New Grantee Workshop

Federal Transit Administration

U.S. Department of Transportation

Washington, DC
Workshop Objectives

• Provide an Overview of . . .
  – FTA and its Programs
  – Grant Application Process
  – Grant Management
  – FTA Resources
  – Triennial Review Process
• Answer Your Questions
Overview of FTA
FTA Grant Programs

- Section 5307 – Urbanized Area Formula Grants
- Section 5311 – Other-than-Urbanized Formula Program/Tribal Transit Program
- Section 5316 – Job Access and Reverse Commute
- Section 5317 – New Freedom Formula Program
- Section 5310 – Elderly and Disabled Formula Grants
- Section 5309 – New Starts and Capital Grants
- Section 5320 – Transit in the Parks Discretionary
Section 5307 – Urbanized Area Formula Grants

• Grants awarded to Designated Recipients
• Funds (may include Section 5340) available the year apportioned plus 3 years
• Used for public transportation activities
  – Planning projects
  – Capital projects
  – Operating expenses (small urban areas only)
Section 5307 – Urbanized Area Formula Grants

- **Funding Ratios**
  - Capital: 80% federal and 20% local
  - CAA Amendments Compliance and ADA
    - Equipment only: 90/10
    - Rolling Stock with equipment: 83/17
  - Bicycle-to-transit access: 90/10
  - Transit enhancement: 80/20
  - Operating Assistance: 50/50
  - Security: 80/20
Section 5307 – Urbanized Area Formula Grants

• **Local Share** can include:
  - Cash (or in-kind contribution)
  - Non-Federal funds
  - Certain Federal funds (e.g., non-DOT funds)
  - Non-farebox revenues from transit operations (e.g., advertising and concession revenues)
  - Real property integral to the project
Section 5309 – New Starts and Capital Grants Program

- Grants awarded as earmarks
- Funds available the year apportioned plus 2 years
- Used for public transportation capital activities
  - New Starts/Small Starts
  - Bus Acquisitions/Facilities Construction and Renovations
Section 5309 – New Starts and Capital Grants Program

- **Funding Ratios**
  - New Starts: varies depending on project size and other factors
  - Small Starts
  - Bus Acquisitions / Facilities Projects: 80% federal and 20% local
Section 5309 – New Starts and Capital Grants Program

- Local Share can include:
  - Cash (or in-kind contribution)
  - Non-Federal funds
  - Certain Federal funds (e.g., non-DOT funds)
  - Non-farebox revenues from transit operations (e.g., advertising and concession revenues)
  - Real property integral to the project
Oversight Activities

- **Annual Grantee Assessment**
  - Performed by the Regional Offices
  - Determines Level of Oversight

- **Assessment Areas**
  - Grant Administration
  - Grantee Profile
  - Property Management
  - Financial Management
  - Procurement Management
Oversight Activities

- Assessment Areas (continued)
  - Technology Deployment
  - Safety and Security
  - Planning
  - Civil Rights

- Rating Determines Level of Oversight
  - Low, Medium or High
  - Specialty Reviews May Result
Oversight Activities

• **General Reviews**
  – **Triennial Review**
    • Mandated by Law
    • Covers Broad Range of Requirements
  – **State Management Review**
    • Conducted on States only
    • Used to determine States compliance with FTA Requirements

• **Program Specific Reviews**
  – **Procurement System**
  – **Financial Management**
Oversight Activities

- Safety and Security
  - Drug and Alcohol Program
  - Security – Readiness Assessment
  - State Safety
- Civil Rights
  - Americans with Disabilities Act (ADA)
    - Key Station
    - Fixed Route
    - Complementary Paratransit
  - Disadvantaged Business Enterprise
  - Equal Employment Opportunity (EEO)
  - Title VI
Oversight Activities

- Project Level Reviews
  - Project Management Oversight
  - Financial Capacity Assessments
Planning for a Grant Project
Grant Program Prerequisites

- Legal Authority
- Authorizing Resolution
- Certifications and Assurances
- Identify Agency Needs
- Planning Processes
  - Local Transportation Improvement Plan
  - Statewide Transportation Improvement Plan
  - Unified Planning Work Program
Grant Program Prerequisites

• Environmental Analysis
  – Categorical Exclusions
  – Environmental Assessment
  – Environmental Impact Statements

• Section 106 Historic Properties and Parklands . . . Coordination with historic preservation officer (state & tribal)

• Other Environmental Requirements May Also Apply
TEAM-Web

• **Transportation Electronic Award and Management System**
  – File Certifications and Assurances
  – Apply for Grants
  – Manage Grants: Financial and Progress reporting
  – Review Grant Status
Federal Transit Administration
United States Department of Transportation

Choose one:

TEAM-Web
TEAM Reports

Regions | Links | News | Staff

[If you're having trouble logging into TEAM-Web, Click Here]
Welcome to TEAM-Web!

LOGIN

User Name: [blank]
Password: [blank]
Database: Production

[ ] Change Password.

Login  Reset

SECURITY NOTICE

This web site is part of a Federal computer system used to accomplish Federal functions. The Department of Transportation uses software programs to monitor this web site for security purposes to ensure it remains available to all users and to protect information in the system. By accessing this web site, you are expressly consenting to these monitoring activities. Unauthorized attempts to defeat or circumvent security features, to use the system for other than intended purposes, to deny service to authorized users, to access, obtain, alter, damage, or destroy information, or otherwise to interfere with the system or its operation is prohibited. Evidence of such acts may be disclosed to law enforcement authorities and result in criminal prosecution under the Computer Fraud and Abuse Act of 1984, as amended codified at section 1030 of Title 18 of the United States Code, or other applicable criminal laws.
Notices:

FY 2006 Certifications and Assurances are now available in TEAM.

NOTICE:

The final FTA Account Classification Code report (Final FTA8011) for FY2005 has been posted on the TEAM reports site. This report indicates the valid codes that are available for CARRYOVER funds in FY2006.

NOTICE:

The Financial Status Report and Milestone Progress Report screens are available. Any user that needs to file a report during Year End Close can do so.

NOTICE:

As you log in to the FTA.
1. Select applicable certifications

2. Enter PIN of Authorized Official and Attorney
Grant Application Process
Sample Agency Description

• ABC Transit
  – Population: 85,000
  – Number of Vehicles: 50 total, 42 peak
  – Type of Agency: Transit Authority

• Agency Needs
  – Rolling Stock (Bus) Purchase
  – Preventive Maintenance
  – Planning
ABC’s Grant Projects & Budgets

- Available 5307 Funds: $858,750
- Rolling Stock (Bus) Purchase
  - Expansion: two 40-foot buses
  - Total Cost - $625,000; FTA Amount - $518,750
- Preventive Maintenance
  - Total Cost - $375,000; FTA Amount - $300,000
- Planning
  - Total Cost - $50,000; FTA Amount - $40,000
Grant Application

- **FTA Circular 9030.1C**
- **Application Process – TEAM-Web**
  - Project Information
  - Budget
  - Milestones
  - Environmental Findings
  - Fleet Status
  - Security
  - Description for Earmarks
  - FTA Review
1. Select Create New Project

2. Enter Project Number, Section, Brief Description and Program Date

3. Select Environmental Classification

4. Click here to enter more detailed description
Grant funds to be used to purchase two, 40-foot transit buses, for FY06 preventive maintenance expenses, and planning to complete FY06 through FY11 Short Range Transit Plan. Funding from the FY06 apportionment.

5. Click OK when finished
Under Modify Application, select Project Information
1. Edit fields as necessary

2. Click on Control Totals tab
3. Enter control totals

<table>
<thead>
<tr>
<th>Recipient</th>
<th>ABC Transit</th>
</tr>
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<tbody>
<tr>
<td>Project</td>
<td>FY06 5307 FUN</td>
</tr>
<tr>
<td>Gross Project Cost</td>
<td>$1,050,000.00</td>
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<tr>
<td>Adjustment</td>
<td>$0.00</td>
</tr>
<tr>
<td>Total Eligible Cost</td>
<td>$1,050,000.00</td>
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<tr>
<td>Total FTA Amount</td>
<td>$958,750.00</td>
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<tr>
<td>Total State Amount</td>
<td>$95,625.00</td>
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<td>Other Federal Amount</td>
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<tr>
<td>Total Local Amount</td>
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<tr>
<td>Special Cond Amount</td>
<td>$0.00</td>
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</table>
4. Select the “Security” tab
5. Indicate whether one percent of 5307 funds will be spent for security purposes.

6. Click OK when finished.
Note:
For Earmarks (Section 5309 grants), grantees should enter relevant information for their Congressional representatives under this tab.
Click here to modify project budget

Control Totals appear here
1. Click “ADD” to begin a new budget
2. Use the Details icon to add Scopes and ALIs
3. Budgets are added by Scope and Activity
4. Additional Scopes and Activities can be added.
5. Enter amounts for each activity (FTA and Total Eligible)
6. Click OK when finished
1. Enter Milestones
2. Enter Detailed Description
3. Enter other Milestones and Descriptions
4. Click OK when finished
Select Environmental Findings
1. Click the "ADD" button to begin

2. Select an environmental classification and type

3. Click OK when finished
Select Fleet Status
1. Enter Fleet Status

2. Click OK when finished
Mark “Ready for Proj. #” and click OK.
## Project Query Results

<table>
<thead>
<tr>
<th>Project Number</th>
<th>Description</th>
<th>Rev.</th>
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<tbody>
<tr>
<td>FY06 5307 FUNDS</td>
<td>FY06 Rolling Stock, PM and Planning</td>
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## Project Details

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<tr>
<th>Project Number: FY06 5307 FUNDS</th>
<th>Cost Center: 660-00</th>
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<tbody>
<tr>
<td>Application Type: Electronic</td>
<td>Submitted:</td>
</tr>
<tr>
<td>Entered: 1/7/2006</td>
<td>Awarded:</td>
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<tr>
<td>Recip. Contact:</td>
<td>Executed:</td>
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<tr>
<td>FTA Manager:</td>
<td>FTA Amount: $858,750.00</td>
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<tr>
<td>Status: Pending Submission/App. in Development</td>
<td>Total Elig. Cost: $1,050,000.00</td>
</tr>
<tr>
<td>Description: FY06 Rolling Stock, PM and Planning</td>
<td></td>
</tr>
<tr>
<td>Recipient: 1234 ABC Transit</td>
<td></td>
</tr>
</tbody>
</table>
Grant Management

- **FTA Circular 5010.1C**
  - Financial Status Reports (FSR’s)
  - Milestone Progress Reports (MPR’s)
  - Budget Revisions
  - Grant Closeout

- **Activities Performed in the TEAM System**
Financial Status Reports

- Due quarterly for grantees in urbanized areas with 200,000 or more in population
- Due annually for grantees in urbanized areas under 200,000 in population
- Due 30 days after end of the previous quarter or fiscal year
Financial Status Reports

- Report on accrual basis
- Include all funds expended for previous quarter, as well as unliquidated obligations
- Total outlays—should be actual costs, not budgeted
Financial Status Reports

- Unliquidated obligations – encumbrance against the grant for which no cash outlay has been recorded

- Examples:
  - Signed contract-no delivery of goods
  - Contract for construction services not yet rendered
  - Open purchase orders
1. Select Report Period

2. Select “Financial Status” tab
3. Enter outlays, cumulative amounts and unliquidated obligations

4. Select “Remarks & Comments” tab
5. Enter remarks, if necessary

6. Click OK when finished
Milestone Progress Reports

- Due quarterly for grantees in urbanized areas with 200,000 or more in population
- Due annually for grantees in urbanized areas under 200,000 in population
- Due 30 days after end of the previous quarter or fiscal year
Milestone Progress Reports

- Discuss budget or schedule changes
- Check all milestones for accuracy and make changes as necessary
- Changes in milestone dates should be annotated in the remarks field
• Annotate problems with projects—delays, cost variances, and other unforeseen events
• Annotate claims under FTA review for claims over $100,000 including status of the claims and claims settled during the quarter
• List change orders exceeding $100,000, pending or settled
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<td>0</td>
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</table>

**Milestones Status Report**

- **Recipient:** 1234 ABC Transit
- **Project:** FY06 5307 FUNDS FY06 Rolling Stock, PM and Planning
- **Amendment:**
- **Period:** FY2006, 1st Quarter
- **Frequency:** Monthly
- **Initial Submission:**
- **Final Report:** No, Not Final Report
- **Report Status:** No MS/P Report No FSR
- **Project Status:** Pending Submission

**Project Status Overview**

[Select Milestone Status]
Publish solicitation for vehicles by 4/1/06. All bids will be due by 5/15/06.

Solicitation delayed due to recent retirement of the procurement officer (1/24/06).

1. Enter Milestone progress

2. Enter revised dates

3. Click OK
ECHO Drawdowns

- **Electronic Clearinghouse Operation**
  - Process for drawing down grant funds for eligible project expenses

- **Documentation**
  - Project Expense Reports
  - Vendor Invoices
  - Check/Payment Issuance

- **Reconcile with internal accounting system and TEAM funds status**
Grant Closeouts

• FTA Circular 5010.1C outlines closeout procedures
• Final FSR in TEAM
  – Final FSR MUST match project status screen for funding.
• Final MPR in TEAM
  – Should include a discussion of each activity line item (ALI)
  – Must include a list of equipment purchased with grant funds (Over $5K)
Grant Closeouts

- Final Budget Revision in TEAM Web
  - Should reflect actual project costs
  - Request to deobligate remaining funds
- Notify Grant Manager that project is ready for closeout and has been entered in TEAM
Project Query Results

Project Number | Description
--- | ---
1234567890 | Close Out Reviewer

Project Executed: Yes
Budget Exists: Yes
Unliquidated Balance:
This Project has unliquidated funds of $6302.00. Unliquidated funds shall be deobligated in the full amount specified above.
Do you accept? YES [ ] NO [x]
Show Control Totals

Final FSR
Note: Financial Status Report is not marked "Final".

Final Milestone Report
Note: Milestone/Progress Report is not marked "Final". Some of the Milestone Progress Report actual completion dates are invalid.

Proceed to Close Out [ ] Cancel [ ]

Recipient: VIA METROPOLITAN TRANSIT AUTHORITY
Resources for Grantees
Resources for Grantees

- Triennial Review Workbook
- FTA Website / On-line Workbook
- Triennial Review Toolkit CD
- National Transit Institute (NTI) Training Courses
What is the Toolkit?

• Interactive application
• Provides a Basic Resource to:
  – Introduce new grantees to the Formula Grant program
  – Train new staff
  – Distribute information to grantees
• Complements existing FTA Guidance
Toolkit Contents

- Frequently Asked Questions
- Resources
- Reference Materials
- Workshop Workbook
- FTA Contacts
- Illustrative Examples
This toolkit is a useful resource for learning the essentials about the Federal Transit Administration’s (FTA) Section 5307, Urbanized Area Formula Grant Program. The information presented in this toolkit is updated periodically. For the most recent directions from the FTA Administrator and Program Offices, please refer to the FTA’s website [http://www.fta.dot.gov].

This toolkit provides the user with a number of tools to learn the basic requirements of FTA’s Urbanized Area Formula Grant Program. While the toolkit is useful source of information for all transit professionals, it is intended to particularly serve the needs of those involved with grants management i.e., developing grant applications or managing federally funded projects and funds.
NTI Training Courses

- Procurement
- Civil Rights
- Intelligent Transportation Systems
- Financial Management
- Safety & Security
- Human Resources
Triennial Review Process
Triennial Review

- Compliance Review of Section 5307 Recipients
- Mandated by Law
- Broad Review Covering 23 Areas
- Conducted Every Three Years
Triennial Review Process

- Conduct Desk Review
- Prepare Site Visit Agenda Package
  - Part A: Grantee Profile
  - Part B: Level of Effort
  - Part C: Documents Needed
  - Part D: Questions for the Review
- Receive Grantee Input
  - Copies of Documents
  - Written Answers to Questions
Triennial Review Process

- Prepare Draft Report
- Conduct Site Visit
- Finalize Draft Report
- Review of Draft Report
- Prepare Final Report
Triennial Review
Areas
1. Legal

- Basic Requirement
  - Grantees must be eligible and authorized to receive and dispense funds.
  - The authority to take necessary actions on the grantee’s behalf must be properly delegated and executed.
1. Legal

- Items Reviewed
  - Designated Recipient Letter
  - Authorizing Resolution
  - Delegation of Authority
  - Annual List of Certifications and Assurances (TEAM)
  - Notification of change in laws and/or litigation
1. Legal

- Typical Findings
  - Officials Lacking Requisite Authority
  - Lacking Delegation of Authority
  - No/Late Submission of Certifications and Assurances
  - Certifications and Assurances Improperly Completed
2. Financial

• Basic Requirement
Grantees must demonstrate ability to match and manage FTA grant funds and annually conduct an organization-wide audit in accordance with OMB C A-133.
2. Financial

- Items Reviewed
  - Financial Capacity
    - Sources of non-FTA Funds
    - Adequacy of non-FTA Funds
    - Multi-Year Financial Plans/Projections
2. Financial

- **Items Reviewed**
  - Funds Management
    - ECHO Documentation
    - Unliquidated Obligations (Line D of FSR)
    - Cost Allocation Plan
    - Other Project Expenditures (Enhancement, ADA Paratransit)
2. Financial

- Items Reviewed
  - Audits
    - Single Audit Reports (OMB Circular A-133)
    - Other (GAO, OIG, State/Local Governments, Internal Audits)
2. Financial

• Typical Findings
  – Financial Capacity
    • No Existing Financial Plan
  – Funds Management
    • Deficiencies with ECHO Drawdowns
    • Unliquidated Obligations Reported Incorrectly
    • Cost Allocation Plan Deficiencies
  – Audit
    • Outstanding Annual Audit Findings
3. Technical

• Basic Requirement
Grantees must have the ability to implement and manage grants properly.
3. Technical

- Items Reviewed
  - Grant Administration
  - Milestone Progress Reports (MPR)
  - Grant Closeout
  - Force Account Activities
  - Capital Leasing
  - Project Management Plans/Procedures
  - Oversight of Contractors/Subrecipients
3. Technical

• Typical Findings
  – Progress Reports Lack Required Information
  – Late/No Submission of MPR/FSR Reports
  – Inactive Grants/Late Grant Closeouts
  – Inadequate Oversight of Contractors/Subrecipients
4. Satisfactory Continuing Control

- Basic Requirement
  Grantees must maintain control over FTA funded facilities and equipment.
4. Satisfactory Continuing Control

- Items Reviewed
  - Real Property
  - Equipment Records/Inventory/Reconciliation
  - Property Disposal Activity
  - Spare Ratio
  - Rail Fleet Management Plan
4. Satisfactory Continuing Control

• Typical Findings
  – Inadequate Property Records
  – Failure to Comply with Property Disposal Requirements
  – Inventory Not Reconciled to Property Records
  – Excessive Spare Ratio
5. Maintenance

- Basic Requirement
  Grantees must keep federally funded equipment and facilities in good operating order.
5. Maintenance

- **Items Reviewed**
  - Vehicle Maintenance
    - Plans
    - Preventive Maintenance Schedules
    - Inspect Vehicles and Records
  - ADA Equipment Maintenance
5. Maintenance

• **Items Reviewed**
  – Facility & Equipment Maintenance
    • Plans
    • Records
  – Warranty Claims
  – Oversight of Contractor’s Maintenance Practice
    • Leased Equipment
    • Maintained Under Contract
5. Maintenance

- Typical Findings
  - Deficient or Inadequate Vehicle Maintenance Plan
    - Rail
    - Bus
    - Paratransit Vehicles
  - Deficient or Inadequate Facility Maintenance Plan
5. Maintenance

- Typical Findings
  - Late Preventive Maintenance Inspections
    - Vehicles
    - Facilities
    - Equipment
  - Inadequate Contractor Oversight/Supervision
6. Procurement

• Basic Requirement
  Grantees will have procurement procedures that reflect applicable state and local law that ensures competitive procurements and conform to Federal law including FTA Circular 4220.1E. Grantees will maintain a contract administration system to ensure contractor performance.
6. Procurement

- Items Reviewed
  - Policies and Procedures
  - Conflict of Interest
  - Full and Open Competition
  - Geographic Preferences
  - FTA Clauses
  - Contractor Compliance
6. Procurement

- Items Reviewed
  - Five Year Requirement
  - Cost and Price Analysis
  - Change Orders
  - Time and Materials Contracts
  - Sole Source/Single Bids
  - Piggyback Procurements
6. Procurement

- Items Reviewed
  - Options
  - Advance Payments and Progress Payments
  - Liquidated Damages
  - Altoona Bus Testing
6. Procurement

- **Typical Findings**
  - Required Cost/Price Analysis Lacking
  - Policies and Procedures Not Evident
  - Justification/Documentation for Non-Competitive Award Lacking
  - Required Clauses Missing
  - No Contract Administration System
  - Lacking Full and Open Competition
  - No Record of Procurement History
7. DBE

• Basic Requirement
Grantees must create a level playing field on which DBEs can compete fairly for federally funded contracts.
7. DBE

• Items Reviewed
  – Designation and Reporting of DBE Officer
  – DBE Program
  – Annual Goal & Semi-Annual Report
  – Monitoring of Work Performed
  – Certification Process
  – Participation in Unified Certification Program (UCP)

[Question 13]
7. DBE

• Items Reviewed
  – TVM Certifications
  – Complaints
7. DBE

- Typical Findings
  - Goals Not Submitted
  - Uniform Reports Not Submitted
  - No TVM Certification
  - Not Participating in the UCP
  - Inadequate Designation of DBE Officer
  - Not Monitoring Compliance
8. Buy America

• Basic Requirement
Grantees must meet Buy America requirements for procurements of steel, iron or manufactured goods. Special requirements apply to procurements of rolling stock.
8. Buy America

- Items Reviewed
  - Buy America Certifications
    - Steel and Iron
    - Rolling Stock
  - Pre Award/Post Delivery Audits and Certifications
  - Verification of Domestic Content
  - On-Site Inspection of Manufacturing Process
8. Buy America

• Typical Findings
  – Pre-Award/Post-Delivery Certifications Lacking
  – Provision Not Included in Solicitation/Contract
  – Improper Verification of Component Content
9. Suspension/Debarment

- Basic Requirement
  Grantees are required to ensure that none of the grantee’s principals, subrecipients, and third-party contractors and subcontractors are debarred, suspended, ineligible, or voluntarily excluded from participation in federally assisted transactions.
9. Suspension/Debarment

- Items Reviewed
  - Excluded Parties
  - Lower-tier Transactions

- Typical Findings
  - Clause Not Included in Solicitations/Agreements
10. Lobbying

- Basic Requirement
  Grantees and certain contractors/subcontractors must certify compliance with the Restrictions on Lobbying before receiving federal funds.
10. Lobbying

- Items Reviewed
  - Procurements/Agreements
  - Disclosure on Form LLL & Quarterly Updates
10. Lobbying

- Typical Findings
  - Certification Not Signed by Contractors, Subgrantees, etc.
  - Certification Not Included in Solicitations/Agreements
  - Failure to Submit Standard Form LLL/Quarterly Update
11. Planning/POP

• Basic Requirement
  – Grantees must participate in the transportation planning process in compliance with FTA requirements.
  – Grantees must comply with public participation requirements.
11. Planning/POP

• Items Reviewed
  – Planning Certification Review (if applicable)
  – MPO Agreement
  – Grantee Participation in Planning Process
  – Public Participation Process
  – Periodic Review of the Effectiveness of the Process
  – Public Notice
  – Complaints/Lawsuits
11. Planning/POP

• Typical Findings
  – Public Notice Deficiencies
  – No Current Agreement with MPO
  – Public Participation Deficiencies
12. Title VI

- Basic Requirement

Transit services and related benefits must be distributed in an equitable manner with no discrimination on the grounds of race, color or national origin.
12. Title VI

- Items Reviewed
  - Title VI Coordination
  - Program Submissions/Updates
  - Monitoring Procedures & Standards
  - Limited English Proficiency (LEP)
  - Environmental Justice Assessment/Fixed Facility Impact Analysis
  - Complaints
12. Title VI

• Typical Findings
  – No Procedure for Monitoring Level/Quality of Service
  – Lacking Service Standards/Policies and/or Periodic Title VI Assessments
  – Title VI Plan Update Submitted Late
  – Lacking Assessment for LEP
13. Public Comment Process for Fare and Service Changes

• **Basic Requirement**
  Grantees must have a local process to solicit and consider public comments before raising fares or carrying out major reductions in service.
13. Public Comment Process for Fare and Service Changes

- Items Reviewed
  - Local Process
  - Definition of “Major” Service Reduction
  - Adherence to Local Process
  - Public Meeting Announcements
  - Consideration of Public Input
13. Public Comment Process for Fare and Service Changes

• Typical Findings
  – No Evidence of Local Process
  – Deficiencies in Process as Defined
14. Half Fare

- **Basic Requirement**
  
  Fares charged to elderly persons, persons with disabilities, and individuals with a Medicare card during non-peak hours must not exceed one-half the rate charged to others during peak hours.
14. Half Fare

• Items Reviewed
  – Applies to:
    • Fixed-Route Services (including Route Deviation)
    • Service Operated During Peak & Off-Peak
  – Does Not Apply to:
    • Demand Responsive Services
    • Service Operated Only During Peak or Off-Peak

  – Identification Requirements
  – Materials & Training
14. Half Fare

- Typical Findings
  - Public Information for Medicare Half Fare Incomplete
  - Fares Not Extended to All Services
15. ADA

- Basic Requirement
  Grantees must not discriminate against persons with disabilities in the provision of transit service.
15. ADA

• Items Reviewed
  – Eligibility Decisions
  – Complementary Paratransit Service Requirements
  – Trip Denials/Capacity Constraints/Reservations
  – Other Service Provisions
  – Sensitivity/Proficiency Training
15. ADA

- Items Reviewed
  - Vehicle/Facility Accessibility
  - Rail Station and Car Requirements
  - Maintenance of Accessibility Equipment
  - Complaints/Lawsuits
15. ADA

• Typical Findings
  – Complementary Paratransit Service Deficiencies
  – Trip Denials Not Tracked Properly
  – ADA Service Provision Deficiencies
  – Improper Eligibility Determination Process
16. Charter Bus

- Basic Requirement
  - Grantees are prohibited from operating charter service unless a qualified exception applies.
  - Qualified charter service must be incidental
    - Operated only in off-peak periods
    - Must recover fully allocated costs
16. Charter Bus

- Items Reviewed
  - Definition of Charter Service
  - Public Notice/Willing & Able Determination
  - Allowed Exceptions/Use of Replica Trolleys
  - Incidental Service
  - Effect on Useful Life: Charter Logs/Miles/Hours
  - Complaints
16. Charter Bus

• Typical Findings
  – Service Operated Outside Allowed Exceptions
  – Inadequate Process for Determining Willing/Able Operators
  – Charter Service Not Incidental
  – Lacking Documentation of Effect on Useful Life
17. School Bus

• Basic Requirement
  – Grantees are prohibited from operating exclusive school bus service.
  – Tripper service must meet specified criteria.
17. School Bus

- Items Reviewed
  - Statutory Exception
  - Tripper Service

- Typical Findings
  - School Tripper Violations
18. NTD

- Basic Requirement
  Grantees must collect, record and report required data annually according to FTA's procedures.
18. NTD

- Items Reviewed
  - Timely Report Submission
  - Reporting Exemption/Waiver
  - CEO Certification
  - Certifications of Passenger Mile Data Collection Procedures
  - Auditor’s Statement for Urbanized Area Formula Data
18. NTD

• Typical Findings
  – Late NTD Annual Report Submission
  – Safety & Security Data Reporting Deficiencies
19. Safety and Security

• Basic Requirement
  – Grantees must certify that one percent of Urbanized Area Formula Funds are spent on security projects.
  – FTA can investigate operations for safety conditions.
  – FTA encourages safety and security awareness.
19. Safety and Security

• Items Reviewed
  – Safety
    • Safety Policies and Program Plans
    • Incident Investigation/Hazard Identification
    • Safety Accountability
    • Safety Training
    • Safety Data Reporting (NTD)
19. Safety and Security

- Items Reviewed
  - Security and Emergency Management
    - Security Expenditures
    - Management and Accountability
    - Security Problem Identification
    - Employee Selection
    - Training Programs
    - Public Awareness
    - Audits and Drills
19. Safety and Security

- Items Reviewed
  - Security and Emergency Management (continued)
    - Document Control
    - Access Control
    - Homeland Security
19. Safety and Security

- Typical Advisory Comments
  - Security Information Not Given to Passengers
  - No Security Audits/Assessments
  - No Security Plan (Non-RFGS Mode)
  - No Criminal Background Checks
  - No Safety Policy/Plan
20. Drug-Free Workplace

• Basic Requirement
Grantees must maintain a drug-free workplace and establish an on-going drug-free awareness program.
20. Drug-Free Workplace

• Items Reviewed
  – Applies to All Employees of the Grantee
  – Written Policy
  – On-Going Awareness Program
  – Timely Notification to FTA of Conviction in the Workplace
20. Drug-Free Workplace

- Typical Findings
  - Policy Missing Required Elements
  - No Written Policy
  - No On-Going Awareness Program
21. Drug & Alcohol Program

- Basic Requirement
  Drug and Alcohol testing program must be in place for all grantees with safety sensitive employees.
21. Drug & Alcohol Program

- Items Reviewed
  - Applies to Safety Sensitive Employees
  - Grantee and Contractor Programs
  - Policies Include Required Elements
  - Random Testing Rates/Procedures
  - Post-Accident Determinations
21. Drug & Alcohol Program

• Items Reviewed
  – Administrative Procedures & MIS Reports
  – Employee and Supervisor Training
  – Monitoring/Oversight of Contractors & Vendors
21. Drug & Alcohol Program

- Typical Findings
  - Inadequate Contractor/Program Vendor Monitoring
  - Policy Lacking Required Elements
  - Policy Out of Date
  - Random Testing Rate Below Requirements
22. EEO

- **Basic Requirement**
Grantees must assure that no persons be subject to discrimination in employment.
22. EEO

• Items Reviewed
  – Designation and Reporting of EEO Officer
  – EEO Program
  – Complaints
  – Workforce Utilization
  – Reasonable Accommodations (ADA)
22. EEO

- Typical Findings
  - EEO Program Not Submitted/Expired
  - Program Inadequately Implemented
23. ITS Architecture

• Basic Requirement
  – Require states and metropolitan areas to develop a regional ITS architecture by April 2005 if they intend to use Federal funds for ITS deployment.
  – Grantees’ Intelligent Transportation Systems (ITS) projects must conform to National ITS Architecture and USDOT adopted ITS Standards.
23. ITS Architecture

- Items Reviewed
  - Eligible ITS Projects
  - Regional ITS Architecture
  - Process for Conducting Systems Engineering Analysis of ITS Projects
23. ITS Architecture

• Typical Findings
  – Lacking Established Systems Engineering Analysis/Process Not Applied
  – No Local Plan/Participation in Local Plan
  – ITS Policy Requirements Not Met