROUTE SERVICE

PCT shall provide paratransit service to individuals with disabilities that is comparable to the level of service provided to individuals without disabilities who use the fixed-route service.

4. TYPE OF ADA PARATRANSIT SERVICE

PCT paratransit service is a door-to-door service. Drivers may assist passengers to and from their residence and/or destination point. No PCT vehicle operator will enter a private residence or a public facility in order to provide this service. PCT vehicle operators will assist ADA paratransit eligible individuals in boarding and disembarking PCT vehicles, and will assist with that cargo (e.g., baggage, bags of groceries, etc.) that may be reasonably carried aboard by one person.

5. ELEGIBILITY STANDARDS

The following individuals will be considered ADA paratransit eligible:

Any individual with a disability who is unable, as the result of a physical or mental impairment (including a vision impairment), and without the assistance of another individual (except the operator of a wheelchair lift or other boarding assistance device), to board, ride, or disembark from any vehicle on the fixed-route system which is readily accessible to and usable by individuals with disabilities;

Any individual with a disability who needs the assistance of a wheelchair lift or other boarding assistance device and is able, with such assistance, to board, ride and disembark from any vehicle which is readily accessible to and usable by individuals with disabilities if the individual wants to travel on a route on the system during the hours of operation of the system at a time, or within a reasonable period of such time, when such a vehicle is not being used to provide designated public transportation on the route (e.g., when a lift is inoperable on the fixed-route system); and/or

Any individual with a disability who has a specific impairment-related condition that prevents the individual from traveling to a boarding location or from a disembarking location of the fixed-route service.

One other individual accompanying an ADA paratransit eligible individual will be provided service if 1) the accompanying individual is acting as a personal assistant; 2) is a family member or friend.

In order to be considered as “accompanying” the eligible individual for purposes of this Policy, the other individuals will have the same origin and destination as the eligible individual.

6. ELIGIBILITY DETERMINATION PROCESS

All information about the eligibility process, materials necessary to apply for eligibility, and notices and determinations concerning eligibility will be made available in accessible formats. If a request for a format not currently offered by the PCT is made, PCT staff will work with local accessibility groups to produce the requested media.

PCT staff will review completed applications and determine eligibility. PCT may utilize a third party physician or physical therapist to assist in eligibility determinations. If, by a date twenty-one (21) calendar days following submission of a complete application, PCT staff has not made a determination of eligibility, the applicant will be treated as eligible and provided service until and unless PCT denies the application.

PCT’s determination concerning eligibility will be in writing. If the determination is that the individual is ineligible, the determination will state the reason(s) for the finding.

PCT may require re-certification of the eligibility of ADA paratransit eligible individuals at reasonable intervals, or as needed.

Administrative Appeals definitions:

- a. *ADA Appeals Board*: The City Manager or his/her designee, an attorney for the City Attorney’s Office and a Manager other than the Public Works Director.

- b. *Complaint:* A Complaint shall be defined as a written assertion that any person, individually or as a member of a specific class of persons, has been subject to discrimination on the basis of a disability in connection to the provision of transportation service.
- c. *ADA Officer:* An employee of Park City designated by the City Manager to process Complaints according to procedure specified in this policy.
- d. *Assistant Public Works Director:* The Assistant Public Works Director within the Park City Public Works Department.

Administrative Appeals Process:

1. A Complaint must be filed within thirty (30) calendar days of the alleged wrong doing with the Park City Municipal Corporation Legal Department. Any individual needing assistance with writing the Complaint, may ask the Legal Department for such assistance.
2. The Complaint shall be forwarded to the ADA Officer, who shall be appointed by the City Manager. The ADA Officer shall investigate the Complaint and prepare a written response, including any remedial or enforcement action, within thirty (30) calendar days and forward the response to the Complainant and Assistant Public Works Director.
3. Board Appeal Level:

In all cases where the Complainant or Assistant Public Works Director disagrees with a decision of the ADA Officer, the Complainant or Assistant Public Works Director may appeal the decision of the ADA Officer to the Appeals Board.

The appeal shall be taken by filing written notice of the appeal with the City Recorder within ten (10) calendar days after the decision of the ADA Officer. Upon the filing of the appeal, the ADA Appeals Board shall commence its investigation, take and receive evidence, and fully hear and determine the matter. The Complainant and Assistant Public Works Director shall be entitled to appear in person and to be represented by counsel, to have a hearing, to confront the witness whose testimony is to be considered, and to examine the evidence to be considered by the appeals board. The ADA Appeals Board's decision shall be made to the Complainant and the Assistant Public Works Director in writing.

State and Federal Appeals Process:

In The event the ADA Appeals Board upholds the ADA Officer's decision, the Complainant may file the Complaint with the Utah Department of Transportation, the Federal Department of Transportation, or the Federal Transit Administration Offices.

There are certain circumstances under which an individual, otherwise eligible for ADA paratransit services, may be denied those services, these circumstances are:

- A person whose behavior threatens or has threatened the safety of paratransit personnel or other customers,
- Persons who demonstrate a consistent pattern of missing scheduled paratransit trips, “no-shows”, may lose their eligibility.

Such temporary suspensions of eligibility, as well as permanent loss of eligibility because of violent or threatening behavior, may be appealed through the above appeals process. In the case of temporary suspension due to “no-shows”, suspension of service will not begin until the appeals process is complete.

7. SUSPENSION OF SERVICE/NO-SHOW POLICY

PCT will suspend the provision of service to ADA paratransit eligible individuals who establish a pattern or practice of missing scheduled trips. A “no-show” will be added to your record when the following situations occur:

- Not being at the scheduled pick-up point within 5 minutes after the bus arrives.
- Canceling a ride less than 90 minutes before the scheduled pick-up time.
- Not canceling a scheduled pick-up time.
- Choosing not to ride after the vehicle arrives for the pick up.

When a no-show occurs, the PCT vehicle operator will notify the PCT dispatcher. A notation will be made on the individual’s database record. If a second no-show occurs within a 30-day period, PCT will make a reasonable attempt to contact the individual, explain the no-show policy and attempt to identify ways for the individual to comply with the policy. A third no-show within a 30-day period will result in a six-month probation. PCT staff will mail a letter to the individual explaining that the individual’s ADA paratransit eligibility has been placed on probation, and will attempt to identify ways to avoid further sanctions.

If, during the probation period, the person has 3 more no-shows, the individual will be notified by Registered Mail that their ADA paratransit eligibility has been suspended. Eligibility will be suspended for one week for the first violation. If second and subsequent violations occur during this probationary period the individual will be suspended for two months. If more than one year elapses between any two stages of violation, the progression of suspensions would start from the first step.

The suspension of service will become effective 7 days from the date the Registered letter of notification is mailed in order to allow the individual to appeal the suspension.

The notification of suspension will include the specific reasons for the suspension. The rider will have fifteen days from the receipt of the letter to appeal the suspension

decision by following the appeal process described in the letter. If an appeal is requested, it will be scheduled for ADA Appeals Board review within 30 days of the request, and the suspension of service will be delayed until the appeal is heard. If the no-shows are determined not to be the fault of the individual, service eligibility will be restored. Individuals will be notified by certified letter of the decision regarding the appeal within seven days of the ADA Appeals Board meeting and this notification will state the new date on which the suspension, if up-held, will begin.

The individual requesting the appeal may bring other persons to represent him/her including a lawyer, independent living or rehabilitation counselor or other professional to testify on his/her behalf. A sign interpreter will be provided if requested, and an attempt will be made to provide language interpreters.

8. VISITORS

Visitors to our service district may be asked for certification of eligibility from their resident service district. If an individual does not have certification from their resident service district but makes a claim of eligibility, the claim will be honored on a presumption of eligibility. If the visitor has no certification of eligibility and their length of stay exceeds 21 days, we may require the individual to obtain local certification.

9. SERVICE AREA

PCT's paratransit service area shall include all areas within $\frac{3}{4}$ mile of any PCT fixed bus route that is operated by PCT.

10. RESPONSE TIME

PCT will schedule and provide paratransit service to any ADA paratransit eligible person at any requested time PCT's fixed-route buses are in operation on a particular day in response to a request for service made the previous service day and up to 7 days in advance. Reservation agents will take reservations from 8:00 a.m. to 5:00 p.m. on Monday through Friday, and by mechanical means on Saturday and Sunday from 8:00 a.m. until 5:00 p.m. for Sunday and Monday trips only.

PCT will make an effort to schedule rides for ADA eligible persons at the requested time however, rides may be scheduled within one hour before or after the requested time. PCT is considered on time if the vehicle arrives at the scheduled pick-up point between 15 minutes before or 15 minutes after the scheduled time. PCT will wait up to 5 minutes for the scheduled rider to board.

11. ADDITIONAL SERVICES

Same- Day Service-

From 8:00 a.m. to 5:00 p.m., Monday through Friday, PCT paratransit drivers can be reached on a cell phone to arrange same-day rides. This service is available only for same-day rides that occur between 8:00 a.m. and 5:00 p.m. Monday through Friday and are only on a space/time available basis, for the convenience of eligible riders.

Subscription Service –

Subscription service is the provision of repetitive trips over an extended period of time. PCT will allow ADA eligible riders to schedule rides for up to a 6-month period. However, PCT will not schedule in a subscription context more than fifty percent of the possible/potential trips during any two-hour window.

XV. Civil Rights

- The State Department of Transportation needs to submit their DBE goals, Title VI, and EEO plans and reporting to the USDOT for a review on time, so that grants are not held up for approval.
- The state is required to list minority organizations for Title VI/Section 5310 purposes.

XVI. FTA Drug and Alcohol Program/ Drug-Free Workplace

- *FTA Drug and Alcohol Program.* Some states are direct providers of service. Therefore, they are responsible for having a drug and alcohol program that complies with Federal requirements. A state usually has an assigned division that is responsible for ensuring compliance.
 - Through proper monitoring, a state should ensure its subgrantees are also complying with this requirement. This monitoring requirement applies to any third party contractors with safety sensitive employees, such as operators providing drivers, mechanics, etc.
 - The state needs to ensure that ¹⁾ testing results match the required percentage, ²⁾ testing facilities are currently certified, ³⁾ MIS reports are available upon request, and ⁴⁾ testing reports are kept in secure areas.

- *Drug-Free Workplace.* A state must ensure the drug-free workplace policy is current and available to employees. Some states provide it to new employees in an employee manual or bulletin boards where other similar policy statements are also available.

XVII. Charter Bus Protections

- FTA prohibits the use of Federally funded equipment or facilities for supporting charter bus operations, unless covered by at least 1 of 7 specific exceptions.
 1. No willing and able private operations
 2. Provision of FTA-funded vehicles or services to private operators to satisfy a capacity need or a need for assessable equipment
 3. In a non-urbanized area, a hardship experienced by willing and able operators due to minimum duration or distance requirements between charter origin and operator location
 4. Special events where private operators are incapable of providing the service
 5. Contract with a private, non-profit organization, or governmental entity
 - Where in the trip, a majority is disabled persons, the organization is a social service agency in receipt of funds (primarily HHS) as noted in 49 CFR Part 604, Appendix A, or an organization is eligible to receive public welfare assistance funds
 6. In a non-urbanized area, contract with a government entity or private, non-profit organization that certifies that more than 50 percent of passenger is elderly
 7. Formal agreement with all willing and able private charter operators
- *Monitoring.* A state must monitor its subgrantees to ensure that no subgrantees support charter bus operations unless covered by at least 1 of the 7 exceptions. The state should obtain schedules periodically or conduct a random review of subgrantees' operations to identify vehicles or route markings that could indicate violations of the rules.

XVIII. School Bus

- FTA prohibits grantees and subgrantees from providing exclusive school bus service and using Federally funded equipment or facilities for supporting school bus operations. However, school bus tripper service is an exception; to qualify as a tripper service, the transportation must fit 3 criteria.
 1. Service, although designed to accommodate school children and personnel, must be open to the public and advertised as such.
 2. Service must establish regular routes and regular stops.
 3. School signs cannot be displayed.

- *Monitoring.* A state must monitor its subgrantees to ensure that no FTA funded equipment or facilities are used for school bus operations.

Conclusion

The SMR team has developed this Handbook based on their experiences of observing over 30 state agencies, interviewing state-agency staff, and reviewing state documents, processes, and procedures required for meeting FTA regulations. As a result, the team has provided corrective actions and technical assistance, and identified best practices to assist many state agencies to reduce and resolve deficiencies in their programs. The SMR team encourages state agencies to reach beyond the FTA minimum requirements and adapt and utilize the best practices to acquire an effective and standardized approach for state management. This Handbook is subject to change and will be updated periodically through future SMRs.