5311 Rural Transit Program
Implementation Workshop

Federal Transit Administration

Arizona Department of Transportation
Multimodal Planning Division
September 7-8, 2017
Agenda Overview – Day 1

• 2\textsuperscript{nd} Year Changes
• Reimbursement Requests – Best practices
• Program Implementation

\textit{Lunch}

• Transit Asset Management & Useful Life Benchmarks
• National Transit Database
• Vehicle Disposition, Transfers, Lien Release & Accident Reporting
• Title VI
• Successes & Sharing
Agenda Overview – Day 2

- Intercity
- Modifications during Award Year
  - Add/modify routes
- Planning
- RTAP
- Billing Summary Form
- Roundtable Discussion
MPD Transit Team

Transit Group Manager – Jill Dusenberry

Transit Program Managers
Sara Allred (Planning & Small Urban)
Ann Cochran (5310)
Sarah Fitzgerald (5311)
Valencia Goodson (5310)
Aubree Perry (5311)

RTAP & Contracts
Sarah Wuertz

E-Grants Systems Administrator
Diane Ohde

FTA Grants Administrator
George Delgado

State Safety Oversight & Drug and Alcohol Compliance
Herman Bernal
Brian Brinkley

Transit Group Intern
Michael MacDonald

5311 Consultant
Sam Chavez

5311 Consultant
Sam Chavez

5311 Consultant
Sam Chavez
5311 Program Managers

Sarah Fitzgerald
Northern & Western AZ
sfitzgerald@azdot.gov
602.712.7106

Aubree Perry
Southern & Eastern AZ
aperry2@azdot.gov
602.712.8947
Your Folder

- 5311 state map
- Award letter
- Email re: reaching 100%
- NTD 2016 numbers
- 2015 Capital List
- Other
2nd Year Changes

Contract Administration

- Contract Amendment
- Certs and Assurances
- **Reminder: Do not exceed 100% in Admin/Operating/Intercity/Preventive Maintenance**
  (refer to email sent 8/25/17)
# 2nd Year Changes

## Exhibit A – Multiple Lines

<p>| | | | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>G1C16B2T</td>
<td>No</td>
<td>20.205 (STP) Highway Planning and Construction</td>
<td>Capital</td>
<td>11.7A.00 / 1/ Capitalized Preventive Maintence</td>
<td>2016-10-01 2018-09-30</td>
<td>80 %</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>G6818K3T</td>
<td>No</td>
<td>20.509 Formula Grants for Non-Urbanized Areas</td>
<td>Capital</td>
<td>11.7A.00 / 1/ Capitalized Preventive Maintence</td>
<td>2017-10-02 2018-09-30</td>
<td>80 %</td>
</tr>
<tr>
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<tr>
<td>5</td>
<td>G777701T</td>
<td>No</td>
<td>20.509 Formula Grants for Non-Urbanized Areas</td>
<td>Capital</td>
<td>11.7A.00 / 1/ Capitalized Preventive Maintence</td>
<td>2017-09-04 2018-09-30</td>
<td>80 %</td>
</tr>
</tbody>
</table>
2nd Year Changes
Exhibit A – Multiple Lines

<table>
<thead>
<tr>
<th>No</th>
<th>Operating</th>
<th>Operating</th>
<th>2016-09-30</th>
<th>2016-10-01</th>
<th>56 %</th>
<th>$234,941.26</th>
<th>$559,364.00</th>
<th>$324,442.72</th>
<th>$440,317.52</th>
<th>$1,714,042.38</th>
</tr>
</thead>
</table>

This award does not include R&D.

Approver: Sarah Fitzgerald  
Date Approved: Sep 1, 2017 3:07PM

Totals Equal Year 1 + Year 2 Awards
E-Grants: Budget Preparation

- Award letter
- Allocate the budget
- Communicate with your financial group
- Sub-recipient can bill for reimbursement request through September 30, 2017
- E-Grants status: Award Modifications Required
E-Grants: Check Reimbursements

- Do Not exceed the budget before modifications completed for requests over 100%.
- Document excess in comments and bill next month

<table>
<thead>
<tr>
<th>Operating / Intercity funds</th>
<th>Match Ratio</th>
<th>Reimbursement Requests</th>
<th>Contract Cumulative</th>
<th>Balance</th>
<th>Approved Budget</th>
<th>% Expended</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intercity Local Share</td>
<td></td>
<td>$18,168.58</td>
<td>$121,339.00</td>
<td>$0</td>
<td>$111,510.00</td>
<td>108.81%</td>
</tr>
<tr>
<td>Intercity Federal Share</td>
<td></td>
<td>$1,687.56</td>
<td>$153,990.00</td>
<td>$0</td>
<td>$153,990.00</td>
<td>100.00%</td>
</tr>
</tbody>
</table>
E-Grants: Check Reimbursements

- Review your reimbursements to see expenditures
- Fix All overspent lines
- Allocate your budget before doing it in E-Grants
E-Grants: Finalize Reimbursements

- Last Reimbursement - submit to ADOT
- Print the last reimbursement
- Reimbursements in Progress will need to be cancelled before the Award Modifications can be completed

Print Award, Budget page, and Last Reimbursement
2nd Year Changes

Budget Shut down

- Enter Additional Funds on the Budget page in E-Grants **Target date** October 2017
- The Final Budget Amount will equal Year 1 + Year 2 awarded funds
### Awarded Budget Summary

<table>
<thead>
<tr>
<th>ADMINISTRATION BUDGET</th>
<th>Total Request</th>
<th>Revised Budget</th>
<th>Final Budget</th>
<th>Federal Request</th>
<th>Local Match</th>
<th>Subcontracted?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transit Director</td>
<td>$500</td>
<td>$500</td>
<td>$1,000</td>
<td>$800</td>
<td>$200</td>
<td>Yes/No</td>
</tr>
<tr>
<td>Administrative Assistant</td>
<td>$12,800</td>
<td>$12,800</td>
<td>$200</td>
<td>$160</td>
<td>$40</td>
<td>Yes/No</td>
</tr>
<tr>
<td>Administrative Supplies</td>
<td>$75,000</td>
<td>$75,000</td>
<td>$50</td>
<td>$40</td>
<td>$10</td>
<td>Yes/No</td>
</tr>
</tbody>
</table>
Increasing the Budget to Match the Award

**Before**

<table>
<thead>
<tr>
<th>ADMINISTRATION BUDGET</th>
<th>Total Request (2 YEARS)</th>
<th>Revised Budget (2 YEARS)</th>
<th>Final Budget (AWARDED)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administrative Staff</td>
<td>$10,000</td>
<td>$10,000</td>
<td>$10,000</td>
</tr>
<tr>
<td></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

**After**

<table>
<thead>
<tr>
<th>ADMINISTRATION BUDGET</th>
<th>Total Request (2 YEARS)</th>
<th>Revised Budget (2 YEARS)</th>
<th>Final Budget (AWARDED)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administrative Staff</td>
<td>$10,000</td>
<td>$20,000</td>
<td>$20,000</td>
</tr>
<tr>
<td></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>
Modifying a line—Do not delete, just add lines and modify amounts

**Before**

<table>
<thead>
<tr>
<th>OPERATING BUDGET</th>
<th>Total Request (2 YEARS)</th>
<th>Revised Budget (2 YEARS)</th>
<th>Final Budget (AWARDED)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Driver Training &amp; Certifications</td>
<td>$100,000</td>
<td>$100,000</td>
<td>$100,000</td>
</tr>
<tr>
<td></td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
</tbody>
</table>

**After**

<table>
<thead>
<tr>
<th>OPERATING BUDGET</th>
<th>Total Request (2 YEARS)</th>
<th>Revised Budget (2 YEARS)</th>
<th>Final Budget (AWARDED)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Driver Training &amp; Certifications</td>
<td>$100,000</td>
<td>$5,000</td>
<td>$5,000</td>
</tr>
<tr>
<td>Driver Salaries</td>
<td>$0</td>
<td>$120,000</td>
<td>$120,000</td>
</tr>
<tr>
<td>Fuel</td>
<td>$0</td>
<td>$50,000</td>
<td>$50,000</td>
</tr>
</tbody>
</table>
E-Grants: What stays

- All Capital & Planning
- If you delete lines on the capital pages, there will be an error that won’t let you return to ADOT until its fixed
E-Grants: Update Local Match & Submit

- Update Local Match page and In-kind match if needed
- Change the Status and Return to ADOT
- It will be a couple weeks before you can reimburse again.
Procurement

2nd Year Bus Orders

- Are you procuring through ADOT? Let your PM know.
- Get your bus build **NOW**
- Invoices for Local Match – November 2018
- Submit Local Match – December 30, 2018
- Target: Buses to be ordered by January/Feb 2018 for Sept 2018 Delivery
Procurement
Other Capital

Funds for Capital items awarded in Year 2 expire 9/30/2018

* Only 1 year to procure capital
Reimbursement Requests
Reimbursement Request: Back up Documentation

- Back-up documentation
  Should be clear and ties to the reimbursement line item
  Transit employees who are not 95-100% dedicated to transit must document for hourly reimbursement from the grant
# E-Grants - Sample back-up documentation

## MAY 2017

**Fund 205 Transit System - Division 3120 Transit Operating**

<table>
<thead>
<tr>
<th>City of ABC Transit Account Number</th>
<th>City of ABC Transit Account Description</th>
<th>Current Month Itemized Transactions</th>
<th>Corresponding ADOT Fund Description</th>
<th>Total Amount Invoiced</th>
</tr>
</thead>
<tbody>
<tr>
<td>205-3120-500-10</td>
<td>Salaries</td>
<td>23,161.23</td>
<td>Driver Salaries</td>
<td>25,987.89</td>
</tr>
<tr>
<td>205-3120-500-10-10</td>
<td>Regular (full-time)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>205-3120-500-10-20</td>
<td>Temporary (Part-time)</td>
<td>2,237.97</td>
<td></td>
<td></td>
</tr>
<tr>
<td>205-3120-500-10-30</td>
<td>Overtime (when applicable)</td>
<td>588.69</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>TOTAL SALARIES</strong></td>
<td><strong>25,987.89</strong></td>
<td></td>
<td><strong>25,987.89</strong></td>
</tr>
<tr>
<td>205-3120-500-20</td>
<td>Employee Benefits</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>205-3120-500-20-10</td>
<td>Group Health Insurance</td>
<td>5,862.67</td>
<td></td>
<td></td>
</tr>
<tr>
<td>205-3120-500-20-11</td>
<td>Group Dental Insurance</td>
<td>476.01</td>
<td></td>
<td></td>
</tr>
<tr>
<td>205-3120-500-20-12</td>
<td>Group Vision Insurance</td>
<td>142.10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>205-3120-500-20-20</td>
<td>Group Life Insurance</td>
<td>152.65</td>
<td></td>
<td></td>
</tr>
<tr>
<td>205-3120-500-20-25</td>
<td>EAP (Employee Assistance Program)</td>
<td>26.28</td>
<td></td>
<td></td>
</tr>
<tr>
<td>205-3120-500-20-30</td>
<td>Social Security</td>
<td>1,573.48</td>
<td></td>
<td></td>
</tr>
<tr>
<td>205-3120-500-20-40</td>
<td>Medicare</td>
<td>368.01</td>
<td></td>
<td></td>
</tr>
<tr>
<td>205-3120-500-20-50</td>
<td>Arizona Retirement System</td>
<td>2,726.47</td>
<td></td>
<td></td>
</tr>
<tr>
<td>205-3120-500-20-51</td>
<td>ACR (Alternate Contribution Rate)</td>
<td>0.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>205-3120-500-20-70</td>
<td>State Compensation Insurance</td>
<td>1,477.96</td>
<td></td>
<td></td>
</tr>
<tr>
<td>205-3120-500-20-80</td>
<td>State Unemployment Insurance</td>
<td>0.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>TOTAL EMPLOYEE BENEFITS</strong></td>
<td><strong>12,805.63</strong></td>
<td></td>
<td><strong>12,805.63</strong></td>
</tr>
</tbody>
</table>

**ADOT**
Reimbursement Request: In-kind

Activity
Reimbursement Request: In-kind

<table>
<thead>
<tr>
<th>ABC Transit - Operating Expenses</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Dispatcher</td>
<td>$ 3,400</td>
</tr>
<tr>
<td>Driver Salaries</td>
<td>$ 20,000</td>
</tr>
<tr>
<td>Volunteer Driver ($22.50/hr * 100 hrs)</td>
<td>$ 2,250</td>
</tr>
<tr>
<td>Fuel</td>
<td>$ 5,000</td>
</tr>
<tr>
<td>Supplies</td>
<td>$ 2,500</td>
</tr>
<tr>
<td><strong>Total operating cost</strong></td>
<td><strong>$ 33,150</strong></td>
</tr>
<tr>
<td>Less fare box revenue</td>
<td>$ 2,000</td>
</tr>
<tr>
<td><strong>Net operating cost before in-kind match</strong></td>
<td><strong>$ 31,150</strong></td>
</tr>
<tr>
<td>FTA Reimbursement (58%)</td>
<td>$ 18,067</td>
</tr>
<tr>
<td>Local Match Required without in-kind (42%)</td>
<td><strong>$ 13,083</strong></td>
</tr>
<tr>
<td><strong>In-kind Value (volunteer drivers)</strong></td>
<td>$ 2,250</td>
</tr>
<tr>
<td><strong>Local Match Required with in-kind</strong></td>
<td><strong>$ 10,833</strong></td>
</tr>
</tbody>
</table>
Reimbursement Request: Indirect Costs & ICAP

**Indirect Costs** – Indirect costs may only be reimbursed based on a current, approved Indirect Cost Allocation Plan

- Indirect Cost Allocation Plan
  - Must be certified by ADOT, FTA or a Cognizant Federal agency
Reimbursement Request: Donations for Local Match

- Example: A Senior Center makes a $5,000 donation to the Transit system. In return, the senior center gets unlimited passes for travel for the year.
- Any other creative examples of raising local match?
Implementation
Implementation: Charter Bus

Pop Quiz: Charter or Not a Charter?

Scenario #1
Service from an assisted living residence where the seniors live to a concert hall for an event for which they individually purchased tickets. A social worker calls the demand response service from the assisted living residence to say 10 people need to go to the concert hall. There is no exclusive use of the vehicle, a regular fee is paid, and no special treatment.
Implementation: Charter Bus

Pop Quiz: Charter or Not a Charter?

Not a Charter

(if you have a demand response service and it was organized according to the terms of the DR service)
Implementation: Charter Bus

Pop Quiz: Charter or Not a Charter?

Scenario #2
An outing arranged by the entertainment committee of the college dorm residence, including transportation to and from the residence to the concert hall only for that group.
Implementation: Charter Bus

Pop Quiz: Charter or Not a Charter?

Charter
Implementation: Charter Bus

Pop Quiz: Charter or Not a Charter?

Scenario #3
Sunnybrook nursing home would like to take its clients (100% elderly) on a fall leaf tour, stopping at a local café for pie and coffee. The nursing home would pay for and schedule the trip. The trip would be a quality of life benefit for each individual patient.
Implementation: Charter Bus

Pop Quiz: Charter or Not a Charter?

Scenario #3
Sunnybrook nursing home would like to take its clients (100% elderly) on a fall leaf tour, stopping at a local café for pie and coffee. The nursing home would pay for and schedule the trip. The trip would be a quality of life benefit for each individual patient.

Most likely a Charter

Unless: Transportation is provided with a 5310 Vehicle
Implementation: Charter Bus

Pop Quiz: Charter or Not a Charter?

Scenario #4
A service system decides to schedule a trip to and from the State Fair for residents in its community. The trip is advertised in the community, open to the public, and the regular fare is charged.
Implementation: Charter Bus

Pop Quiz: Charter or Not a Charter?

Not a Charter
Implementation: Transit Advisory Committee

- Minimum Quarterly Meetings
- Should be submitting TAC agendas and minutes to your PM
Implementation:
Complementary Paratransit

- Eligible for 90/10 Reimbursement
- State is limited to 10% of formula allocation
- Billed in the same manner as 80/20 Preventive Maintenance
ADOT Procurement and DBE Reporting

Beverly Krumm
BECO LPA/Sub-recipient Program Manager

Sara Allred
Transit Program Manager
Contracting Opportunities

- Operations
- Vehicle Maintenance
- Fuel
- Cleaning
- Facility maintenance and inspection

- Contract Services
- Accounting services
- Payroll services
- Additional temp staff
- Driver uniforms
Maximum Thresholds

- Micro Purchase <$3000 or construction <$2000
- Small Purchase >$3,000 and <$100,000
- Bidding process for $100,000+
- Please follow your agency guidelines as long as they are below these maximums
Micro-Purchase Below $3000

- What’s involved?
- Best Procurement Guidelines recommend identifying a list of potential vendors and rotating among them to include DBEs.
Small Purchase $3,000-$100,000

- Three Quote Minimum
- Federal Clauses
- Use Procurement Pro + ADOT clauses
  - ADOT will be creating a state portal
  - See your ADOT contract
$100,000+ purchases

- Bid type process must be followed
- Use Procurement Pro project + ADOT clauses and FAST Act clauses (ADOT will be creating a state portal)
- ICE- Independent Cost Estimate
- Buy America materials
- State Procurement office purchases
- Joint procurement is the preferred method
- Coordinate with ADOT Program Manager
$100,000+ purchases
Bid Cover Page

- CFDA Title and Number (20.509 Formula Grants for Rural Areas)
- Award number and year
  (GRT-14-0004675-T, 2014)
- Federal Transit Administration
- Pass through entity (ADOT)
Federal Contract Language in ALL Procurements

- Purchase Orders—Must include the language
- Where is the Federal Language?
  - ADOT’s E-Grants contract
  - ADOT’s DBE website for LPA/Subrecipients
  - Procurement Pro
Procurement Pro

- ADOT requires additional language
- State portal – upcoming!
Procurement and DBE Utilization

1. Participating in Procurements using inclusive methods and outreach to DBEs
2. Encourage Business to become certified DBEs
3. When DBEs are included, follow the federal DBE Provisions in the contract
4. Annual Reporting for ALL contracts and PO’s in the system - $2000+ for construction, $3000+ for all others
Reporting is Mandatory

See ADOT Transit Program Website for a Guide—azdot.gov/transitprograms

More Information

- Federal Transit Administration Circulars
- Guide to Reporting Contracts
Reporting Requirements

- Subrecipients must comply with federal regulations as a condition of award and to be eligible for federal reimbursement.
- Reports must be submitted monthly to ADOT to meet the Semiannual reporting deadlines May 1st and November 1st of each year.
Reporting Contract Payments and Closing Contracts

- Add (report) the payments to each contract and when the contract is complete, *close the contract*.

- Contracts must be closed in the system on an ANNUAL basis.

*If the contract lasts longer than one year, it must be closed and a new contract created at the start of the new year.*
DOTs Disadvantaged Business Enterprise (DBE) Program

DBE Program Video
ADOT’s Disadvantaged Business Enterprise Program

- As a Recipient of Federal Funds, ADOT BECO establishes and coordinates the ADOT DBE Program Plan
- ADOT sets an annual overall participation goal by conducting a Disparity Study every five years
- Approximates how much participation is expected from DBE firms
- Monitors results of participation and enforces compliance
- Participation by Prime contractors/consultants, subcontractors, and agency partners to complete fairly for federally funded transportation contracts
- DBE Certification is completed throughout the state by city of Tucson, City of Phoenix and ADOT BECO
The following goals have been approved for ADOT by the indicated USDOT Funding Agency:

<table>
<thead>
<tr>
<th>Funding Agency</th>
<th>Federal Fiscal Timeframe</th>
<th>Overall Current DBE Goal</th>
<th>Race Conscious %</th>
<th>Race Neutral %</th>
</tr>
</thead>
<tbody>
<tr>
<td>FHWA</td>
<td>2015-2017</td>
<td>8.90%</td>
<td>3.90%</td>
<td>5.00%</td>
</tr>
<tr>
<td>FTA</td>
<td>2017-2019</td>
<td>7.25%</td>
<td>N/A</td>
<td>7.25%</td>
</tr>
<tr>
<td>FAA</td>
<td>2016-2018</td>
<td>4.87%</td>
<td>N/A</td>
<td>4.87%</td>
</tr>
</tbody>
</table>

FTA DBE Goal is Race Neutral – 7.25%

Monthly Contract Award & DBE Commitment Reports
Provide information about the DBE commitments for each federally funded
AZ UTRACS makes it easy to find qualified firms to bid on our projects all over Arizona—especially where we need certified DBE contractors to meet our federal requirements.

— ADOT's Prime Contractors and Consultants
Transit Subrecipient Reporting
Guide to ADOT LPA DBE System
System Login

- Log into the online reporting system at https://arizonalpa.dbesystem.com/
- Username is your email address
- For Password and Account support; select the LOG IN Button in the center of the screen
Access to the LPA DBE System

System Access Login

Username

Password

FORGOT USERNAME / ACCOUNT LOOKUP

FORGOT PASSWORD

Remember Username

Login
Search for a DBE Firm

Account Lookup

Search the system’s user directory to find your account. You can then send yourself a username/password reminder by email and/or fax. Enter search parameters below and click the Search button. Search results are displayed below.

If you do not see your business listed in the search results, or the contact information is incorrect, please email Customer Support. Include your business’ and personal contact information for account verification. We may need to request additional information for security purposes.

Search by Business Name or DBA

Business Name/DBA
Tip: Try just a few letters of the firm’s name.

Search by Tax Identification Number

Tax ID Number
Tip: Must be 9 numbers; do not enter spaces or dashes.

Search by Contact Person

Contact Person
First Name: 
Tip: Use the first letter.

Last Name: 
Tip: Try just the first few letters.
In the Contract Management screen select **Compliance Audit List**
Transit Programs and Grants

Program Handbooks, Applications and Awards

Announcements
E-Grants is now available! View the application training session.

More Information

- ADOT Civil Rights
- Disadvantaged Business Enterprise Program (DBE)
- Federal Transit Administration Circulars
- Guide to Reporting Contracts
Questions?

Beverly Krumm, LPA/Sub-recipient Program Manager
1801 W Jefferson, MD 154A, Phoenix, AZ 85007
Office: 602.712.4074
Email: bkrumm@azdot.gov

Sara Allred, Transit Program Manager
Office: 602.712.4498
Email: sallred@azdot.gov
Transit Asset Management
What is Transit Asset Management?

- Business model
- Condition of assets
- Guides prioritization of funding
- Goal = State of Good Repair (SGR)
Anticipated Benefits of TAM

- Improved transparency and accountability
- Optimized capital investment and maintenance decisions
- More data-driven maintenance decisions
- Potential safety benefits
Performance Management Framework

FTA
- Transit Asset Management
- National Public Transit Safety Plan
- Public Transportation Agency Safety Plan

FHWA
- Safety Performance
- Pavement and Bridge Condition
- System Performance & CMAQ
- Highway Safety Improvement Program
- Highway Asset Management Plan
TAM Final Rule – CFR Part 625

- General Provisions
- National Transit Asset Management System
- Transit Asset Management Plans
- Performance Management
- Recordkeeping and Reporting Requirements
TAM – General Provisions

- **Purpose**
  - To help achieve and maintain a state of good repair for the nation’s public transportation systems

- **Applicability**
  - All recipients or subrecipients of Federal financial assistance under 49 USC Chapter 53
    - own, operate or manage capital assets used for public transportation.
Definition of “Public Transportation”

The term “public transportation” (49 USC 5302)

Regular, continuing shared-ride surface transportation services that are **open to the general public** or **open to a segment of the general public defined by age, disability, or low income**.

Only groups not included in this definition = membership only groups.
National Transit Asset Management System

- State of Good Repair
  - The condition in which a capital asset is able to operate at a full level of performance. This means the asset;
    - Is able to perform its designed function
    - Does not pose a known unacceptable safety risk, and
    - Its lifecycle investments have been met or recovered.
TAM and State of Good Repair

- Purpose of the National TAM System = Transit assets in a State of Good Repair (SGR)
- Consequences of not being in a SGR include:
  - Safety risks,
  - Decreased system reliability
  - Higher maintenance costs, and
  - Lower system performance
Transit Asset Management Plans – Applicability Tier I or Tier II

**Tier I**

- Operates Rail **OR**
- >= 101 vehicles across all fixed route modes **OR**
- >= 101 vehicles in one non-fixed route mode

**Tier II**

- Sub-recipient of 5311 Funds **OR**
- American Indian Tribe **OR**
- <= 100 vehicles across all fixed route modes **OR**
- <= 101 vehicles in one non-fixed route mode
Responsibility for TAM Plan Development

- Each transit provider must designate an Accountable Executive.
- Plan Coordination
  - A Tier I provider must develop their own TAM plan
  - A Tier II provider may participate in a group plan or opt out and develop their own TAM plan
  - A Group Plan participant must collaborate with the sponsor in the development of the TAM plan.
Group Plans

- Group Plans compiled by a sponsor

  Generally the State DOT or Designated/Direct Recipient

  - ADOT will be developing a group plan.
  - Sponsor is not the Accountable Executive for its Group TAM Plan participants.
  - Small urban operators (5307 Recipients) are not required to be offered a group plan.
TAM Plan Elements

1. Inventory of Capital Assets
2. Condition Assessment
3. Decision Support Tools
4. Investment Prioritization
5. TAM and SGR Policy
6. Implementation Strategy
7. List of Key Annual Activities
8. Identification of Resources
9. Evaluation plan

Will review elements 1 – 4 in the next slides
A listing of all capital assets;
- Owned by the transit provider
- Equipment > $50,000 in value
  - Construction, service vehicles and maintenance
- Rolling stock
- Facilities
  - Support Facilities, Passenger Facilities (not small bus shelters), Parking Facilities
- Include assets acquired without FTA Funds
2 - Condition Assessment

- A rating of the inventoried assets
  - e.g., age; good/fair/poor; percentage of residual life
- Use ratings to monitor performance and plan capital investment
- Condition assessments may include natural/climate hazards
3 - Decision Support Tool

- List analytical process used to make investment prioritization
  - To estimate capital investment needs over time
  - To assist in prioritization
4 – Investment Prioritization

- A ranked listing of proposed projects and programs
  By year of planned implementation

- Prioritization locally determined
  Based on policy and need

- Must adequately consider
  Identified unacceptable safety risks
  Accessibility requirements

- Fiscally constrained based upon estimated funding
TAM Plan Timeframes

- Plans must be completed by October 1, 2018
- Updated at least every 4 years
- Should be amended when any significant change occurs.
Performance Management

- Initial performance targets being developed by ADOT
- Initial Performance Targets should have been identified by January 1, 2017
- Performance Targets are set annually
- Performance Targets are developed by asset class
- Targets for Group Plans apply to the group as a whole
- Reported annually to the National Transit Database (NTD)
Useful Life Benchmark (ULB)

- Expected lifecycle for capital assets within an agency’s operating environment, or the acceptable period of use in service for an agency’s operating environment.
- Accounts for a provider’s unique operating environment (i.e. geography, service frequency, etc.).
- FTA default ULB values.
- ADOT has not determined which ULB values will be used.
FTA – Sample Default ULB

See handout in your folder

Default Useful Life Benchmark (ULB) Cheat Sheet

Source: 2017 Asset Inventory Module Reporting Manual, Page 53

Transit Agencies will report the age of all vehicles to the National Transit Database. FTA will track the performance of revenue vehicles (Rolling Stock) and service vehicles (Equipment), by asset class, by calculating the percentage of vehicles that have met or exceeded the useful life benchmark (ULB).

FTA has set a default ULB as the expected service years for each vehicle class in the table below. ULB is the average age-based equivalent of a 2.5 rating on the FTA Transit Economic Requirements Model (TERM) scale. Transit agencies can adjust their Useful Life Benchmarks with approval from FTA.

<table>
<thead>
<tr>
<th>Vehicle Type</th>
<th>Default ULB (in years)</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB Articulated bus</td>
<td>14</td>
</tr>
<tr>
<td>AG Automated guideway vehicle</td>
<td>31</td>
</tr>
<tr>
<td>AG Automobile</td>
<td>8</td>
</tr>
<tr>
<td>BR Over-the-road bus</td>
<td>14</td>
</tr>
<tr>
<td>BU Bus</td>
<td>14</td>
</tr>
<tr>
<td>CC Cable car</td>
<td>112</td>
</tr>
<tr>
<td>CU Cutaway bus</td>
<td>10</td>
</tr>
<tr>
<td>DB Double decked bus</td>
<td>14</td>
</tr>
<tr>
<td>FS Ferryboat</td>
<td>42</td>
</tr>
<tr>
<td>FR Heavy rail passenger car</td>
<td>31</td>
</tr>
<tr>
<td>IP Inclined plane vehicle</td>
<td>56</td>
</tr>
<tr>
<td>LR Light rail vehicle</td>
<td>31</td>
</tr>
<tr>
<td>MR Minibus</td>
<td>10</td>
</tr>
<tr>
<td>MO Monorail vehicle</td>
<td>31</td>
</tr>
<tr>
<td>MV Minivan</td>
<td>8</td>
</tr>
<tr>
<td>OA Other rubber tire vehicles</td>
<td>14</td>
</tr>
<tr>
<td>OL Commuter rail locomotive</td>
<td>39</td>
</tr>
<tr>
<td>OP Commuter rail passenger coach</td>
<td>39</td>
</tr>
<tr>
<td>RS Commuter rail self-propelled passenger car</td>
<td>19</td>
</tr>
<tr>
<td>RT Rubber-tired vintage trolley</td>
<td>14</td>
</tr>
<tr>
<td>SB School bus</td>
<td>14</td>
</tr>
<tr>
<td>SL Steel wheel vehicles</td>
<td>25</td>
</tr>
<tr>
<td>SR Stracar</td>
<td>37</td>
</tr>
<tr>
<td>SV Sport utility vehicle</td>
<td>8</td>
</tr>
<tr>
<td>TB Trolleybus</td>
<td>13</td>
</tr>
<tr>
<td>TR Aerial tramway</td>
<td>12</td>
</tr>
<tr>
<td>VN Van</td>
<td>8</td>
</tr>
<tr>
<td>VT Vintage trolley</td>
<td>58</td>
</tr>
</tbody>
</table>
Performance Measures

- **Equipment = Age**
  - % of vehicles that have met or exceeded their ULB.

- **Rolling Stock = Age**
  - % of revenue vehicles within an asset class that have met or exceeded their ULB.

- **Facilities = Condition**
  - % of facilities with a condition rating below 3.0 on the FTA Transit Economic Requirements Model (TERM) scale. (1=poor to 5= excellent)
Recordkeeping and Reporting Requirements

- ADOT as a group plan sponsor will submit reports
- Subrecipients will be required to submit information to ADOT annually.
- ADOT will submit to NTD
  - Data Reports – projected performance targets for the next fiscal year and System Condition and Performance Report
  - Narrative Report – change in condition and progress toward targets
Certification

- TAM Plans are Self-Certified by the Accountable Executive
- FTA is updating the Certifications and Assurances to reflect the TAM Plan Requirements
- FTA will review plans and progress – Triennial, State Management Reviews and MPO Certification Reviews.
### Summary of 5311 TAM Rolling Stock

<table>
<thead>
<tr>
<th>FTA ULB</th>
<th>Bus (14 years)</th>
<th>Cutaway Bus (10 years)</th>
<th>Van (8 years)</th>
<th>Trolleybus (13 years)</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total amount of vehicles</td>
<td>2</td>
<td>142</td>
<td>40</td>
<td>4</td>
<td>188</td>
</tr>
<tr>
<td>Average age</td>
<td>1</td>
<td>5.5</td>
<td>6.4</td>
<td>11</td>
<td>5.8</td>
</tr>
<tr>
<td>% at or past ULB-Useful Life Benchmark</td>
<td>0% (0 Buses)</td>
<td>9% (13 CU Buses)</td>
<td>45% (18 vans)</td>
<td>0%</td>
<td>16%</td>
</tr>
<tr>
<td>Average Value</td>
<td>$400,000</td>
<td>$127,683</td>
<td>$63,987</td>
<td>$150,000</td>
<td>$117,503</td>
</tr>
</tbody>
</table>
Next Steps

- ADOT is working on performance measures for the ADOT Group Plan.
- Information will be shared with you in the next 30 days.
- 5310 and 5311 sub-recipients will need to:
  - Decide to be a part of the ADOT group plan.
  - If opt out, agency must develop their own TAM Plan.
  - If part of the ADOT plan, must identify your accountable executive
Jill Dusenberry, Transit Group Manager
Office: 602.712.8243
Email: jdusenberry@azdot.gov
National Transit Database
National Transit Database
NTD Opens September 15

- Nation’s primary source for information on transit systems
- NTD performance data are used to apportion over $5 billion annually
National Transit Database

Self Reporting Agencies

- ADOT will open NTD for self-reporters
- Self-reporting Agencies: any agency that receives FTA funds directly as well as from ADOT
  - Tribes
  - Urban areas
- ADOT will provide key financial data
National Transit Database

Modes

- Bus (MB)
- Commuter Bus (CB)
- Demand Response (DR)
- Vanpool (VP)
- Other
National Transit Database

Bus (MB)

- Bus (MB)
  - Fixed-route bus service is the most prevalent transit mode in the country
  - Transit agencies must report any route deviation as MB service
National Transit Database

Commuter Bus

- Commuter Bus (CB)
- Operates with multiple trip tickets, multiple stops in the outlying areas, limited stops in the central city, and at least five miles of closed-door service.
Demand Response (DR)

- Shared-ride demand response service is scheduled in response to calls from passengers.
National Transit Database

Intercity

- Other - Intercity
  - If you **only** receive 5311(f) funds, there is a separate NTD reporting package for intercity service
  - ADOT is working with NTD to determine how NTD would like this reported for agencies that receive regular 5311 funds and 5311(f) intercity funds – we will provide guidance to each agency
National Transit Database Reporting Requirements

- NTD Forms – Reduced Reporting
- Separation by Mode
  - Unlinked passenger trips
  - Annual vehicle revenue hours and miles
  - Cost allocation

**IMPORTANT**
Must track by mode
- Passenger trips
- Revenue hours
- Revenue miles
Vehicle Disposition, Transfer, Lien Release & Accident Reporting
Vehicle Lien Release

- Requires written Permission to ADOT PM
  - Has vehicle reached Useful Life criteria?
  - Reason for lien release
  - What will be done with the vehicle once lien is released?
Vehicle Disposition

- Creating a form to streamline process
- Completed form and supporting documents to your ADOT PM
- Please provide feedback on form!
## Vehicle Disposition

<table>
<thead>
<tr>
<th>VIN</th>
<th>Grant Vehicle was purchased under</th>
<th>Make</th>
<th>Model</th>
<th>Year</th>
<th>Mileage</th>
<th>Has it reached useful life?</th>
<th>Service dates of vehicle</th>
<th>Date removed from service</th>
<th>Requires a lien release?</th>
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</tbody>
</table>
Vehicle Transfer

- Requires approval from ADOT PM
- Identify Vehicle being transferred
- Make sure you have necessary documents to complete transfer
  - ADOT Equipment Services Inspection Report
  - All payments have been received
  - Possible Lien Release for Clear Title
  - Power of Attorneys
Vehicle Accident Reporting

- 24 hours to report accident to ADOT PM
- Drug & Alcohol testing required if driver’s conduct contributed to accident
  - May not be immediately known cause of accident, therefore it is best practice to always conduct post-accident testing
Vehicle Accident Reporting, con’t

- Accident Report from Transit Agency and Police
- Photos of Damage
- Estimates for Repair
  - If Total Loss ADOT will have to coordinate with the Insurance company
- Provide Final Documentation of Insurance Claim outcome
Title VI Civil Rights and Americans with Disabilities Act (ADA)
Title VI Reminders

- Title VI Plan – Follow it!
  - Self-certification for Year 2 submitted
  - Complaint Process
  - Title VI Notice to the Public – Poster & Notice for all Public Outreach
- Report staff changes
Complaints

- Log all complaints—ADA & Civil Rights
- Report discrimination complaints to Civil Rights Office (CRO) and copy your 5311 program managers.
- Complaint investigation procedures
  - Located in the Title VI Plan
ADA

- Service animals
- Equivalent service
- Wheelchair service-PASS or other training
- ADA complaints
- Transit accessible facilities for public meetings
Contact Us

- ADOT CRO is available anytime to provide guidance for implementation plans
  - recipients do not have to wait until application periods
  - early communication is recommended

Civil Rights

Title VI: Nondiscrimination Program

- ADOT CRO is available anytime to provide guidance for implementation plans
  - recipients do not have to wait until application periods
  - early communication is recommended

FTA Funded Programs

ADOT FTA Program:
- ADOT Nondiscrimination Notice (English/ Español)
- ADOT Complaint Procedures
- ADOT Complaint Form

FTA Subrecipient Resources for ADA/Title VI program submittals
- Sample Title VI Non Discrimination Plan Template
- Sample ADA Policy
- Applying the Four-Factor Framework
- Directions to gather Census LEP data
- Developing an Implementation Plan on Language Assistance
- 2017 AzTA/ADOT Annual Transit Conference Presentation
- I Speak Cards 2004
- FTA Title VI Requirements and Guidelines for Federal Transit Administration Recipients Circular 4702.1B

https://www.azdot.gov/business/civil-rights/title-vi-nondiscrimination-program/fta-subrecipient-programs
https://www.azdot.gov/business/civil-rights/ada-nondiscrimination-program/fta-subrecipient-programs
Contact Us

ADOT Civil Rights Office
206 S. 17th Ave., Room 183
Phoenix, AZ 85007
602.712.8946
CivilRightsOffice@azdot.gov

Lucy Schrader
ADA/Title VI Nondiscrimination Program Coordinator

Krystal Smith
ADA Program Manager

Felicia Beltran
Title VI Program Manager
Let’s hear from you!
Success Stories

Bullhead City
Bus Shelters
Success Stories

Yavapai Regional Transit

Paulden Plunge

Third try’s a charm for Paulden Plunge

Photo by Ken Sain. Chino Valley Review

Yavapai Regional Transit dropping kids off at the Chino Valley Aquatic Center last summer.
For as long as there have been roads in Arizona, there have been people who plan, build, and maintain them. It's these skilled women and men who have made this state's transportation history a remarkable one. From 1912 when the Arizona Highway Department was first established, to right now, right here at ADOT, state employees have continuously done the work necessary to keep Arizona moving. Take a look back at some of their stories.

Complain about the memory on your computer or a slow internet connection all you want, but at least you're not relying on the Wang word processing system to get things done.

Introduced to ADOT employees in the March 1987 issue of Newsbeat as "a new generation of computerized word processing," the technology was actually pretty impressive for its time.

Without a doubt, it represented a huge step up from the 1960s-era Wl-Bur word processing system the agency had been using prior to the upgrade. According to ADOT's employee newsletters, the Wang system would cut production time by as much as 50 percent.

Newsbeat also gave readers a rundown of the main selling points...

"The Wang system permits entering material continuously rather than hitting a return button after each line; does not require various commands for various documents; has buttons to automatically center and indent documents; can move paragraphs more easily, and generally is more "user friendly."

"Additionally, Wang printers automatically can feed one of three different types of paper, can print 24 pages a minute, and can collate the pages."

"The 43 workstations are controlled by a Wang V5100 mini-computer, making it possible for ADOT personnel to transmit documents, such as highway construction contracts and condemnation cases, electronically to the department's legal staff, which also has a Wang mini-computer."

It'd be easy to have a laugh at how outdated the technology in this photo seems, but we all know that before very long, the high-tech equipment we're currently using to do our jobs will become obsolete too.

-Angela D. Hellis, Senior Communications Specialist
Success Stories

NAIPTA

The most important part of the study is you!

Winslow Transit Plan
Let your voice be heard!
Success Stories

Douglas

Cochise Connection
Welcome to the Cochise Connection!

Representing a new era of regional transportation for Cochise County
Service Development

• 2016 feasibility study sponsored by SEAGO and funded by a Legacy Foundation grant
• Community workshops, stakeholder meetings, and surveys used to identify demand for service
• Conclusion: There is ample demand for a regional transit service
Service Priorities

• Access to education, healthcare, and employment
• Working with local operators to provide first and last mile connections
Service Overview

- Service begins August 7, 2017
- Operates Monday – Saturday
- Round trip service between Douglas and Sierra Vista
  - Three round trips Monday – Friday (6:15 am – 6:30 pm)
  - Two round trips Saturday (8:30 am – 5:15 pm)
Service Area

• Initial routing travels between Douglas and Sierra Vista, with stops at:
  ▪ Douglas Visitor/Transit Center
  ▪ Cochise College, Douglas campus
  ▪ Lowell Plaza, Bisbee
  ▪ Canyon Vista Medical Center, Sierra Vista
  ▪ Cochise College main campus, Sierra Vista
  ▪ Sierra Vista Transit Center
## Schedule

### BUS STOPS: / PARADAS DE AUTOBUS:

#### NORTHBOUND
1. Douglas Visitor/Transit Center
2. Cochise College – Douglas
3. Lowell – Bisbee
4. Canyon Vista Medical Center – Sierra Vista
5. Cochise College main campus – Sierra Vista
6. Sierra Vista Transit Center

#### SOUTHBOUND
6. Sierra Vista Transit Center
5. Cochise College main campus – Sierra Vista
4. Canyon Vista Medical Center – Sierra Vista
3. Lowell – Bisbee
2. Cochise College – Douglas
1. Douglas Visitor/Transit Center

### TRIP 1 / TRIP 2 / TRIP 3

#### WEEKDAYS / ENTRE SEMANA

<table>
<thead>
<tr>
<th></th>
<th>TRIP 1</th>
<th>TRIP 2</th>
<th>TRIP 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>NORTHBOUND</td>
<td>6:15 AM</td>
<td>11:30 AM</td>
<td>3:30 PM</td>
</tr>
<tr>
<td></td>
<td>6:26 AM</td>
<td>11:41 AM</td>
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<td></td>
<td>6:49 AM</td>
<td>12:04 PM</td>
<td>4:04 PM</td>
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<td></td>
<td>7:22 AM</td>
<td>12:37 PM</td>
<td>4:37 PM</td>
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<td>7:29 AM</td>
<td>12:44 PM</td>
<td>4:44 PM</td>
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<tr>
<td></td>
<td>7:34 AM</td>
<td>12:49 PM</td>
<td>4:49 PM</td>
</tr>
<tr>
<td>SOUTHBOUND</td>
<td>7:49 AM</td>
<td>1:04 PM</td>
<td>5:04 PM</td>
</tr>
<tr>
<td></td>
<td>7:52 AM</td>
<td>1:07 PM</td>
<td>5:07 PM</td>
</tr>
<tr>
<td></td>
<td>7:57 AM</td>
<td>1:12 PM</td>
<td>5:12 PM</td>
</tr>
<tr>
<td></td>
<td>8:33 AM</td>
<td>1:48 PM</td>
<td>5:48 PM</td>
</tr>
<tr>
<td></td>
<td>8:56 AM</td>
<td>2:11 PM</td>
<td>6:11 PM</td>
</tr>
<tr>
<td></td>
<td>9:09 AM</td>
<td>2:24 PM</td>
<td>6:24 PM</td>
</tr>
</tbody>
</table>

### TRIP 1 / TRIP 2

#### SATURDAY / SÁBADO

<table>
<thead>
<tr>
<th></th>
<th>TRIP 1</th>
<th>TRIP 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>NORTHBOUND</td>
<td>8:30 AM</td>
<td>2:30 PM</td>
</tr>
<tr>
<td>SOUTHBOUND</td>
<td>10:03 AM</td>
<td>4:03 PM</td>
</tr>
</tbody>
</table>

### MADE POSSIBLE BY A PARTNERSHIP BETWEEN:

- SEAGO
- Legacy Foundation of Southeast Arizona
- Pima County Department of Transportation
- City of Douglas
- ADOT
- Cochise Connection: Operated by the City of Douglas
**Fares**

One-way fares between communities:

<table>
<thead>
<tr>
<th></th>
<th>Douglas</th>
<th>Bisbee</th>
<th>Sierra Vista</th>
</tr>
</thead>
<tbody>
<tr>
<td>Douglas</td>
<td>—</td>
<td>$3.00</td>
<td>$4.00</td>
</tr>
<tr>
<td>Bisbee</td>
<td>$3.00</td>
<td>—</td>
<td>$3.00</td>
</tr>
<tr>
<td>Sierra Vista</td>
<td>$4.00</td>
<td>$3.00</td>
<td>—</td>
</tr>
</tbody>
</table>

_Fare includes one free transfer to Bisbee Bus or Douglas Rides._

Are you likely to be a frequent rider? A monthly pass offering unlimited rides for a calendar month is available for an introductory price of $50!
Future Expansion

- Service to Benson expected to be added in early 2018
- Connecting service to Tucson still in development
Questions?

• For more information:
  ▪ www.cochiseconnection.com
  ▪ (520) 417-7400
  ▪ info@cochiseconnection.com

• See you onboard!
Day 2
Intercity
Intercity 5311(f)

- Support the connection between non-urbanized areas and the larger regional or national system of intercity bus service.
- FTA Requires 15% of 5311 apportionment to be dedicated to Intercity
### Intercity Connections

**Agencies Currently Connecting to Greyhound**
- City of Coolidge (Casa Grande)
- City of Douglas (Benson, Jan 2018)
- City of Show Low (Holbrook)
- Hopi Senom (Flagstaff)
- Navajo (Flagstaff currently not running)
- RPTA – Valley Metro (Phoenix)
- RTA Pima (Tucson)
- YCIPTA (Yuma)

### AZ Greyhound Stops
- Benson, Bullhead City, Casa Grande, Cocopah, Flagstaff, Gadsden, Gila Bend, Glendale, Holbrook, Kingman, Mesa, Phoenix, Quartzsite, San Luis, Somertown, Tolleson, Tucson, Wellton, Yuma
Intercity - Benefits

- Support the connection between non-urbanized areas and the larger regional or national system of intercity bus service.
- FTA Requires 15% of 5311 apportionment to be dedicated to Intercity
Show Low

- Interlines with 2 routes, operate as a commuter route the rest of the time.
- 3 routes run daily
- Challenge—Showing the benefit of Interline agreement to their Board.
Coolidge Intercity Connector
Challenge: Intercity Match is confusing
Ajo to Tucson - Persistence is required
Challenge—3rd party contracting
Hopi-Successful Partnerships and Surprise

- Greyhound stopped operating service in Winslow.
- Interline agreement took nearly 2 years to get into place.
Navajo Transit-Partnerships take time and good timing
Douglas—New Service working to partner

- Douglas looked to partner with another Intercity Transit agency.
- Timing hasn’t worked for Intercity connections
- Start as commuter adding, may add an intercity extension.
Intercity Map*

- Many AZ routes
- Requested that our routes are updated
- Future routes coming

*by KFH Group
Outreach to Private operators
Challenges

- In-kind match is not intuitive
- Timing of routes and locations
- Getting agreements signed
- No clearly defined process to get to an agreement. (ADOT stepped in to fill this role.)
- 3rd party contractors
- Moving stops and stations
Recommendations

- States can have a significant role in negotiating these agreements.
- Work with both public and private operators
- Find a transit champion
- Be persistent
- Request the updates to the maps
- Provide In-kind match calculators whenever possible.
- Make sure your marketing shows the intercity connections you make.
Planning
Planning

- When is planning needed?
- What’s Eligible?
  - Feasibility Studies
  - Short-range Transit Plans
  - Long-range Transit Plans
  - Fleet/Facility Management Plans
Current Planning Projects

- Bullhead City
- Winslow
- NACOG
- Eloy
- Casa Grande
- Hopi
- CAG
- City of Maricopa
- NAIPTA
- Cottonwood / Sedona
- Navajo
- Other
15. What type of study are you requesting? *

- Transit Feasibility Study
- Transit Service Implementation Plans
- Transit Operations Planning
- Transit Facility Planning
- Transit Marketing Plans
- Short Range Transit Plans
- Regional Mobility and Coordination Planning
- Ridership Surveys
- Origins and Destination Study
- Route Planning and System Efficiency Study
- Regional Transit Planning, Travel Forecasting, & Model
- Bike and Pedestrian Network Studies
- Statewide Transit Planning
- Other

Call for Projects – Due Oct 26\textsuperscript{th}

or submit with 5311 application

Rural Transportation Assistance Program (RTAP)

Sarah Wuertz/ Jill Dusenberry
Rural Transit Assistance Program (RTAP)

Purpose

To provide financial assistance to rural transportation organizations in training their employees and ensuring that they are in compliance with FTA Rules and Regulations.
RTAP Survey Results

- Organizations are using internal and external resources to conduct training.
- Additional training is needed and wanted.
- Customer service training is highly desired.
- Program sub-recipients are working diligently to meet required training criteria.
- Better training planning is a frequent recommendation.
- Bringing training to different areas of the state would increase participation.
The Challenges

- Cumbersome Process
- Cannot track attendance well
- Projecting training needs
- Pre-approval requests not timely submitted
- Grantees attending workshops without receiving formal ADOT approval
The Current Process

- Submit reimbursement request
- Receive scholarship confirmation and purchase order number
- Submit Billing Summary Report (BSR) with documentation

(Attend tomorrow’s “Reimbursement Requests” breakout session to learn more about the BSR)
Resources

ADOT’s RTAP Website

http://webbuilder.nationalrtap.org/azdot

National RTAP
Rural Transit Assistance Program

www.nationalrtap.org
RTAP Resources for Scholarships

Each Section 5311 grantee agency has an ongoing training program. Section 5310 grantees are encouraged to contact the 5311 agency in their area to obtain a training schedule and availability of classroom training. Regularly offered training may include Passenger Service & Safety, CPR, Basic First Aid, Defensive Driving and others.

<table>
<thead>
<tr>
<th>Training Opportunities and Resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>Throughout the grant year the Arizona RTAP provides training opportunities and other events to enhance the safety and quality of service of the grantees. Training is offered in a combination of delivery formats. Classroom instruction, Webinar, online distance learning, self-paced CD ROMs, and DVD's. Other events include hosting national organizations training courses such as the National Transit Institute (NTI), the Community Transportation Association of America (CTAA) and others. Rural Transit Conferences are held each year and the agendas are geared towards specific training needs of the grantees. The conferences provide a forum for transit managers and supervisors to network and gain best practice information from their peers.</td>
</tr>
<tr>
<td>Grantees who have any questions about Arizona Rural Transit Assistance Program please email <a href="mailto:RTAP@azdot.gov">RTAP@azdot.gov</a></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Training Resources for Scholarships</th>
</tr>
</thead>
<tbody>
<tr>
<td>RTAP Policy Manual</td>
</tr>
<tr>
<td>Arizona State Reimbursement Rates</td>
</tr>
<tr>
<td>RTAP Scholarship Pre-approval Form</td>
</tr>
<tr>
<td>RTAP Post Event Expense Reimbursement Form</td>
</tr>
</tbody>
</table>

2 The Point Training Resources from National RTAP
- Refresher trainings for drivers

Training Library
- Emergency Procedures for Rural Transit Drivers
Current RTAP Pre-Approval Form

RTAP Pre-approval Request

Name of Agency:

Grant Program:  
☐ 5311  ☐ 5310

Agency Contact and Title:  
Agency Address:

Phone:  
FAX:  
E-mail:  

Name and Title of person attending:  
Name of Training / Event:  
Date of Event:
Registration Fee $:
Current RTAP Pre-Approval Form Cont.’

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Estimated Lodging $</td>
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<tr>
<td># of Miles Round Trip</td>
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<tr>
<td>Mileage $</td>
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<tr>
<td>Estimated Meals $</td>
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<td>PASS Training Workbooks $</td>
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<tr>
<td>Estimated Other Transportation $</td>
<td></td>
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<tr>
<td>TOTAL ESTIMATED EXPENSE $</td>
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</tbody>
</table>

By signing this form I certify that the information is a reasonable estimate of eligible expenses in accordance with the RTAP policy.

Grantee Authorized Signature: [Signature]
Date: [Date]

- Submit this form via email to: RTAP@azdot.gov
The Future of RTAP

- The Transit Group is working to simplify and streamline the process
- Will implement the ADOT MPD Billing Summary Report to submit RTAP Reimbursement Requests using DocuSign
RTAP Reimbursement Requests

Sally J. Palmer, BSIT-NT/TLC, MBA, CASPP
Contracts Program Manager
The form contains all information needed for each Performer to complete workflow, Recordkeeping, and meets all known audit and compliance requirements.
# Form Overview

## Task Assignment Number
- **(MPD Tracking Number)**
- **Research SPR No.**
  - Use Format: SPRxxxx
  - AERO "E" No.
- **PAZ Receipt No.**
- **ADOT PM Name**

## Project Title
- **Vendor Agency Name / Sub-Recipient Agency Name**
- **ProcureAZ ID / Customer Number**
- **Vendor PM Name & Email Address**

## Submit Payment to
- **CFDA (Catalog for Domestic Assistance) Number & Title**
- **Federal Funding Agency**
- **Contract No.**
  - Use Format: JPA... GRT... or IGA...
- **PO No: Release OR GAE No (AFIS) {Sub-recipient Only}**

## Notice of Award
- **(Date)**

## Invoice Information
- **Invoice Number**
- **Invoice Date**
- **Period of Performance**
- **Total Billed in Prior Periods**
- **Partial or Final?**

## Summary of Work for Which Payment is Requested

<table>
<thead>
<tr>
<th>Work Element or Task Number</th>
<th>Work Element Description</th>
<th>Originally Awarded Budget Amount</th>
<th>Approved Changes (Cardinal Changes Prohibited)</th>
<th>Total Budget</th>
<th>Prior Net Amount Invoiced</th>
<th>Billing for This Invoice</th>
<th>Match or Retainage Applied to This Invoice</th>
<th>Net Amount Due to Vendor This Invoice</th>
<th>Messages / Comments</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

**Total Billed in Prior Periods**

**Total Project Budget Awarded**

**Prior Net Amount Invoiced**

**Total Budget**

**Net Amount Due to Vendor This Invoice**

**Messages / Comments**

### Color Key
- Green = Provided in ADOT Documentation
- Teal = Vendor/Customer Generated Information
- Lavender Blue = Form Calculated Field

---

Page 1 has 3 sections:

- **Header**
- **Detail**
- **Notes**
Color Coded

- Fields in Green are project-specific and easily obtained by referring to MPD project documents such as:
  - Task Assignment Header
  - Purchase Order
  - Contract Header or Exhibit A

- Fields in Teal come from the Vendor/Customer and differ with each payment request

- Lavender Blue fields are calculated. The form is protected to discourage accidental overwriting of formula
Support Tab: **FTA Echo Draw**

- This form only populates if “FTA” is selected on the Billing Report tab for the **Federal Funding Agency** field.
- Only Action Required: If the tab populates, and you have chosen to email a PDF to MPDInvoice@azdot.gov instead of sending the spreadsheet, make sure to include this form.
Support Tab: **Travel Tool**

- The OPTIONAL *Travel Tool* tab provides a 7-day travel summary.
- Requires entry of receipt amount, maximum allowable rates by ADOT/State policy, and any deductions for ineligible costs.
- Calculates amount to Bill to MPD.
- User allowed to insert rows:
  - Recommend inserting in the middle of a section, not at the end, so formulae will copy
- Receipts/maps/logs, etc. still required.
  - Attach in order recorded on the worksheet.
- Has Links to State Travel Policy
For gas receipts, use the rental car/taxi/transit section and simply add that as the description, including that you are using agency vehicle in that description. Please note: there are rules in State policy about using personal vehicles. Please read the policy and check for eligibility under the award.

Example: Personally Owned Vehicles (POV) – you may only bill Mileage, not Gasoline. See SAAM topic 50, section 15.
Support Tab: **Travel Tool (cont’d)**

- Conference Lodging: When attending a conference, attach the conference flyer/info about the rooms/rates. That would be the amount to enter into the “Policy Max/Night” column. It would probably be a good idea to note the variance in the comments box. Also, ensure eligibility to attend a conference under the award.

<table>
<thead>
<tr>
<th>No Days</th>
<th>Lodging Place / Dates</th>
<th>Date Paid</th>
<th>Per Night Paid</th>
<th>Tax Rate</th>
<th>Total Paid</th>
<th>Policy Max/Night</th>
<th>Total Allowable By Policy</th>
<th>Disallowed by Policy</th>
<th>Total Billed</th>
</tr>
</thead>
<tbody>
<tr>
<td>2</td>
<td>Tucson 6/26-27/16</td>
<td>6/27/16</td>
<td>$159</td>
<td>10</td>
<td>$349.80</td>
<td>$174.90</td>
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</tbody>
</table>

**Total Travel Reimbursement Requested** *(should match $ on Billing Report)*

$ -

**Detailed Receipts must be submitted to be reimbursed. Please include receipt attachments in the same order as they are listed on this page.**

*Policy rate for Tucson = $98; Stayed at Conference location - lodging rate = $159*
### Sub-Recipients Only

### Special Attention (cont’d)

<table>
<thead>
<tr>
<th>Research SPR No</th>
<th>If you have an agreement with an amendment number, do NOT include amendment # here. Examples of correct format: JPA 11-005, GRT-14-0005656-T</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contract No</td>
<td>SFY2016 – PAZ PO Numbers go here. Beginning in SFY2017, all JPA/GRT/IGA agreements will have a GAE number instead. Exception: Agreements between MPD &amp; other State agencies.</td>
</tr>
<tr>
<td>PO No: Release OR GAE No (AFIS) {Sub-recipients Only}</td>
<td></td>
</tr>
<tr>
<td>Total Project Budget Awarded</td>
<td>This is the amount that will be reimbursed to your agency.</td>
</tr>
<tr>
<td>Originally Awarded Budget Amount</td>
<td>The line item amounts in this column are the total $ that will be reimbursed to your agency from your original award. For Transit Sub-Recipients, you will find this on your Exhibit A. For COG/MPO, this is in your work program budgets.</td>
</tr>
<tr>
<td>Approved Changes (Cardinal Changes Prohibited)</td>
<td>The line item amounts in this column records all changes approved from the original award.</td>
</tr>
<tr>
<td>Prior Net Amounts Invoiced</td>
<td>The line item amounts in this column should be the Net Amounts invoiced to date.</td>
</tr>
</tbody>
</table>

Use Format: SPR123 AERO "E" No
# Upcoming 5311 Dates

<table>
<thead>
<tr>
<th>Event</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Milestone Updates</td>
<td>September 2017</td>
</tr>
<tr>
<td>Finalize Budget &amp; NTD</td>
<td>October 2017</td>
</tr>
<tr>
<td>Drug &amp; Alcohol Site Visits</td>
<td>Sept/Oct 2017</td>
</tr>
<tr>
<td>2018 Application Workshop</td>
<td>Nov / Dec 2017</td>
</tr>
<tr>
<td>2018 Application Due</td>
<td>January 2018</td>
</tr>
<tr>
<td>2018 Budget Meetings</td>
<td>February 2018</td>
</tr>
<tr>
<td>Site Visits</td>
<td>2018</td>
</tr>
</tbody>
</table>
Upcoming Conferences

- **20th Annual National Tribal Transportation, Tucson**
  September 25-29, 2017

- **Arizona Rural Transportation Summit, Prescott**
  October 18 – 20, 2017 (RTAP eligible)

- **National RTAP, October 30-Nov 1, Omaha, Nebraska**
  Not RTAP eligible (you may use operating funds for travel)

- **AZTA/ADOT Conference, Tucson**
  April 8-10, 2018 (RTAP eligible)
Roundtable Discussion

- What is the biggest challenge for your transit agency?
- What are your top 3 training needs?

Questions & Answers
Evaluation Form

- Please fill out an evaluation form and leave it on your table or give to your Program Manager.

We want your feedback!
End of the workshop.
Thank you for joining us!