

**Fall 2011
Grant Management Training**



Training Expectations

- Ask questions
- Be careful of acronyms and unfamiliar terms others won't understand
- Questions about specific agency projects need to wait until lunch or breaks
- Contact us at PTD if you have additional questions or need clarification

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Workshop Agenda



Part One:

- Managerial and Operational Capacity
- Financial Capacity
- Various FTA-related regulations

Part Two:

- Preventive Maintenance
- Vehicle Procurement

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Workshop Materials and Resources

- State Management Plan and Site Review Checklist
- Transit Provider Handbook
 - Both found at PTD Website:
<http://www.oregon.gov/ODOT/PT/>
- FTA Website: <http://www.fta.dot.gov/>
- OMB Website:
http://www.whitehouse.gov/omb/circulars_default
- Technical assistance – Project Action, CTAA, National RTAP

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Managerial, Operational and Fiscal Capacity

We know IT when we see IT...

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Managerial Capacity

Specialized managerial expertise to finance, develop, manage and operate the project.

- Technical ability to receive funds – not debarred or suspended and has demonstrated good management practices
- Adequate staffing to carry out responsibilities
- Adequate organizational structure to oversee project,
- Compliance reviews show dedication to meeting requirements and quality
- Engaged board
- Communication is two-way:
 - Frequent communication to PTD; Invites PTD to meetings, other events
- Other, what?

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Operational Capacity

Ability to operate the public transit service in an efficient and effective manner

- Service provided on a routine basis
- Vehicles clean and maintained
- Costs are known and controlled
- Changes in service are anticipated/planned
- Participates in training
- Other, what?

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Financial Capacity

Ability to manage the financial aspects of the project/agency

- Ongoing fiscal controls; separation of fiscal duties
- Board has strong, ongoing fiscal oversight
- Budget adopted and amended as needed by board
- Reports and audits submitted on time, e.g. quarterly reports, MIS and NTD reports, etc.
- Financial information and data is reasonable
- Annual audits have few/no findings
- Other, what?

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Financial Management Issues

- Fund accounting
 - Have a plan for allocating multiple grant funds if there is a common purpose
 - Have a plan for managing match funds
 - See Exhibit B of grant for fund info
- Charge all expenses as “direct” unless agency has an “approved indirect cost plan”
- Not all common expenses are eligible for grant reimbursement
 - e.g., depreciation, interest related to late payments, parties for staff, etc – see OMB circular.

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Reporting

- OPTIS can be your friend
- Quarterly reports
 - Submit quarterly, even if no payment; due date 45 days after end of quarter
 - Please use narrative text box to report on each grant
 - Attach Budget Detail Worksheet to APR/QR
 - Label revisions
- Grants may have unique requirements – read grant Statement of Work.

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Reimbursement

- Reimbursement Request
 - Submit requests early and often
 - APR/QR must be completed first – contact PTD if there is a problem
 - Please indicate correct quarter
 - Be sure to submit appropriate backup, as required
- End of biennium payments
 - Get them in early, if possible by end of May
 - PTD may deny payments, if submitted after 60 days
 - PTD will work with you re APR/QR

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Back Up Documentation

- For Purchased Services, Operations, Mobility Management, Planning
 - Identify grant-related expenses on Budget Detail Worksheet
 - Retain all associated backup documents (timesheet, invoices, etc) in own records available for audit.
- For PM and Capital items,
 - Use defined documentation procedures – see PTD website
 - Retain all associated backup documents (timesheet, invoices, etc) in own records available for audit.
- Retain grant-related records for three years past grant closure or three years after capital item is taken out of service.

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Asset Management

- All capital assets must be documented in a asset register
 - Capital asset is at least \$5,000 and one-year useful life.
 - Inventory assets
 - STF Agencies must have an asset register for all STF funded assets, including if STF was used as match to a capital grant.
 - Asset register should include life cycle of asset from procurement, use and disposition.

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Charter Bus

- See SMP page 42
- Employ the spirit, as well as the intent, of the regulation
- This is one of two regulations where FTA has authority to assess fines
 - "Program purpose"
 - Exemption and exception

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School Bus Regulation

- Not allowed to provide exclusive school bus service
- May provide "tripper service" that is designed to serve students and is open to the general public
- Examples of school/public transit collaboration; Mason Co, WA; ColCo; SKT

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Public Involvement and Civil Rights

See SMP pages 21 and 29

- Public involvement and civil rights compliance are related.
- One-day training at Oregon Transit Conference (Oct 23)
- Title VI: need written policy and must notify customers of their rights under Title VI (e.g., a posting in a prominent location)
- Environmental Justice: need written policy
- DBE: primarily a procurement issue; requires contract language and reporting to PTD
- EEO: may need written policy
- LEP: requires an assessment of meaningful access to services and may require a written policy
- ADA: need written policy

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Drug and Alcohol Regulations

- FTA: 49 CFR Part 40 and 49 CFR part 655
 - Applies to FTA Sections 5307, 5309 and 5311
 - <http://transit-safety.fta.dot.gov/DrugAndAlcohol/default.aspx>
 - <http://www.dot.gov/odapc/>
- FHWA: 49 CFR Part 40 and 49 CFR part 382
 - Applies to agencies with CDL drivers who are NOT already covered by FTA regulations
 - Agencies may be dual covered (e.g., a city)
- Drug Free Workplace:
 - First tier requirement – not applicable to PTD subrecipients, but may be applicable to direct recipients of FTA \$

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Labor Warranty

- Applies to FTA Sections 5307, 5309 and 5311
- Is intended to protect the rights of transit labor, particularly related to dismissal or displacement which occurs as a result of federal funds used to acquire, improve or operate transit system.
- 5311 is covered by Special Warranty; JARC is covered by Section 5307 regulations:
<http://www.dol.gov/olms/reqs/compliance/compltransit.htm>
- 5311 and JARC annual submission of information by agencies to PTD:
 - Listing of providers who receive funds under the grant (other subs and contractors)
 - Listing of other eligible transportation providers in area and associated labor organizations (along with contact information)
 - JARC may impose special requirements for individual agencies
- Must post in prominent location, the terms and conditions of the warranty.

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Procurement

- Public entities follow same policies as for non-federal funds (in conformance with state law) plus comply with five federal requirements:
 - Full and open competition
 - No geographic preference
 - No contract for rolling stock > 5 yrs
 - Include all pertinent federal clauses
 - Use competitive procedures defined by Brooks Act, if state has not adopted statute (Oregon has)
- Non-profits follow FTA regulations – See Circular 4220.1F.
- Must have written/adopted procedures
- Must be most efficient, economical purchase for purpose
- Must conduct cost/price analysis for each procurement
- Must have a vendor v. subrecipient determination policy (see handout)

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Preventive Maintenance



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Preventive Maintenance Overview

- Asset Management Responsibilities
- Vehicle Storage, Safety and Security
- What's in a Preventive Maintenance Plan?
- Eligible Preventive Maintenance Grant Expenses
- What's in a Vehicle Maintenance Schedule?
- 2011 Vehicle Preventive Maintenance Pilot Desk Review
- Resources

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Asset Management Responsibilities

- The focus today is on the fleet. These principles apply to all capital assets, such as passenger shelters, facilities and equipment
- Ensure your vehicle fleet is in a state of good repair, as required by FTA and ODOT
- Have enough vehicles to meet service demands
- Ensure vehicles are safe, clean, serviced regularly

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Asset Management Responsibilities

- Written agency asset management policies; including vehicle maintenance
- Preventive Maintenance Plan
- A maintenance schedule for each fleet vehicle: based on manufacturer's recommendations and warranty requirements, including ADA equipment
- Document inspections, including daily driver inspections and mechanic's follow-up
- Conduct and document annual vehicle safety inspections

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Asset Management Responsibilities

- A plan, budget, and procedures for handling unexpected repairs
- A regular interior/exterior vehicle cleaning program
- Policies and facilities for secure vehicle storage
- A system (automated or manual) for scheduling and tracking vehicle maintenance activities
- Keep good records of all vehicle service and repairs, including work orders, invoices, and receipts

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Vehicle Storage, Safety, and Security

- Secure parking area with fencing, adequate lighting, alarm system is best practice
- May request local police patrols, or use a private security service
- Limit access to vehicles, such as a key control system
- Monitor off-site parking locations

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What's in a Vehicle PM Plan?

- A Vehicle Preventive Maintenance Plan is required by FTA and should include:
- Links to agency maintenance policies
- An annual asset inventory
- Document staff maintenance responsibilities

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What's in a Vehicle PM Plan?

- Maintenance schedules for each vehicle must meet or exceed manufacturer's recommendations
- Be sure to include vehicle warranty services
- Include lift service
- Routine service should include interior cleaning, exterior washing
- Daily driver's pre- and post-trip inspections
- Document mechanic's follow-up on reported problems

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What's in a Vehicle PM Plan?

- Preventive Maintenance Plans must be submitted with preventive maintenance grant applications for federal programs
- Agencies are required to conduct annual inventory and report in quarterly reports to ODOT PTD on all capital assets—as long as they remain in service
- PM records, including maintenance schedules, must be kept for as long as the vehicle remains in service plus three years

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Eligible Preventive Maintenance Expenses

- Vehicle preventive maintenance includes:
 - Oil, lubrication, brake and steering fluids, hydraulic fluids
 - Tire rotation & replacement, and battery servicing
 - Engine tune-ups and regular replacement of filters, spark plugs, and belts
 - Vehicle interior and exterior washing
 - Scheduled or routine mechanical maintenance (includes wheelchair lift and other installed equipment)
 - PM may also include a single major component rehabilitation or rebuild which should be done in the first year of a grant

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Eligible Preventive Maintenance Expenses

- Vehicle preventive maintenance also includes:
 - Wear and tear repairs (not accident caused), including seats, flooring, exterior paint, etc.
 - Parts, supplies, and labor as installed per vehicle at the time maintenance is performed
 - Required annual vehicle safety inspections by a certified mechanic

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Capitalized PM Grants: What's Not Allowed?

- Not allowed in capitalized PM grants:
 - Vehicle warranty-covered repair work
 - Accident repairs
 - Bulk purchase of oil, fuel, and spare parts
 - Expenses covered under other funding sources
- How do I pay for such work?
 - Contact the vendor or insurance agent for warranty work
 - Use other agency funds (operations grants or contingency funds) to pay for accident repairs and bulk purchases

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Vehicle PM Schedule - What's in it?

- Each vehicle purchased with federal grant funds must have its own individual maintenance schedule
- The schedule should include all tasks required to keep vehicle in a state of good repair and warranty eligible
- The vehicle maintenance schedule must **at a minimum** include all service tasks for that vehicle as recommended by the manufacturer
- You may add service that exceeds the manufacturer's recommendations

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Vehicle PM Schedule - What's in it?

- See forms and examples for reference:
- Include vehicle manufacturer, make, model, year, capacity, category (for example E-2), VIN, license plate number, and agency inventory tag number
- Include all components under warranty: engine; chassis; tires; batteries; ADA equipment
- Record service intervals by trigger for service: e.g., date, mileage, lift cycles
- Allow for mechanic's initials or ID number to verify service was performed and/or who did it

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Vehicle PM Schedule - What's in it?

- Record service by completion date; mileage at time of service; and when next service is due
- Include replacing tires, batteries, and any routine services
- Log unexpected repairs or parts replacements, including dates vehicle is out-of-service
- When local shop is used, the schedule should note company name, and dates sent out and returned to service

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Vehicle PM Schedule - What's in it?

- Include the required annual safety inspections
- Cleaning does NOT have to be included in the maintenance schedule, but have a vehicle cleaning policy, and follow it
- Include back-up vehicles

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2011 Vehicle Preventive Maintenance Pilot Desk Review Findings

- Most agencies used a schedule that did not show the manufacturer's required tasks for good condition
- Documentation and record-keeping varied widely in quality
- Many service tasks weren't documented
- Safety tasks (annual safety inspections, tires and battery replacements) weren't listed
- Lift maintenance was not performed per manufacturer's warranty requirements and was poorly documented

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Vehicle Preventive Maintenance Resources

The Transit Provider Handbook, Vehicle Preventive Maintenance Section, on PTD's web site at oregon.gov/odot/pt includes samples and documents on:

- Fleet management
- Maintenance Plans
- PM checklists, schedules and forms
- New driver orientation and pre- and post-trip inspection forms
- Annual safety inspection checklist
- ADA/wheelchair lift policy and procedures

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CAPITAL PROCUREMENT – Focus on Vehicles

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Vehicle Purchases Overview

- Vehicle Purchases
- Review Forms and Samples
- Brief Overviews of Equipment and Facility Projects

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**Vehicle Purchases:
RFPs**

- Agencies must use State price agreements to acquire vehicles unless pre-approved by ODOT PTD
- If approved, the agency must conduct an open competitive bid process, usually via a Request for Proposals (RFP)
 - The RFP must be approved by PTD prior to release

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**Vehicle Purchases:
RFPs**

- Follow local adopted purchasing policies. Must meet State procurement laws if not in conflict with federal (e.g., cannot include geographic preference).
- With prior approval, agencies may piggyback on another contract
 - The piggyback must be approved by PTD prior to accessing

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**Vehicle Purchases:
State Price Agreements**

- ORCPP membership in the state ORPIN system is required to access state contracts.
- Once membership is renewed, agencies do not have to go into the ORPIN system to order vehicles. Work with vendors directly.

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Vehicle Purchases: State Price Agreements

- Use PTD's Oregon Vehicle Description and Useful Life Standards and ORPIN Contract Crosswalk documents to determine available vehicles. (Available on PTD's web site)

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Vehicle Purchases: What's Included?

- Vehicle purchases may also include:
 - Equipment to be installed on the vehicle, necessary to put it into service
 - Bus wraps and required identification

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Vehicle Purchases: Review Forms and Samples

- Use the forms or develop agency forms to document the selection process:
- List vehicle specifications and provide to all vendors in that category: no. of seats; no. of ADA stations; high-floor or low-floor if relevant; vehicle category
- Include other required options (e.g., heavy-duty transmission required due to terrain)

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**Vehicle Purchases:
Vendor Analysis and Selection Form**

- Contact vendors and obtain written quotes
- Document vendor selection from price quotes:
 - List all specified equipment and evaluation criteria: vehicle models/vendors; special options; prices quoted; other criteria
 - Justify best value determination if lowest priced vehicle is not selected (e.g., heavy-duty transmission not available on lowest price vehicle)
 - Brand or geographic preferences are NOT acceptable criteria

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**Vehicle Purchases:
Process for Ordering**

- Send to PTD Capital Program Manager:
 - The Purchase Order form (agency assigns PO number)
 - Vendor's price quote for selected vehicle(s)
 - Selection rationale (forms we are reviewing today)
- PTD Capital Program Manager reviews, approves, signs, and submits the approved purchase order and price quote to the selected vendor, with a copy to your agency contact

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**Vehicle Purchases:
Post-Grant Responsibilities**

- Keep procurement records as long as vehicle is used in public transit service, plus 3 years:
 - Forms showing vehicle specifications (e.g., number of seats and ADA stations, optional equipment such as auto. tire chains)
 - Price quotes, options comparison and selection justification

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Equipment Purchases

- Equipment as a Capital Project
 - Must be \$5,000 or more and useful life of at least one year to qualify as capital (may aggregate—e.g., a computer system purchase could include several PCs, printer, server)
 - Agencies must include capital equipment in inventory and report to PTD as long as it remains in transit service/use

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Equipment Purchases

- Informal Quotes (if cost is under \$100,000)
 - Include written documentation on specifications for the purchase and vendor quotes
 - You must document, similar to vehicle awards, why you are selecting the vendor/product
- Ask questions if in doubt

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Facility Projects

- A facility project may be phased in several stages
- Initial activities may begin with a planning grant that includes:
 - Project scoping, planning, public involvement,
 - Architecture and engineering (A&E), legal services
 - Environmental work

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Facility Projects

- The next phase may include the capital activities:
 - Lot preparation, construction
 - Construction must be paid prevailing wages, per Davis-Bacon act, on federally funded projects
 - Purchases for equipment, furniture, other amenities

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Facility Projects

- If you are planning a facility or infrastructure project:
 - Review requirements before applying for a grant
 - Consider all activities required: review local planning and building permit requirements, get good cost estimates, and research before you begin

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Facility Projects

- Start discussions early with stakeholders, partner agencies, planning staff, and engage the public
- Keep good records—some projects take years from the planning stage to construction

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Oregon
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QUESTIONS AND ANSWERS

Thank you for your participation!
