Grant Management Training

Online Presentation

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Dec. 11, 2015

Logistics:

Audio Call In:

888-557-8511, Participant Code 276949

Computer Join Me link:

https://join.me/PTAC.ODOT

Instructions:

- **Please mute your phone**
- **Please do not put the call on hold during the session**
- **Either hold your questions until the Q&A portion of the training, or use the 'Chat' button in Join Me to notify the presenter when you need clarification**

Agenda

- Reporting overview
- Agency periodic reports
- Charter bus rules and reporting
- Reimbursement requests
- Grant management reminders
- Compliance findings

Question: What do you hope to get out of today's training?

Reporting Purpose

- Data collection
- Project status
- Payments
- Desk reviews
- Technical assistance
- Federal requirement for capital assets

Required Reporters

1. Grantees with current grants
2. Prior grantees that operate/use vehicles and/or capital items awarded by ODOT
3. Vendors/consultants may prepare information for reports, but grantee must submit the report
4. STF agencies receiving STF/STO awards
5. Subrecipients to an STF agency report to the STF agency

Reporting Schedule

Grant Agreements
Due November 15, for July – September (Q 1 & 5)
Due February 15, for October – December (Q 2 & 6)
Due May 15, for January – March (Q 3 & 7)
Due August 15, for April – June (Q 4 & 8)

Transit Required Reporting Schedule Handout 1

Reporting Requirements

- Budget
- Rides/miles
- Assets
- Accidents
- Civil rights complaints
- Grant progress/milestones
- Charter bus
- Other reports, as applicable: NTD, drug & alcohol, DBE, and Title VI

Where to Report

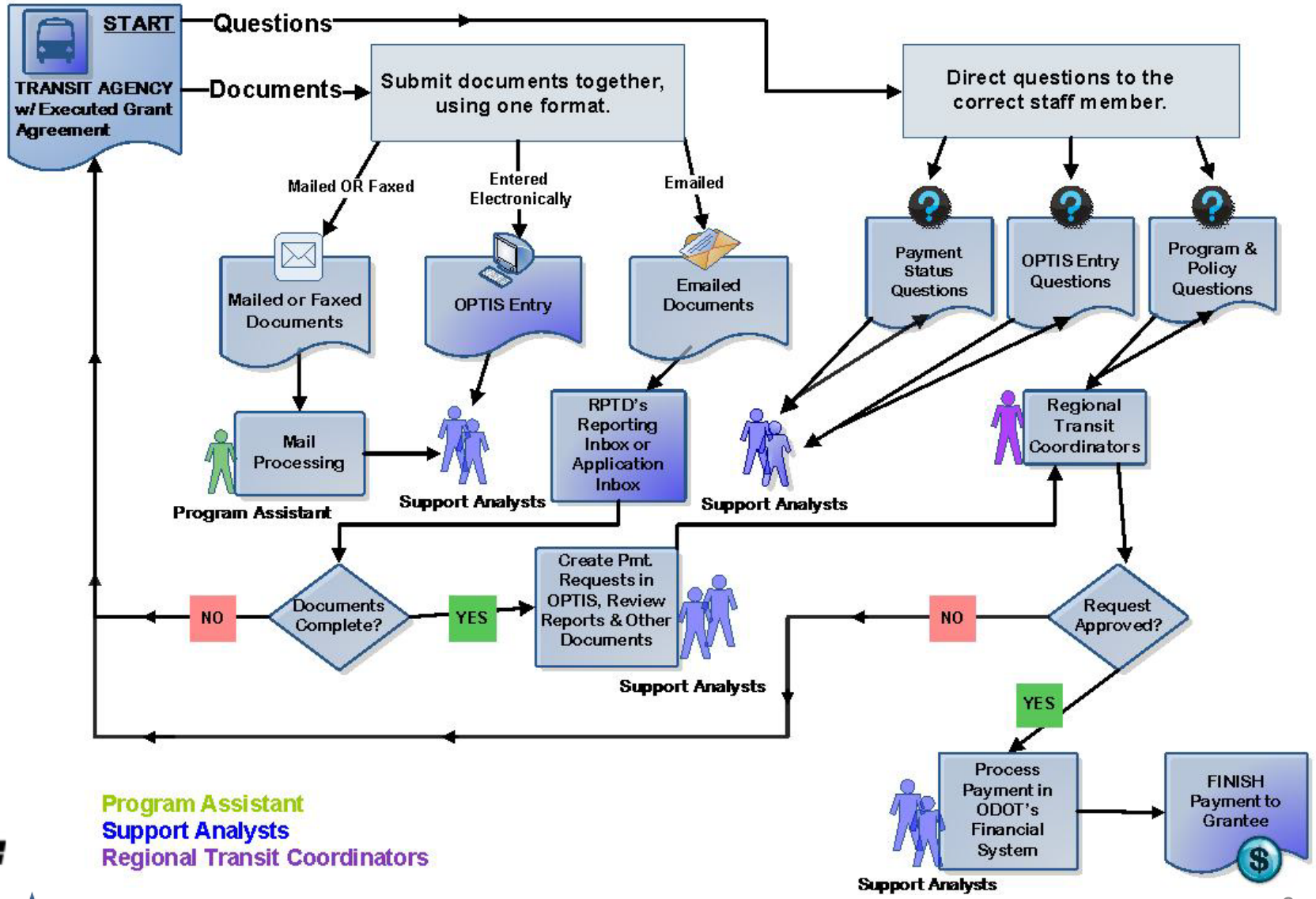
OPTIS

Grantees submit reports through OPTIS

E-mail

On a pre-approved and limited exception basis, submit to ODOT Public Transit reporting at: ODOTPTDreporting@odot.state.or.us

Reporting and Reimbursement Request Process



Process Flowchart Handout 2

Agency Periodic Reporting

What's Changing:

- Charter bus reporting is required for everyone
- Following a testing period with select providers:
  - Budget detail worksheets will be replaced by reporting directly in OPTIS
  - Vehicle acquisition milestones/deliverable reporting will occur in OPTIS
- Review APR handout

APR Handout 3; Vehicle Condition Matrix Handout 4;
Chapter 8 OPTIS User Guide – Resource 1

Charter Bus Rules and Reporting

- Definitions
- Regulations and resources
- Exemption and exceptions
- Reporting

Charter Bus Service

FTA's Charter Bus Service Rule protects private charter operators from unauthorized competition from FTA grant recipients. Charter service is characterized by:

- Someone requests exclusive use of a vehicle and wants to pay for some or all of the service
- Outside of provider's regular service
- Someone else decides where and when the trip occurs
- Event trips that are not part of program purpose

Charter Bus Regulations & Resources

Regulations

- Read up on the applicable regulations to determine relevance: **49 CFR Part 604**
- Of note, no FTA funds may be used to provide charter bus service
- Revenue from charter bus service must be accounted for separately

Resources

- FTA Ombudsman for Charter Services: ombudsman.charterservice@dot.gov
- FTA's Charter Bus Service web page: http://www.fta.dot.gov/15740.html

Charter Bus Exemptions

Exemptions are ***not*** reported

- Transporting employees for transit purposes (including training in rural areas)
- Responding to immediate emergencies or for emergency preparedness planning
- Private charter operators (**unless** standing in the shoes of a public transit agency)
- Charter trips that support program purposes by agencies receiving 5310 and 5311

Charter Bus Exceptions

Public transit agencies may provide charter services under these exceptions:

1. Government officials
2. Qualified Human Service Organizations; elderly, persons with disabilities, and low income
3. Leasing vehicles, if no others available
4. When no registered charter provider responds to notice
5. By written agreement with all registered charter providers
6. With an approved petition from FTA (events of regional or national significance, hardship, and discretion)

Reporting required for exceptions 1-4

Other Charter Reporting Requirements

- Report due to ODOT 15 days after quarter ends
- Report required regardless of whether charter service was provided
- Direct recipients of FTA awards report to FTA, all others report to ODOT.

☆ Charter service reporting form is located in the RPTD online Guidance Library under the **Reporting** tab, Charter Service Report, Handout 5

Notification Prior to Providing Service

- A transit agency may provide charter service if no registered charter provider responds to notice.
- Notification must be issued in accordance with procedures in §604.14
- Notice can be sent through the FTA Charter Registration website (link below)
- Notification forms and requirements are available on FTA's Charter Bus Service page

★ FTA's Charter Bus Service web page, includes sample: http://www.fta.dot.gov/15740.html

Charter Bus Complaints

- FTA has a complaint process, results may be appealed
- Violations could result in FTA withholding funds, barring future funds, or agency suspension
- A pattern of violations can only be established for unauthorized charter service, not for reporting or paperwork

Reimbursement Requests

What's Changing

- Budget Detail Worksheet data
  - To be entered in OPTIS as part of request
  - Need volunteers to test
  - Revised BDW available as tool to support OPTIS data entry

Reminders and resources

- Complete APR and submit deliverables at same time as reimbursement request

OPTIS User Guide, Ch. 9 Reimbursement Requests, Handout 6;
OPTIS Reimbursement Request Details, Handout 7;
Agency Grant Expenses worksheet, Handout 8

Special Purpose Reports

National Transit Database (NTD)	Drug and Alcohol Management Information System (MIS)
Disadvantaged Business Enterprise (DBE)	Title VI

RPTD will notify of need for report and due date

★ Reporting guidance and forms are located in the RPTD online Guidance Library under the **Reporting** tab

Grant Management – Reminders

- Notify/discuss potential schedule, budget and scope amendments with RTC early
- Capitalized vehicle maintenance has more restrictions than maintenance is or in a purchased service arrangement
- Submit all federally-funded sub-agreements to RTC for review prior to signature
- Provide copies of STF-funded sub-agreements to your RTC

Grant Management – Capital Reminders

Vehicle Grants

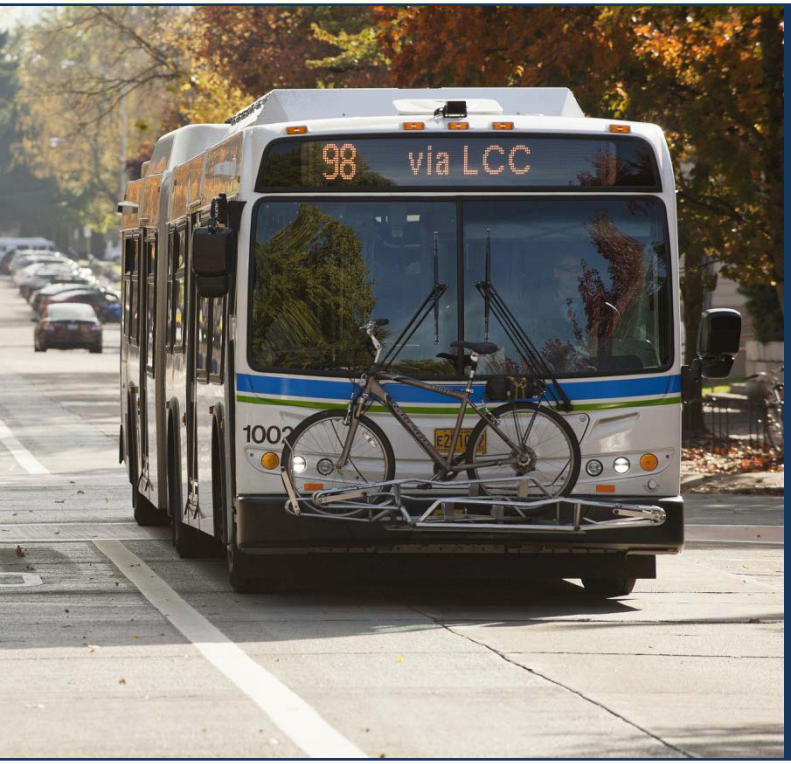
- Order early, buses take 6-24 months to build
- Send your procurement bid documents to your RTC and Christine West BEFORE sending them to vendors

All Capital Purchases

- Request reimbursement as soon as the item or vehicle is put into service

Online Resources ☆

- RPTD is refreshing its web content
- Left navigation bar
  - Programs and Funds
  - Guidance Library/Provider Handbook
  - Forms (Coming Soon)
  - Civil Rights
  - OPTIS
  - 2015 State Management Plan (NEW)



Compliance

- Progress and schedule
- Review findings
- Areas for improvement

Progress and Schedule

- 54 subrecipients reviewed to date
- Remaining reviews to be completed by June 2016

Future reviews determined by:

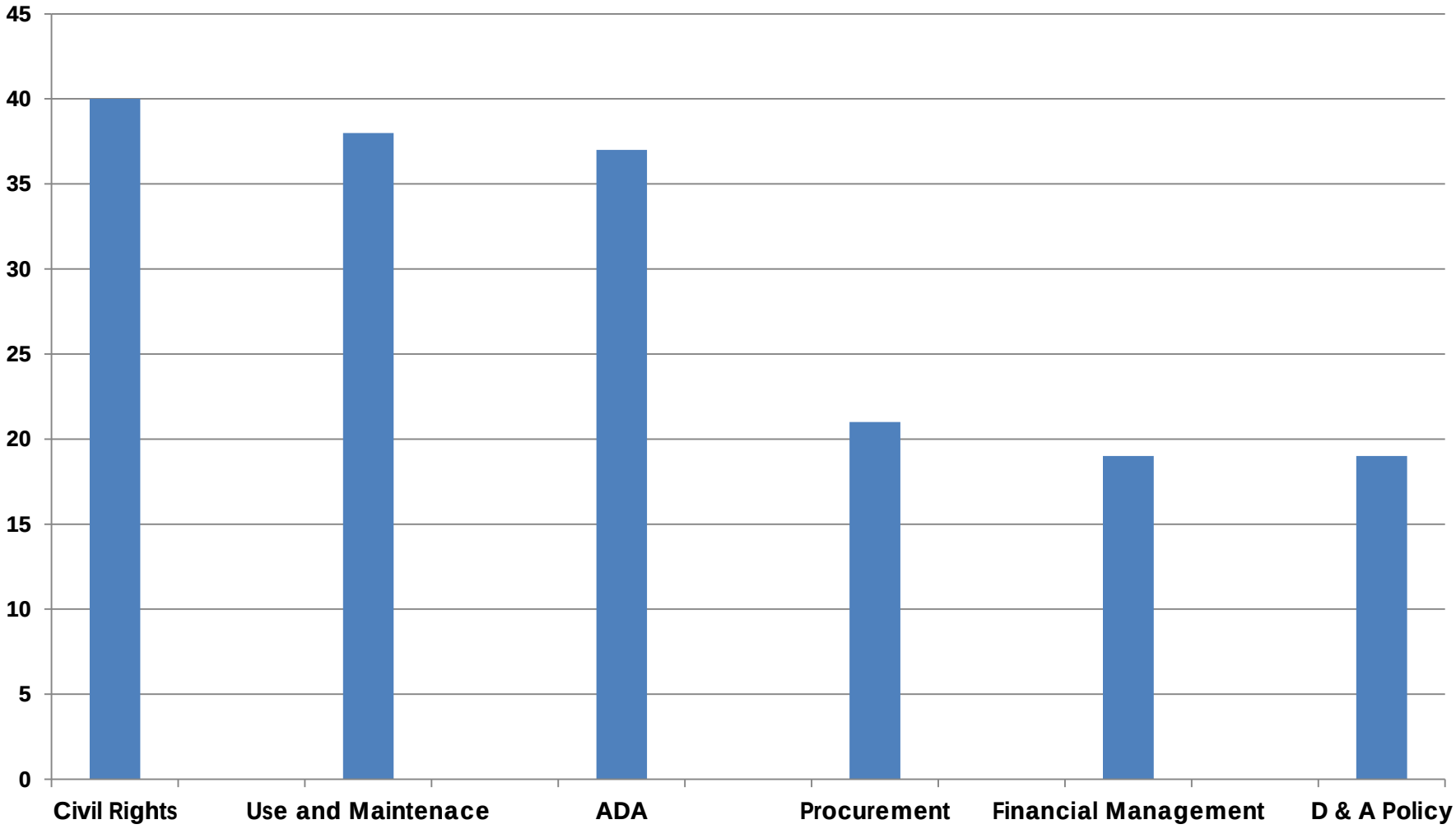
- Time passed since last review
- Past review observations/compliance performance
- New concerns, such as staff or service changes
- Geographic proximity of other reviews

Compliance Field Guide:
http://www.oregon.gov/ODOT/PT/resources/guidance-library/Oregon%20Field%20Guide%202_1.pdf

Compliance Review Scope

- Program management
- Civil rights
- Financial management
- Americans with Disabilities Act
- Operations management
- Charter and school bus
- Procurement
- Special Transportation Fund
- Use and maintenance of equipment
- Miscellaneous topics

Common Observations



Civil Rights

Title VI

- Missing adopted plan

LEP

- Missing materials in alternate formats

EEO

- Lack of communication to employees/potential Employees

DBE

- Failure to include DBE language in procurements
- Failure to obtain manufacturer's DBE certificate

☆ Civil Rights Guidance

The **Civil Rights** tab of ODOT Transit web page includes information on:

- Title VI
- Environmental Justice
- Limited English Proficiency
- Americans with Disabilities Act
- Equal Employment Opportunity
- Disadvantaged Business Enterprise

Sherrin K Coleman
ODOT Intermodal Civil Rights Manager Office of Civil Rights
503.986.3169
Sherrin.K.COLEMAN@odot.state.or.us

Americans with Disabilities Act

Nondiscrimination

- Lack of due process in service suspensions

Fixed Route

- Failure to announce stops
- Complementary paratransit hours of service inconsistent with fixed route hours
- Eligibility process issues

General Requirements

- Lack of material in alternative formats
- No alternative telecommunication access
- Failure to make prompt lift repairs

☆ ADA Guidance

Accessible formats guidance:

http://www.oregon.gov/ODOT/PT/resources/civil-rights/ada-accessible-formats.pdf

APTA ADA Essentials Handbook:

http://www.oregon.gov/ODOT/PT/resources/civil-rights/ada-essential-handbook.pdf

ADA Complementary Paratransit Plan: Required Elements:

http://www.oregon.gov/ODOT/PT/resources/civil-rights/ada-required-elements.pdf

Procurement

- Lack of written procurement procedures
- Failure to include required federal clauses in procurement documents
- Inclusion of geographic preferences in policies and/or procurements

General asset procurement resources are located under the **Other Guidance** tab and vehicle procurement guidance is under the **Vehicle Asset Procurement** in the online ODOT Transit Guidance Library

Use and Maintenance

Real Property

- Lack of facility maintenance plans

Equipment – General

- Lack of asset data/records

Maintenance

- Missing vehicle maintenance plan
- Insufficient number of on-time events
- Failure to include lift maintenance in plan

★ See **Asset Maintenance** tab in the online Transit Guidance Library for samples, handbooks, and forms

Financial Management

Cash Management

- Lack of controls over credit card use
- Insufficient controls over fare handling/storage

Budget

- Record retention policies inconsistent with ODOT requirements

Documentation of Costs

- Primarily related to personnel whose time is charged to two or more federal awards

Drug & Alcohol Policies

Policies Out-of-Date

Testing

- Tests not randomly distributed
- Testing lab not open during service hours

☆ **FTA Technical Assistance:**
http://transit-safety.volpe.dot.gov/DrugAndAlcohol/default.aspx

☆ Other Compliance Guidance

2015 State Management Plan

http://www.oregon.gov/ODOT/PT/

Questions?

Thanks for coming today!