2017 Grant Management Training

Webinar Presentation
Presenter: Marsha Hoskins, Public Transportation Manager
Agenda

• Grant Management: Reporting & Reimbursement
• Procurement
• Compliance
• Upcoming ODOT RPTD Discretionary Grants
Grant Management Reporting

- Quarterly Reports (Agency Periodic Report)
- Other Reports
- Reimbursement Requests
- General Grant Management
Who Reports?

- Grantees with current grant agreements
- Prior grantees who still operate vehicles and other capital assets awarded by ODOT
- STF Agencies receiving STF funds

Note: Subrecipients and vendors may prepare information for reports, but the grantee or STF Agency must approve and submit to ODOT
How to Report

• In OPTIS – grantees submit reports electronically

• By email – on a pre-approved, limited exception basis, an agency may submit a report to ODOT reporting:

  ODOTPTDreporting@odot.state.or.us
Grant Management Quarterly Reporting

Why Report?

• Project status
• Payments
• Desk reviews
• Technical assistance
• Federal requirements for capital assets
Grant Management
Quarterly Reporting

When to Report

Quarter 1 (July – September)  November 15
Quarter 2 (October – December)  February 15
Quarter 3 (January – March)  May 15
Quarter 4 (April – June)  August 15
Grant Management Quarterly Reporting

What to Report

• Budget
• Rides and miles
• Assets
• Accidents
• Civil rights complaints
• Grant progress/milestones
What’s New:

• OPTIS quarters are now 1 through 4 for each fiscal year (July-June)
• Budget detail worksheet replaced by OPTIS reimbursement request fields
• Issues and best practices examples

HANDOUTS:
Reporting cheat sheet
Division Processes Coming Soon
Quarterly Reporting

Any Questions?
Grant Management
Other Reports

- Charter Bus
- National Transit Database
- Drug and Alcohol Management Information System
- Disadvantaged Business Enterprises
- Department of Labor

RPTD notifies agencies that need to report and provides the due date via GovDelivery system. For more information: https://www.oregon.gov/ODOT/RPTD/Pages/Reporting.aspx
New

Operations and purchased or contracted service reimbursement requests must include a breakdown of expenses

- Enter information into the OPTIS reimbursement request (Budget detail worksheet no longer used)
- Purchased Service reimbursement requests require an attached invoice
New Capitalized vehicle maintenance:

- Attach *Preventive Maintenance Capital Expense Invoice Attachment*, or another form that contains all the required information
- Submit receipts only if RTC requests them
Procurement
Vehicle Mileage and Condition

- New federal state of good repair reporting rules require quarterly data collection – recommended now and mandatory after July 1, 2019
- Required information is listed on the RPTD website
Procurement

Vehicle Purchases – Clarification

Disadvantaged Business Enterprise (DBE) Requirements

• Vehicles using federal funds must be purchased from state contracts to meet DBE requirements and ensure manufacturers are certified transit vehicle manufacturers

• All vehicles purchased with federal funds must be ADA-accessible
Procurement

Grant-funded Capital Purchases

- Order early
- Request reimbursement as soon as the item is put into service
- RTCs can submit reimbursement requests for purchases made before reports are due
Vehicle Purchase Reminders

• Send bid documents to RTC and Capital Program Coordinator for approval before sending to vendors
• Vehicle comparison/selection documents must also be approved prior to order
• Send signed purchase orders to Capital Program Coordinator; she will submit to vendor
Procurement

Any Questions?
Compliance

• What’s New
• Recent review results
• Common findings from past reviews
• Preparation tips

ODOT Rail and Public Transit Division
Compliance

What’s New?

• Drug and alcohol site reviews (for 5311, 5339, and agencies with CDL drivers)

• Annual desk reviews (skipped if a site review is scheduled)

HANDBOOK:
Drug and Alcohol Process
Compliance

What’s New?

• RPTD will conduct 20 reviews per year to get to 3-4 year cycle
• On-site reviews resume in 2018 (may change from every 3 years to every 5 years
Compliance

Recent Reviews

- 77 site reviews completed
- Round 2: 7 completed
- On average, findings are down 50% from round 1
### Observations by Type June 30, 2017

<table>
<thead>
<tr>
<th>Category</th>
<th>Number of Observations</th>
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<tr>
<td>Program Mgt</td>
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<td>Operations Mgt</td>
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<td>ADA</td>
<td>114</td>
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<td>Civil Rights</td>
<td>68</td>
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<td>Procurement</td>
<td>94</td>
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<tr>
<td>Use and Maint.</td>
<td>111</td>
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<td>Financial</td>
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<td>Misc.</td>
<td>36</td>
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<tr>
<td><strong>TOTALS</strong></td>
<td><strong>111</strong></td>
</tr>
</tbody>
</table>

![Bar chart showing observations by type](chart.jpg)
Compliance

Common Review Findings

1. Governance
   Primary subrecipient not exercising adequate oversight of lower tier subrecipients
Compliance

Common Review Findings

2. Procurement

- Poorly written policies
- Lack of recognition of federal requirements in purchasing policies
- No protest procedures
- Failure to include third party clauses in lower tier contracts
Common Review Findings

3. Equipment Use and Maintenance

- Failure to meet own PM intervals
- Lack of lift maintenance procedures
- No facility maintenance program
- Failure to name ODOT as additional insured
Common Review Findings

4. ADA

Printed materials intended for the public not prepared in alternative formats for the visually impaired.
Common Findings: How to Improve

**Governance**
- Write clear sub-recipient agreements
- Have your RTC review agreements prior to execution

**Procurement**
- Use resources on RPTD website
- Work with Capital Program Coordinator on each step
- Have your RTC review agreements prior to execution

**Equip and PM**
- Establish a PM tracking process that works for you
- Use sample forms on RPTD website

**ADA**
- Update passenger guides with required language
- Identify the potential riders in your service area
Best Practice Tip…
Upload the documents requested at least one week prior to your review date

- Allows for a more organized review
- Saves time for all
- No surprises at the exit interview, or when the final report is presented
Compliance

Any Questions?
Upcoming Discretionary Grants

5310 Discretionary - $1.7 M

- Available to agencies providing rural service
- Operations 50:50
- Capitalized Preventive Maintenance 80:20
- Purchased Service 80:20
- Mobility Management 80:20
- Project selection is based on project need and how each of ODOT’s guiding principles are being met.

ODOT Rail and Public Transit Division
Upcoming Discretionary Grants

5339 Bus and Bus Facilities - $4.8 M

- Available to small urban and rural agencies
- $4 M for Vehicle Replacement and Right-sizing (85:15)
  - Project selection criteria:
    - Vehicle Age (1-5 points)
    - Vehicle Mileage (1-5 points)
    - Condition as reported in OPTIS (1-5 points)
    - Geographic Balance (no points)
- $800,000 for Vehicle Expansion, Equipment, Signs and Shelters (80:20)
  - Project selection is based on project need and how each of ODOT’s guiding principles are being met
Upcoming Discretionary Grants

STP Bus Replacement - $5 M

- Available to urban, small urban, and rural agencies who are current ODOT or FTA grant recipients
- Replacement of vehicles to which ODOT holds title 89.73:10.27
- Project selection criteria:
  - Vehicle Age (1-5 points)
  - Vehicle Mileage (1-5 points)
  - Condition (as reported in OPTIS) (1-5 points)
  - Geographic Balance (no points)
Upcoming Discretionary Grants

5307 Mass Transit Vehicles - $4 M

• Available to nine designated agencies in MPO areas
• Category A and B vehicle replacements
• Project Selection Criteria:
  o Age (1-5 points)
  o Mileage (1-5 points)
  o Condition (as reported in OPTIS)
  o Geographic balance (no points)
Upcoming Discretionary Grants

Any Questions?
Wrap Up…

Any Remaining Questions?
Thanks for coming today!
PUBLIC TRANSPORTATION AND PUBLIC SAFETY
(Public Transit)

SECTION 122a. (1) As used in this section:
(a) “Employer” has the meaning given that term in ORS 316.162.
(b) “Resident of this state” has the meaning given that term in ORS 316.027.
(c) “Wages” has the meaning given that term in ORS 316.162.
(2) A tax is imposed at the rate of one-tenth of one percent of:
(a) The wages of an employee who is:
(A) A resident of this state, regardless of where services are performed.

Enrolled House Bill 2017 (HB 2017-A)
Transit fund: Overview

- Dedicated new source of state public transportation funding
- Improves public transportation service throughout Oregon
- Assessment begins - July 2018
- First grant agreements – Jan. 2019
Fund distribution

- 90% formula
- 5% competitive
- 4% competitive intercity
- 1% statewide technical resource center
Fund eligibility

- Formula funds: “qualified entities”
- Competitive grants: “public transportation providers”
- Tech. services for rural providers
Next steps

- **Fall 2017:** Advisory committee formed
- **Winter 2018:** Recommended rules to OTC
- **Mid-2018:** Grant solicitations begin
- **2019:** Grant awards, Jan and July
How to stay involved

- Visit our STIF web page
  - http://www.oregon.gov/ODOT/RPTD/Pages/STIF.aspx
- Sign-up to receive monthly email updates
- Attend Committee meetings
- Participate in public/online comment periods
Questions and contact

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