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State Management Plan Overview

FLORIDA DEPARTMENT OF TRANSPORTATION

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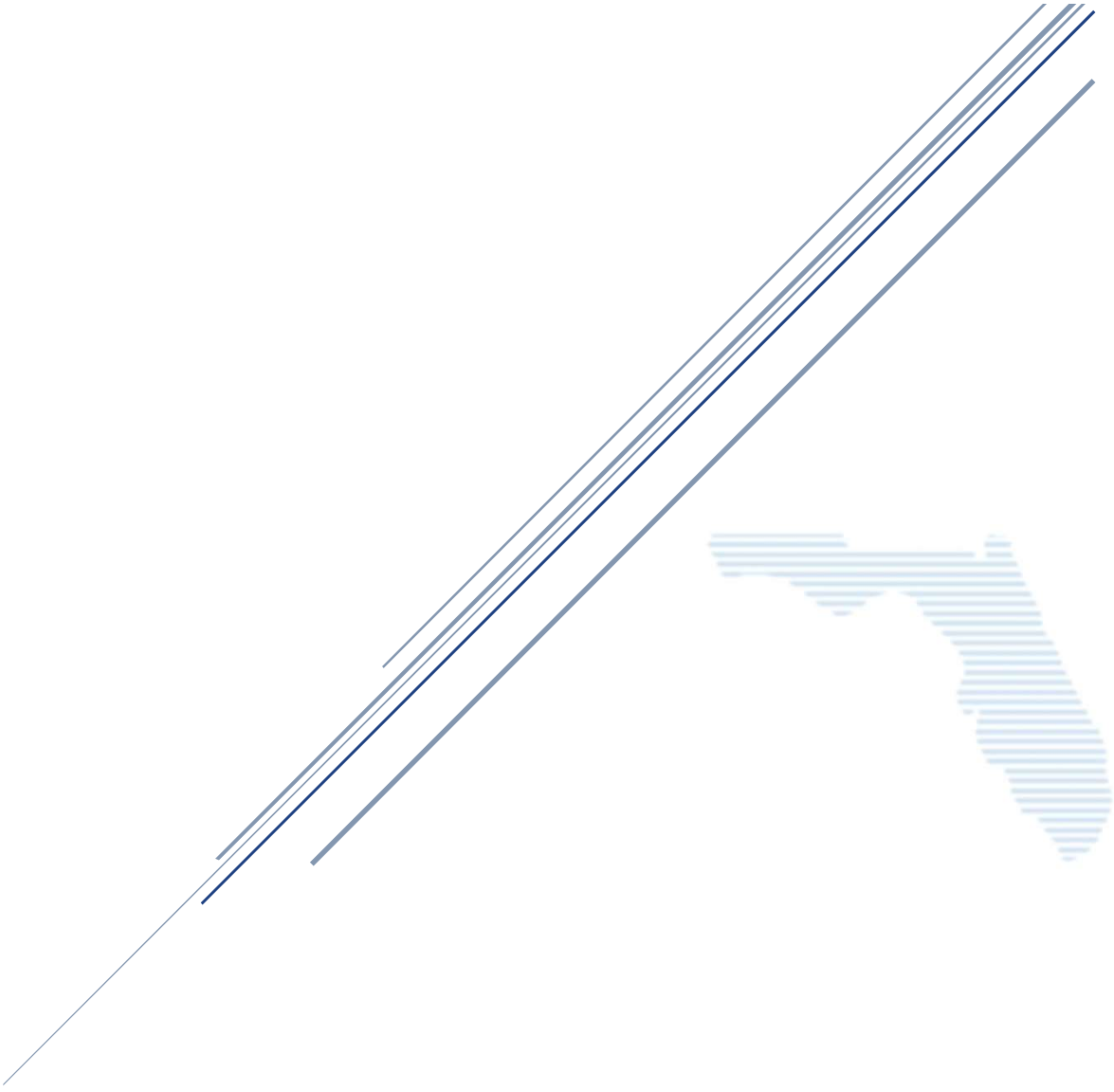
INTRODUCTION



Introduction

The Florida Department of Transportation's State Management Plan is organized into three sections. The first section is the Overview. The Overview summarizes the information required, by circular, on the Department's management of the Federal Programs.

The second section is the Standard Operating Procedures (SOP). The SOP provides detailed information on process and procedures utilized in the management and administration of the Federal Programs. The final section is the Technical Assistance Resources and Templates.

Roles and Responsibilities

The Florida Department of Transportation (FDOT) is designated under ***Chapters 20.05(1)(a) & (b), 20.23(1)(a), and 341.051(1)(a), Florida Statutes,*** to receive and administer Section 5310, 5311 and 5339 programs. FDOT operates a decentralized program comprised of a Central Office in Tallahassee and seven (7) District Offices. The Central Office is responsible for the development of policies for the administration of the programs, financial management and all TrAMS functions. The District Offices implement and monitor the programs, including but not limited to managing the grant notification, application and award processes; sub-recipient monitoring; and on-site program management. The FDOT Central Office is responsible for the procurement of all Section 5310 vehicles. This includes advertising, negotiating and awarding multiple vehicle contracts from which sub-recipients select the vehicles which best meet their needs.

The Transit Office, within the Freight, Logistics and Passenger Operations Section of the Strategic Development Division of FDOT, administers the Federal Transit Administration (FTA) and state transit programs. The Central Office is divided into three sections: Transit Planning, Grant Programs Administration and Transit Operations. The Transit Planning Section, with an administrator and two (2) staff members, manages the State Transit Planning and Research Program and the Commuter Assistance Program. The Grant Programs Administration Section, with an administrator and one (1) staff member, coordinates the FTA programs, completes applications and reports for FTA and monitors the staff members in the District Offices. The Transit Operations section, with an administrator and two (2) staff members, monitors sub-recipients' maintenance programs, conducts statewide procurements for sub-recipients' vehicles, manages the drug and alcohol program, manages the state safety oversight program and provides statewide training and technical assistance, manages the Rural Transportation Assistance Program (RTAP) and provides statewide training and technical assistance.

Staff members in the seven (7) FDOT District Offices monitor the sub-recipients; advertise, evaluate and award grant applications; provide on-site sub-recipient oversight; and provide technical assistance. The individual FDOT District Financial Offices provide an audit review and forward the invoice to the Florida Department of Financial Services for payment. The FDOT

Comptroller's Office processes ECHO drawdowns. The Administration Division of the FDOT is responsible for all EEO and the Department's compliance with Title VI. The Grant Programs Administration Office, in cooperation with the FDOT Civil Rights Office, monitors and administers the DBE and sub-recipient Title VI programs.

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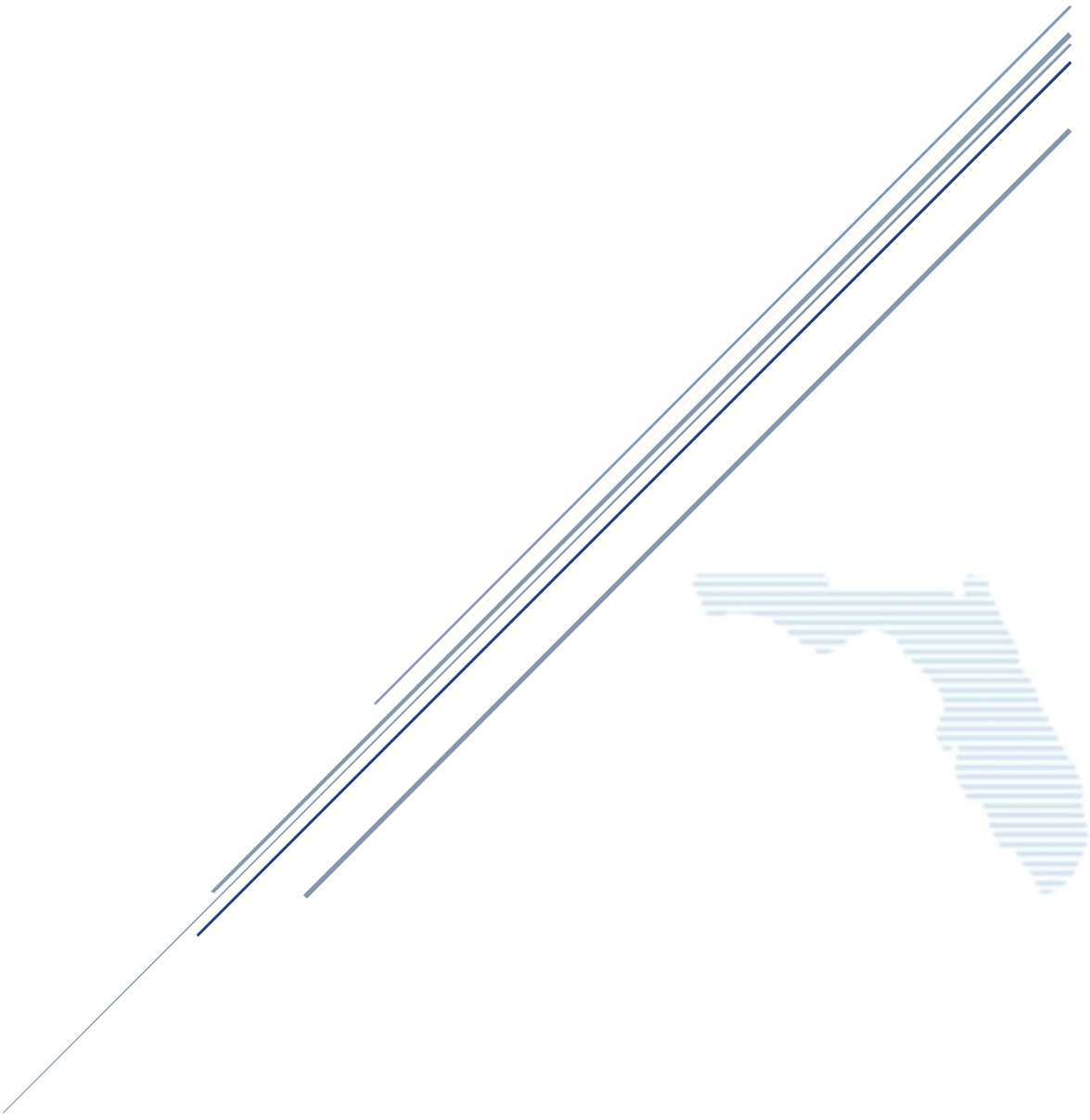
COORDINATION



COORDINATION

The Transit Office Planning Section staff fully participates in all activities associated with metropolitan transportation planning. The staff also administers a robust statewide research and planning agenda, while participating in the University Research Centers program with several of our state universities.

The Central Office coordinates with the Commission for the Transportation Disadvantaged to ensure that all locally developed Transportation Disadvantaged Service Plan's (TDSP) meet the requirements of the Locally Developed Coordinated Human Services Transportation Plan. Under ***Chapter 427, Florida Statutes***, it is mandated that all new transportation funding for the transportation disadvantaged be coordinated with the Commission for the Transportation Disadvantaged. TDSPs are developed using local stakeholder groups and are approved by local coordinating boards (LCBs).

The Central Office staff and District Office staff coordinate on rural transportation planning issues. Community Transportation Coordinators, as designated under ***Chapter 427, Florida Statutes,*** participate in the rural transportation planning process in the rural areas. The Central Office will coordinate with the Commission for the Transportation Disadvantaged to ensure that all locally developed TDSPs meet the requirements of the Locally Developed Coordinated Human Services Transportation Plan. Under ***Chapter 427, F.S***, it is mandated that all new transportation funding for the transportation disadvantaged be coordinated with the Commission for the Transportation Disadvantaged. TDSPs are developed using local stakeholder groups and are approved by local coordinating boards (LCBs).

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PROGRAM GOALS AND OBJECTIVES

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5310

The ***Section 5310 Program***, ***49 U.S.C. 5310***, was established by the U.S. Congress to provide capital funding/equipment for agencies providing transportation for seniors and persons with disabilities. The state is given some latitude in the management and administration of the program. The Florida Department of Transportation has been designated by the Governor to manage the ***Section 5310 Program*** for small urban and rural areas.

The Federal goal of the ***Section 5310 Program*** is to provide assistance in meeting the needs of seniors and persons with disabilities where public transit services are unavailable, insufficient or inappropriate.

In Florida, program funds will be used to support state designated CTCs and private nonprofit agencies, in small urban and rural areas, providing service under the terms of a coordination or transportation operator contract. These agencies coordinate and maximize the passenger carrying capacity of surface transportation facilities, providing significant services for the transportation disadvantaged.

The Department is responsible for notifying community transportation coordinators and private nonprofit organizations of the availability of the program; developing project selection criteria; determining applicant eligibility; selecting projects for funding; and ensuring adherence to federal and state program guidelines by all recipients per ***49 CFR 18.37; 49 CFR 19.5; FTA C9040.1 Ch VI, 3b & 3c; FTA C9070.1 Ch V, 10b & 10c***.

Individual projects located in an urbanized area or metropolitan area planning boundary must be listed in the Transportation Improvement Program (TIP) to receive funds/equipment. The District Office submits projects selected for funding to the MPO for listing in the TIP. All projects must be listed (in aggregate form) in the Statewide Transportation Improvement Program (STIP) developed by the Central Office.

5311

Section 5311 of the ***Federal Transit Act of 1998***, as codified at ***Formula Grants for Rural Areas 49 U.S.C. Section 5311***, provides funding for public transportation projects in non-urbanized areas. The state is given some latitude in the management and administration of the ***Section 5311*** program. The Department has been designated by the Governor to manage the ***Section 5311*** program in Florida.

The federal goal of the program is to enhance the access of people in rural areas to health care, shopping, education, employment, public services and recreation; to assist in the maintenance, development, improvement and use of public transportation systems in rural and small urban

areas; to encourage and facilitate the most efficient use of all federal funds used to provide passenger transportation in rural areas through the coordination of programs and services; and to provide for the participation of private transportation providers in non-urbanized transportation to the maximum extent feasible. Wherever possible, ***Section 5311*** services should be coordinated with ***JARC*** type activities and ***New Freedom*** type services.

In Florida, program funds shall be used to support local transportation services that maximize the passenger carrying capacity of surface transportation facilities, of which, service for the transportation disadvantaged is a significant part. All recipients of funds shall provide their non-prioritization service plan to the funding District Office to ensure access to the general public.

The Department will notify eligible potential applicants of the availability of the program; developing project selection criteria; determining applicant eligibility; selecting projects for funding; and ensuring adherence to Federal and state program guidelines by all recipients per ***49 CFR 18.37; 49 CFR 19.5; FTA C9040.1 Ch VI, pars 3b & 3c; FTA C9070.1 Ch V, pars 10b & 10c***.

49 U.S.C. 5311(f) requires states to spend a portion of their ***Section 5311*** apportionment "to carry out a program for the development and support of intercity bus transportation." The objectives of this program are to support the connection between non-urbanized areas and the larger regional or national system of intercity bus service; to support services to meet the intercity travel needs of residents in non-urbanized areas; and to support the infrastructure of the intercity bus network through planning and marketing assistance and capital investment in facilities. A minimum of 15% of Florida's ***Section 5311*** apportionment must be spent for these purposes, unless the Governor certifies that the intercity bus needs of the State are currently being met

5399

FTA's Bus and Bus Facilities Program originated as part of the Section 3 discretionary grant program established by the original transit authorization in 1964.

In 1974, with the establishment of the Section 5 formula grant program, discretionary Bus Program funds could only be used for extraordinary costs that could not be funded with Section 5 funds. The Surface Transportation and Uniform Relocation Assistance Act of 1987 (STURAA) provided that 10 percent of the total available for Section 3 would be allocated for buses. With 10 percent available for any Section 3 purpose, the budget process always allocated 20 percent to the discretionary Bus Program. The Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) officially changed the allocation so that 20 percent of available Section 3 funds would be allocated for bus purposes. The Section 3 program was codified as 49 U.S.C. Section 5309 in 1994 and remained discretionary. The allocation percentages changed slightly with the Safe,

Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users Act of 2005 (SAFETEA–LU). Otherwise, the program has remained essentially the same since 1987.

MAP-21 established a new ***Section 5339 Bus and Bus Facilities Formula Program (Bus Program)***, changing the program from discretionary to formula. Funding is allocated to states and territories and designated recipients in urbanized areas. The purpose of the new Bus Program is to assist eligible recipients in replacing, rehabilitating, and purchasing buses and related equipment; and to construct bus-related facilities, thus allowing grantees to address replacement and capital expansion needs.

The Department provides a split allocation letter to FTA allocating the shares of **5339** in Small Urban areas. The eligible **5307** recipients then apply directly to FTA for the **5339** funding. Rural **5339** funds are awarded to eligible **5311** recipients based on an application process outlined in our Standard Operating Procedures.

ROLES AND RESPONSIBILITIES

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ROLES AND RESPONSIBILITIES

The Department has been designated by the Governor to administer all state administered programs of the FTA. Details on specific roles and responsibilities are also outlined in the ***Grant Application Development, Distribution, Evaluation and Award Process***. The Central Office is responsible for notifying the District Offices of the annual program allocations and for distributing grant application packages to the District Offices. The District Offices are responsible for selecting individual projects to form the District program of projects.

The Central Office will provide the draft grant application manuals to the Districts by July 20 annually. The District Offices will provide comments and revisions to the Central Office by August 5 annually. The Central Office will provide the application manuals to the Districts by August 20 annually, with final comments being provided to the Central Office by August 25 annually. The Central Office will distribute an electronic version of the final grant application manual to the District Offices no later than September 5 annually. Grant application packages will contain a full description of all state and federal program requirements as well as required application forms.

Funds will be allocated to the District Offices on a formula basis that considers the most recently available statistics from the Census.gov website for the appropriate categories for the specific funding program (i.e. senior and disabled populations, rural, low income in each District). The Central Office will notify the District Offices of their allocation levels within two (2) weeks of Federal Register publication of the state's allocation in this program.

District Offices will announce the availability of grant application packages by means appropriate to the local area (for example, by letter to interested parties, or announcements at public meetings, or newspaper notices, etc.). District Offices may send application packages directly to known potential applicants, but should also make appropriate efforts (see examples above) to inform other eligible program recipients.

The announcement should be made prior to the first working day of November each year. All deadlines in Section 1 of this procedure may be waived if there is no annual federal appropriation for this program by the specified deadline. Application packages shall be distributed to those responding to the notice (at a minimum) as soon as practical after the application packages have been received from the Central Office.

Grant application packages shall also be made available to the general public upon request. Application packages will be provided to eligible recipients and governmental agencies at no cost.

District Offices shall establish a single grant application deadline, after which applications will not be accepted. This deadline shall be sufficiently early to allow for the full and fair consideration of applications and to permit a complete, timely and accurate submission of the district program of projects to the Central Office before the first working day in March each year.

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ELIGIBLE SUBRECIPIENTS

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5310

FTA ***Section 5310 Program*** funds may be awarded only to private nonprofit organizations providing transportation to seniors and persons with disabilities, and to public bodies approved by the State to coordinate services for seniors and persons with disabilities (i.e., the CTC). Recipients must be either the CTC or providing service under the terms of a coordination or transportation operator contract with a CTC. Non-CTC local governments can receive funding directly if they certify that there are no eligible non-profit organizations readily available to provide the service. Recipients must keep their CTC Agreements current and in force at all times when in possession of a vehicle purchased through the ***Section 5310 Program***. Public agencies applying for ***Section 5310 Program*** funds must afford an adequate opportunity for a public hearing, and such hearings must be held if someone with a significant economic, social, or environmental interest in the matter requests a hearing.

5311

Political subdivisions of the State of Florida and agencies thereof, Indian Tribes and private non-profit agencies designated as Community Transportation Coordinators, per ***Chapter 427, F.S.***, are eligible recipients for ***Section 5311 Program*** funding***.*** Private for-profit agencies may receive funds through contractual arrangements with eligible recipients. All recipients who are not CTCs must enter into coordination or transportation operator contracts with the appropriate CTC for the purpose of coordinating services. Local governments providing fixed route/fixed schedule service are not required to have an agreement with a CTC.

5339

All eligible ***Section 5311*** Subrecipients are eligible to receive rural ***Section 5339*** funding. Private for-profit agencies may receive funds through contractual arrangements with eligible recipients. All recipients who are not CTCs must enter into coordination or transportation operator contracts with the appropriate CTC for the purpose of coordinating services. Local governments providing fixed route/fixed schedule service are not required to have an agreement with a CTC.

ELIGIBLE SERVICES AND SERIVCE AREAS

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5310 ELIGIBLE SERVICE AND SERVICE AREAS

Transit service provided to seniors and individuals with disabilities when public transit services are unavailable, insufficient or inappropriate for seniors and individuals with disabilities. Although all transportation disadvantaged persons may benefit from the program, services should be designed for the maximum benefit of seniors and persons with disabilities. Vehicles may be used in public transit service on an incidental basis (after services have been provided in accordance with the terms of the application and/or the notice of grant award for specified clientele). The Department will award a minimum of 55% of the grant to capital projects.

Funds apportioned to large urban areas must be awarded to sub-recipients in large urban areas. The Department will allow the transfer of funds between small urban and rural areas to meet the needs in each FDOT District.

5311 ELIGIBLE SERVICE AND SERVICE AREAS

Public transit service provided in non-urbanized areas on a regular and continuing basis is eligible. Service provided to non-sponsored transportation disadvantaged persons and to social service clients is eligible. Services will be designed to maximize use by transportation disadvantaged persons in general, as long as public use of the service is not restricted. Services may not be designed exclusively to serve the transportation requirements of social service agencies without regard for the mobility needs of the community as a whole. The non-prioritization service plan must be submitted to the District Office. Charter, sightseeing, and exclusive school bus services are not eligible services. Since the goal of the ***Section 5311 Program*** is to enhance access of people living in non-urbanized areas to activities, ***Section 5311 Program*** projects may include the transportation of non-urbanized area residents to and from urbanized areas.

5339 ELIGIBLE SERVICE AND SERVICE AREAS

Rural **5339** will be awarded to eligible **5311** sub-recipients for capital projects in rural areas. Small Urban **5339** will be transferred to FTA so eligible small urban **5307** recipients can apply directly to FTA for the small urban **5339** funding.

ELIGIBLE ASSISTANCE CATEGORIES

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5310 ELIGIBLE EXPENSES

Eligible capital expenses are limited to buses, vans or other paratransit vehicles, radios and communications equipment, wheelchair lifts and restraints, vehicle rehabilitation, vehicle overhaul (which may be calculated as up to 20 percent of the agency's annual vehicle maintenance costs, associated capital maintenance, including cost of tires, tubes and replacement parts which exceed .05 percent of the depreciated value of the vehicle for which they are used, microcomputer hardware/software, initial installation costs, vehicle procurement, inspection and acceptance costs and other durable goods such as spare components with unit cost over $300 and a useful life of more than one year and preventive maintenance as defined in the National Transit Database. The Federal share for eligible capital expenses may not exceed eighty percent (80%). Operating costs for transportation services that address the needs of seniors and individuals with disabilities may not exceed a fifty percent (50%) federal share. Operating costs can be the total administrative, management, and operation costs directly incident to the provision of public transportation services less operating revenues. Activities listed under the New Freedom definition may be funded at a percentage not to exceed a fifty percent (50%) federal share.

5311 ELIGIBLE CAPITAL EXPENSES

Eligible capital expenses are limited to buses, vans or other paratransit vehicles, the capital cost of contracting (see ***Attachment E***), radios and communications equipment, wheelchair lifts and restraints, vehicle rehabilitation, microcomputer hardware/software, initial installation costs, vehicle procurement, inspection and acceptance costs, construction or rehabilitation of transit facilities including design, engineering, and land acquisition, and other durable goods such as spare components with unit cost over $300 and a useful life of more than one year. Equipment purchased must be necessary and reasonable to the provision of public transportation services in non-urbanized areas. The federal share for eligible capital expenses shall not exceed eighty (80%) except in the following instances: the federal share may be ninety percent (90%) for those capital projects used to provide access for bicycles to mass transit facilities; used to purchase vehicle-related equipment required by the ***Clean Air Act Amendments of 1990 (CAAA)***; or required to comply with the ***Americans with Disabilities Act of 1990 (ADA)***. It is only the incremental cost of the required equipment that may be funded at ninety percent (90%), not the entire cost of the vehicle.

5311 ELIGIBLE OPERATING EXPENSES

The total administrative, management, and operation costs directly incident to the provision of public transportation services less operating revenues. The federal share for net eligible operating costs shall not exceed fifty percent (50%).

5339 ELIGIBLE EXPENSES

Eligible projects include projects to replace, rehabilitate, and purchase buses and related equipment, and projects to construct bus-related facilities. These include: the acquisition of buses; bus maintenance and administrative facilities; specialized vans and related facilities used for ADA complementary paratransit service; transfer facilities; bus rebuilds; passenger amenities such as shelters and bus stop signs; equipment; passenger counters.

LOCAL SHARE AND LOCAL FUNDING REQUIREMENTS

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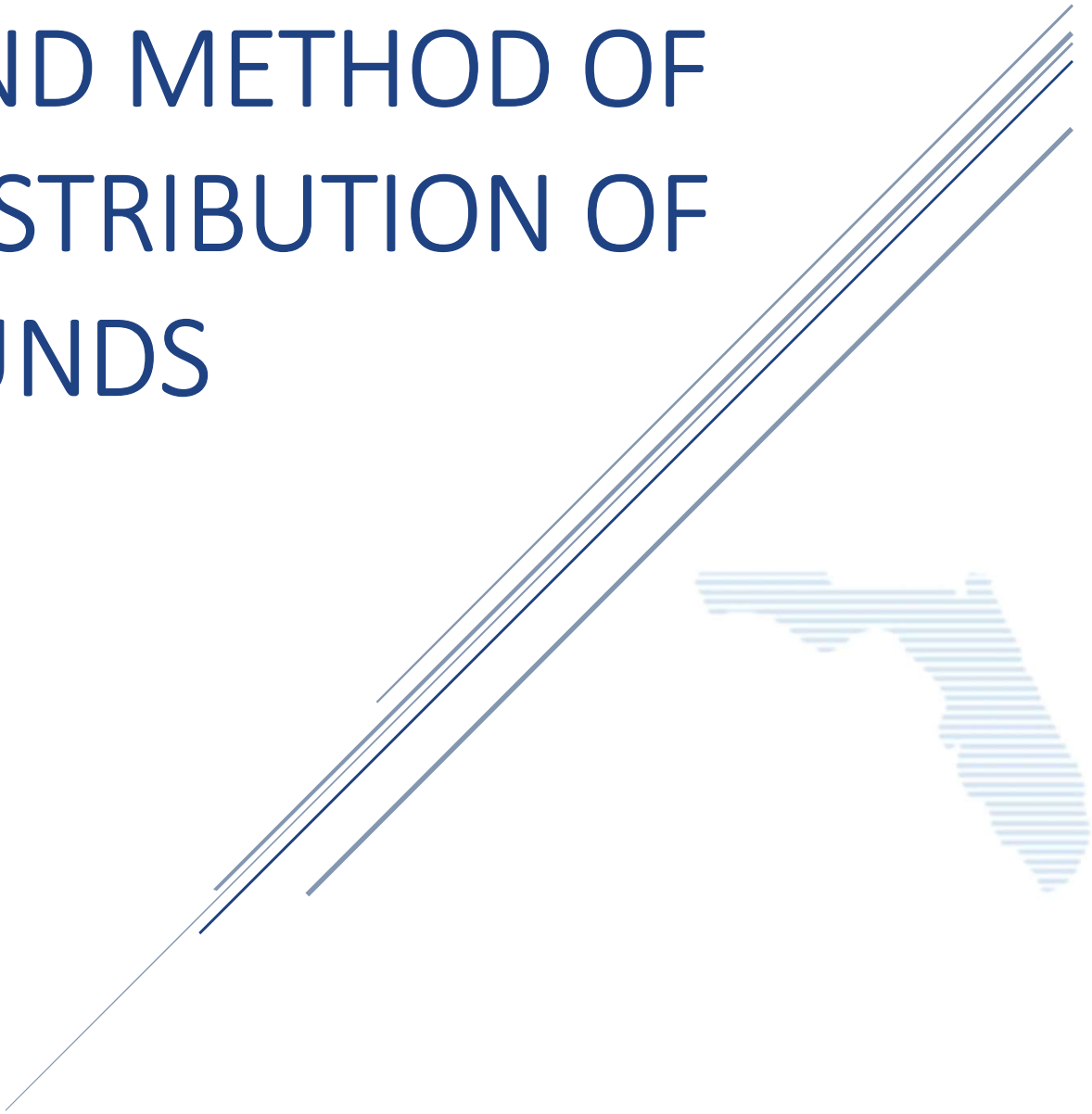
LOCAL CAPITAL MATCHING FUNDS

The local capital share must be at least twenty percent (20%). State funds may support up to ten percent (10%) of eligible capital costs, with the remaining ten percent (10%) being supported by a local match. Applicants may not borrow funds to use as match nor may they place liens on funded vehicles or equipment. The State Transportation Trust Fund is the source of state matching dollars.

LOCAL OPERATING MATCHING FUNDS

The local operating share can be a cash match, human services transportation contract or in-kind services. Income from contract to provide human service transportation may be used either to reduce the net project cost or to provide local match. The cost of providing the contract service is included in the total project cost. No FTA program funds can be used as a source of local match for other FTA programs, even when used to contract for service. In-kind services must be approved, prior to invoicing, by the Comptroller's Office and be an eligible source listed in the FTA Master Agreement. The ***In-kind Local Match Guidance*** provides the process for District Offices to issue approval of in-kind match.

PROJECT SELECTION AND METHOD OF DISTRIBUTION OF FUNDS



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PROJECT SELECTION AND METHOD OF DISTRIBUTING FUNDS

Project selection includes proper notification of program availability, selection of projects according to approved selection criteria, and submission of the district program of projects to the Central Office. Details on specific roles and responsibilities are also outlined in the ***Grant Application Development, Distribution, Evaluation and Award Process***.

Applications shall be evaluated and ranked on the basis of merit and need by a minimum of three knowledgeable persons within each District. At least one evaluator shall be from outside the Department of Transportation, unaffiliated with any applicant under consideration, and familiar with transportation, public issues, and needs in the district.

Professional judgment shall be exercised when evaluating and ranking applicants. The criteria below, or alternate criteria approved in writing by the Central Office, shall be used in ranking applications. Alternate criteria must be requested by the first working day of November each year. Requests for alternate criteria shall list the criteria, discuss how the evaluation can be made on the basis of information contained in the grant application, and explain why alternate criteria are desirable and how proposed alternate criteria support the goals for the program. All applications in a District shall be evaluated using the same criteria, whether the criteria listed below or alternate criteria are used.

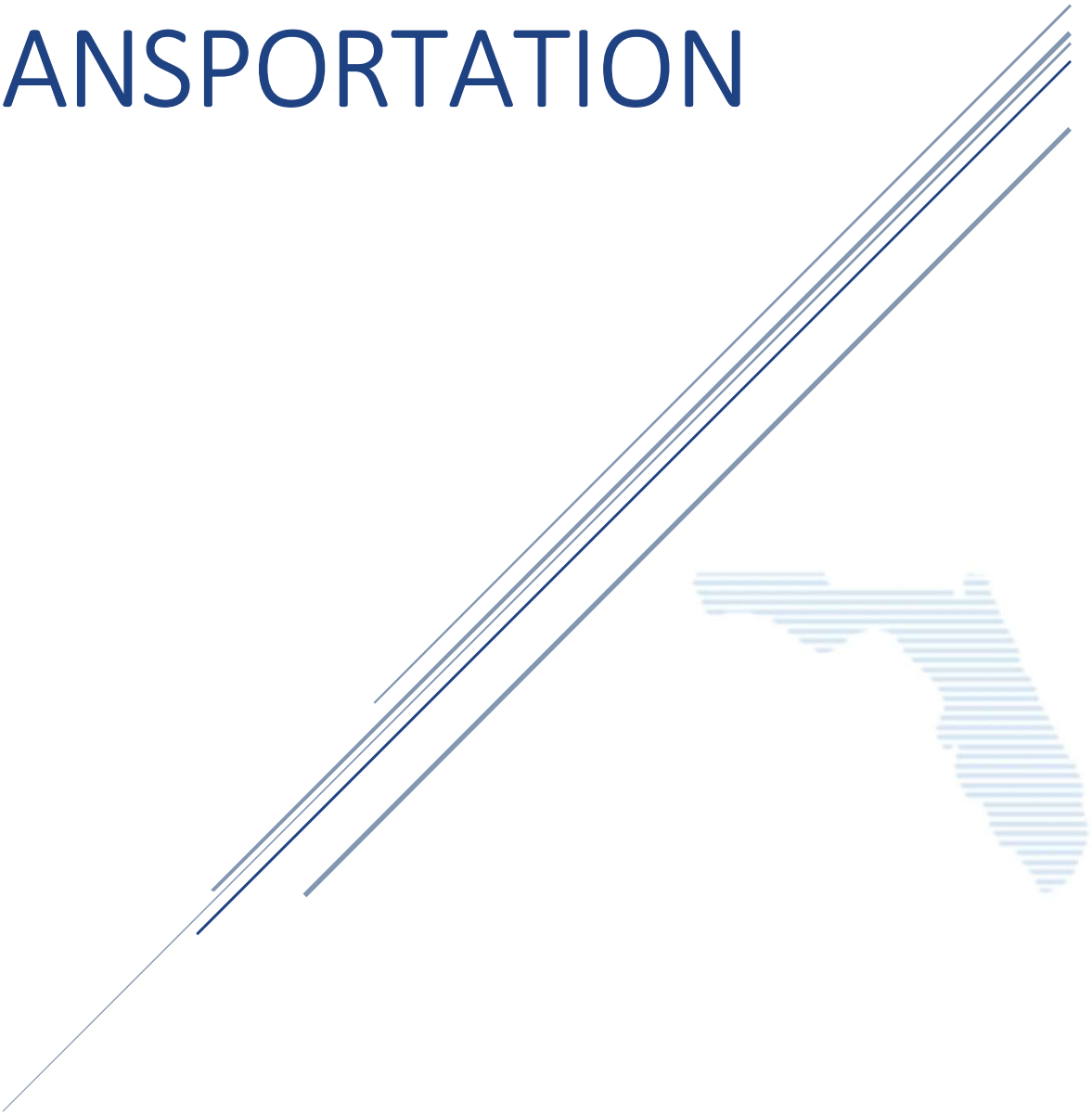
Standard evaluation criteria include: service efficiency and effectiveness; extent to which the community at large is served; need; and fiscal and managerial capability. Section 5311 funds may be suballocated on a rural population (or other formula approved in writing by the Central Office) basis among the eligible recipients.

The District Office verifies the applicant is in compliance with all state and federal requirements, including completing the sam.gov check. Once applications are ranked, the District Office will determine the extent to which each request will be funded based on the ranking and available funds. All score sheets, written comments, and summaries used in making the funding decisions (from all evaluators) must be kept on file by the District Office and be readily available for a period of five (5) years from date of award. The District Office should consider using a computer spreadsheet program to calculate, summarize, and check numerical scores to ensure mathematical accuracy.

When the award decisions are completed, the District Office prepares the program of projects (POP) for the appropriate federal funding program. The POP identifies the award recipients and projects for which the Department is awarding financial assistance. Further guidance is available in the ***Grant Application Development, Distribution, Evaluation and Award Process***. The POP for each federal program will be provided to the Central Office no later than March 2, annually,

unless the Central Office provides an alternate deadline. The POP submittal will include a record of approved and rejected requests that identify applicants that are minority organizations or that provide assistance to minority communities.

INTERCITY BUS TRANSPORTATION



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INTERCITY BUS TRANSPORTATION

Chapter 341.031, ***Florida Statutes***, defines Intercity Bus Service as regularly scheduled service for the general public which operates with limited stops over fixed routes connecting two or more urban areas not in close proximity, which has the capacity for transporting baggage carried by passengers, and which makes meaningful connection with scheduled service to more distant points, if such service is available. Package express service may also be included, if incidental to passenger transportation. Intercity bus service projects may hereafter be referred to as ***Section 5311(f)***. In Florida, eligible ***Section 5311(f)*** projects must support intercity bus service in rural and small urban areas. Eligible activities include, but are not limited to, planning and marketing for intercity bus transportation, capital grants for intercity bus shelters, joint-use stops and depots, operating grants through purchase-of-service agreements, user-side subsidies and demonstration projects, and coordination of rural connections between small transit operations and intercity bus carriers.

The Department's first objective of the funding for intercity bus service under Section 5311(f), is to support the connection between rural areas and the larger regional or national system of intercity bus service. The second objective is to support services to meet the intercity travel needs of residents in rural areas. The third objective is to support the infrastructure of the intercity bus network through planning and marketing assistance and capital investment in facilities.

The Department releases a 5311(f) grant application package annually to all interested parties. A notice is also posted of funding availability on MyFlorida.com. Projects are selected in consultation with the District Offices and managed by the Central Office because of the regional nature of the projects.

The State Transportation Trust Fund is the source of the local match. This match is provided on a 50/50 basis for all projects regardless of operating or capital under a requirement in ***Florida Statutes***.

ANNUAL PROGRAM OF PROJECTS DEVELOPMENT AND APPROVAL PROCESS

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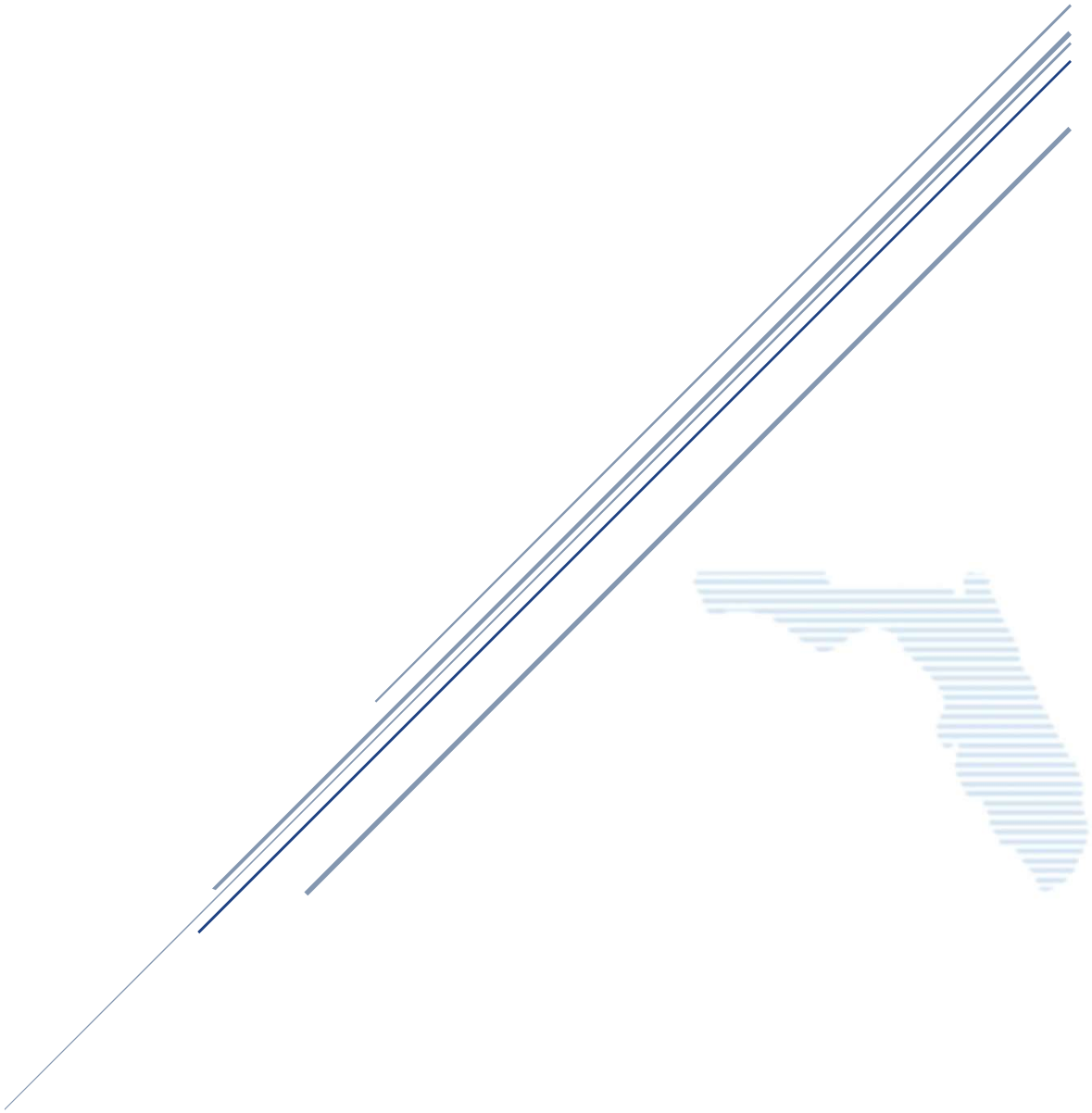
ANNUAL PROGRAM OF PROJECTS DEVELOPMENT AND APPROVAL PROCESS

The Program of Projects for each federal program will be provided to the Central Office no later than March 2, annually, unless the Central Office provides an alternate deadline. The POP submittal will include a record of approved and rejected requests that identify applicants that are minority organizations or that provide assistance to minority communities. The timetable for soliciting, reviewing and approving applications is detailed in the ***Project Selection Criteria and Method of Distributing Funds*** section. Additional guidance is available in the ***Grant Application Development, Distribution, Evaluation and Award Process***.

The required elements of the POP are detailed in the ***FTA Grant Application Submittal, Award and Execution Process***. The Central Office reviews the individual District POPs and completes the statewide POP for each funding program. The Central Office Federal Grants Manager enters all of the appropriate information into the Electronic Application Management System (currently TrAMS). Upon execution of the grant, the Central Office will notify the District Offices, the Comptroller's Office and the Work Program Office. Within 60 days of execution, the Central Office will complete the required FFATA reporting for the applicable grants.

FUND TRANSFERS



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FUND TRANSFERS

The Department does allow for the limited transfer of funds between eligible population designations in the ***5310*** and ***5339*** programs. The Department will prepare a transfer request for transfers between Small Urban and Rural areas as needs dictate. We do not transfer funds between the actual programs. The Department will process Surface Transportation Program fund transfers to the ***5311*** program at the District's request.

STATE ADMINISTRATION

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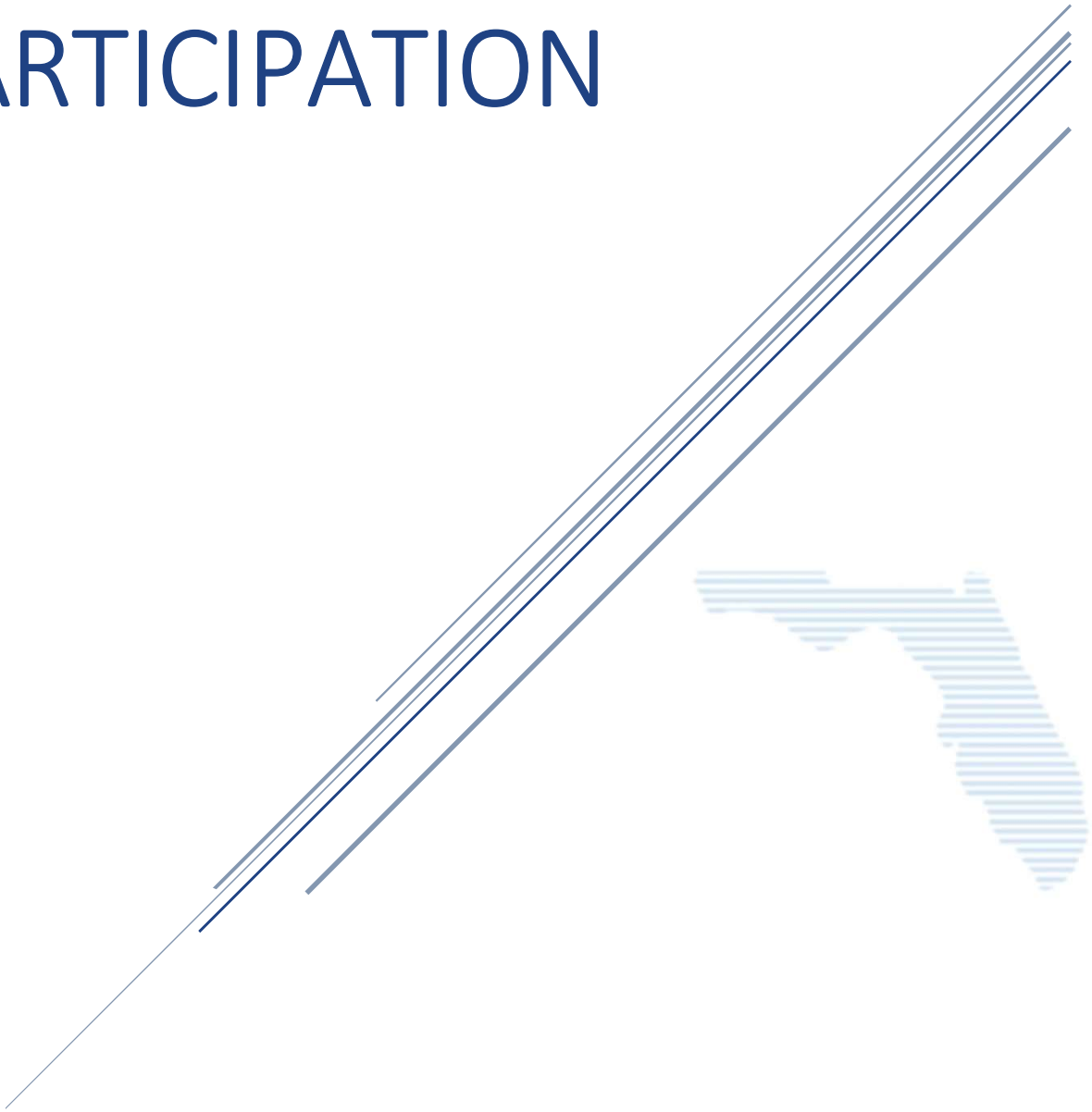
STATE ADMINISTRATION

The Department does not use any State Administration funds for state employee salaries. All salaried employee costs are covered by annual Florida Legislative appropriation. The Department uses a small percentage of State Administration funds on special projects to provide resources and assistance to the Department in managing the federal grant programs and to our sub-recipients in the development of tools and training opportunities.

The Department delivers RTAP services through a university contract. The program objectives are to promote the safe and effective delivery of public transportation in rural areas and to make more efficient use of public and private resources; to foster the development of State and local capacity for addressing the training and technical assistance needs of the rural transportation community; to improve the quality of information and technical assistance available through the development of training, technology, and technical assistance resource materials; to facilitate peer-to-peer self-help through the development of local networks of transit professionals; to support the coordination of public, private, specialized, and human service transportation services; and to build a national database on the rural segment of the public transportation industry. The Department will allow ***5310*** grantees to use RTAP resources whenever possible.

PRIVATE SECTOR PARTICIPATION



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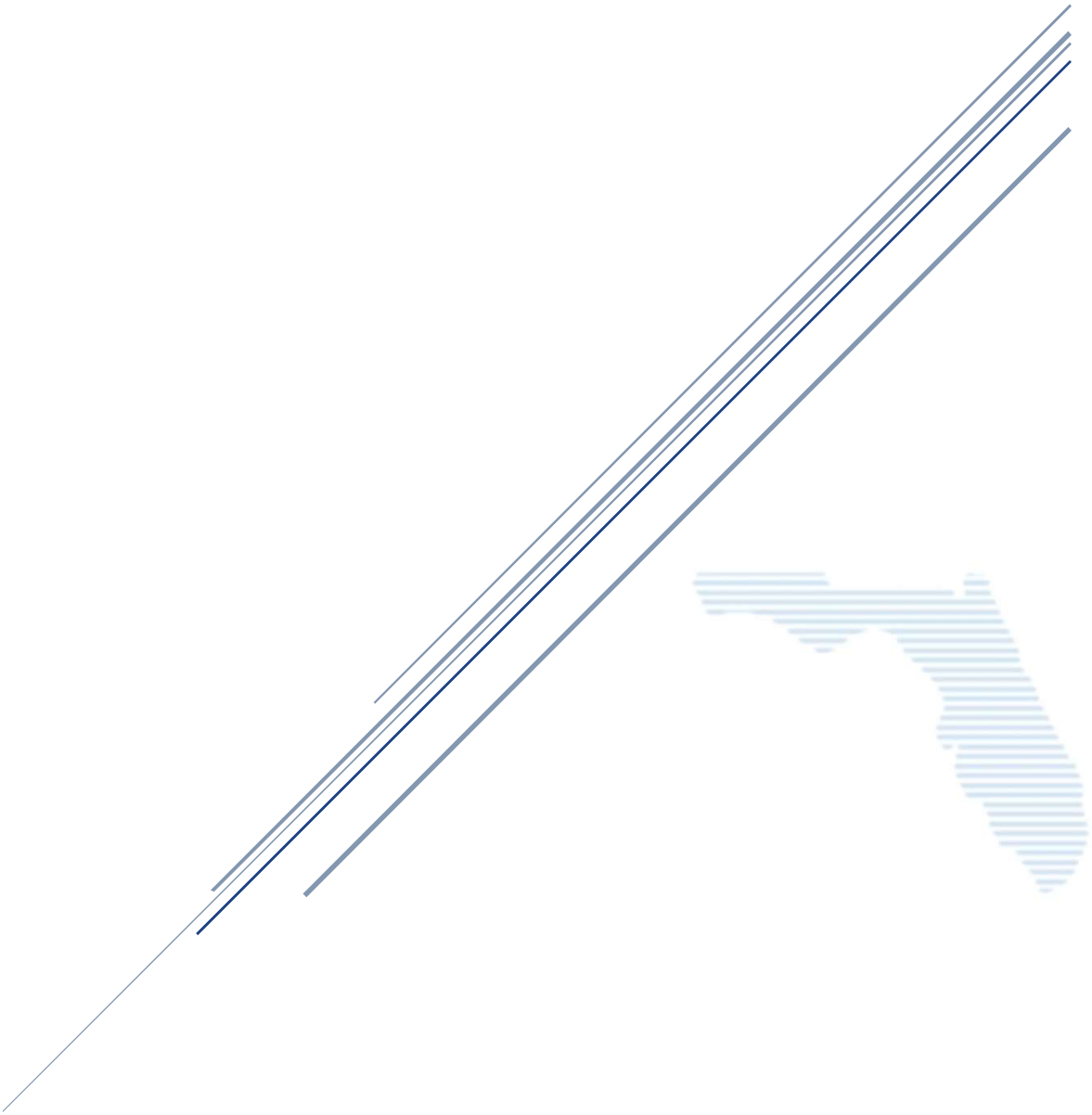
PRIVATE SECTOR PARTICIPATION

Private sector providers are encouraged to apply for ***Section 5310 Program and Section 5311 Program*** grants through the CTC in their service area. When considering Job Access Reverse Commute (JARC) and New Freedom type activities, CTCs are encouraged to apply on behalf of and award third-party agreements to private sector providers. Private sector providers are also consulted in the development of the coordinated human service transportation development plans.

CIVIL RIGHTS



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CIVIL RIGHTS

Subrecipients are informed of the applicable federal Civil Rights requirements as part of the application process. The Notice of Grant Award also references the requirements. The District Office shall receive a copy of the recipients Title VI Plan prior to the execution of the Notice of Grant Award or PTGA operating projects. At the subrecipient's request, the District will provide technical assistance to the recipient in the development of their Title VI Plan. The District may request technical assistance from the Central Office in assisting their recipients in meeting the Title VI requirements. The District ensures the requirements are being met with onsite visits and file reviews, including noting whether the Title VI policy is posted at the recipient's physical location and on the recipient's website. The Central Office EEO provides all Title VI, EEO and DBE planning and goal setting functions; the Central Office PTO completes the required reporting. Further guidance is available in the ***Title VI Program Compliance Process***.

MAINTENANCE AND ASSET MANAGEMENT

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MAINTENANCE AND ASSET MANAGEMENT

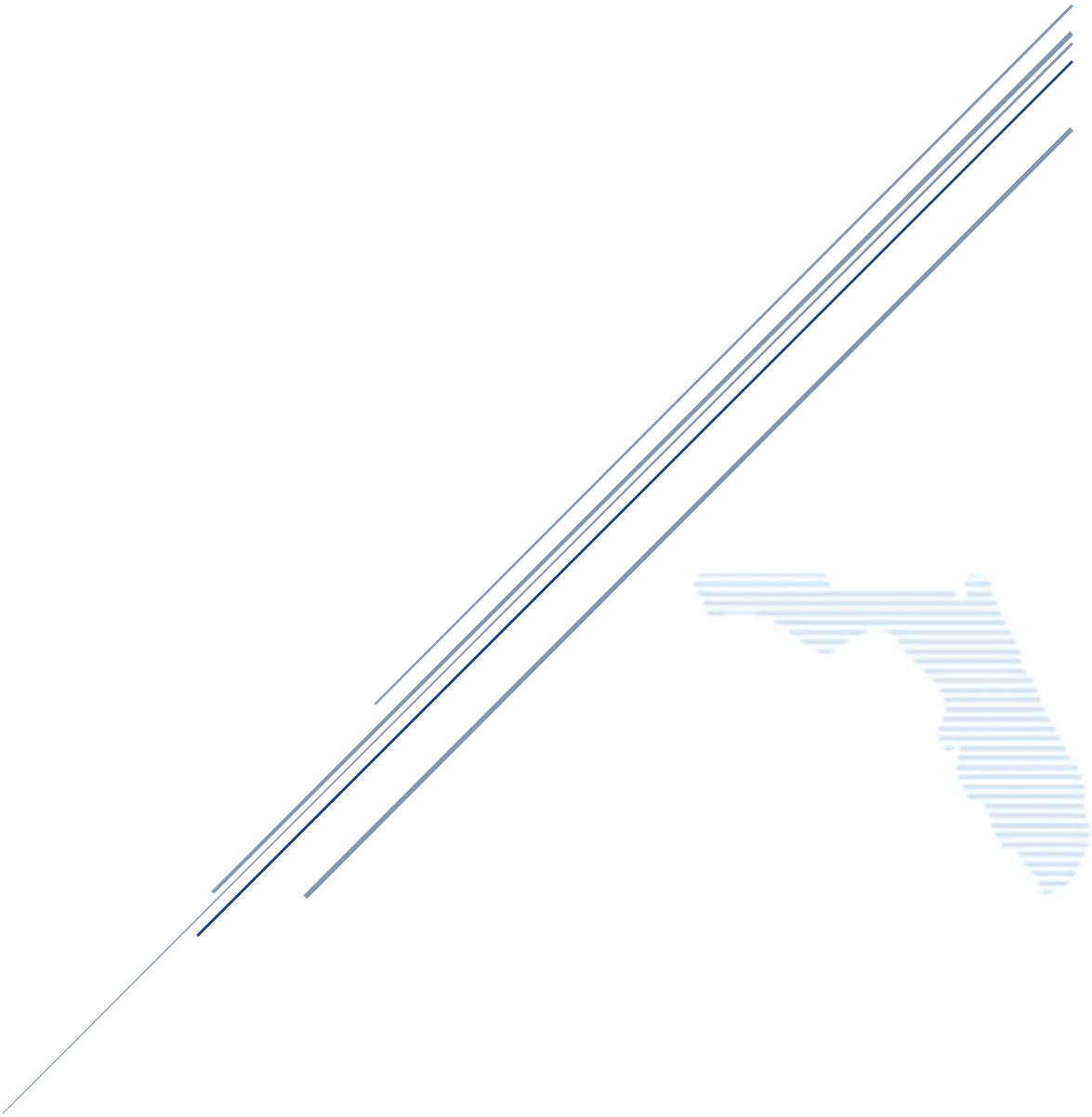
All recipients must have a vehicle maintenance plan on file. During the ***Triennial Review***, the District Office will complete a review to ensure that the recipient is following the policies outlined in the recipient's maintenance plan. The District will also check for maintenance of ADA accessibility features during the site visit as stated above. The Central Office will provide technical assistance resources for the development and evaluation of recipient maintenance plans. The District will follow the guidelines in the ***Maintenance Oversight Review Process*** during annual oversight review visits.

If the District awards Federal or State funds for a recipient facility refurbishment or facility construction, the recipient is required to have a facility maintenance plan. The District will keep a copy of the facility maintenance plan in the project file. The District will maintain on file a copy of the facility maintenance plan during the useful life of the facility. Any incidental uses of the federally funded facility must be approved by FTA. The recipient will submit the request for incidental use to the District. The District will forward the request to the Central Office, which will submit the request to FTA. The District must document how it maintains continuing control over federally funded facility projects.

Any disposition of federally funded real property must be completed under the guidelines issued in ***FTA Circular 5010*** and the ***Vehicle Lien Release and Transfer Process***. Additionally, FTA concurrence with the disposition must be obtained by the recipient and the Department, prior to disposing of the federally funded facility.

The Department will maintain a State Group Plan for Transit Asset Management that includes all **5311** Sub-recipients and all public providers of **5310** service. The asset inventory will be reviewed annually and updates made to the State Group Plan every three (3) years.

CHARTER RULE



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CHARTER RULE

Restrictions on lobbying, prohibition of exclusive school transportation, charter service and monitoring of subrecipients is accomplished during ***Triennial Review*** visits. Additional guidance on monitoring Charter Service activities is provided in the ***Charter Service Technical Assistance, Monitoring, and Reporting Process***.

SECTION 504 AND ADA REPORTING

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SECTION 504 AND ADA REPORTING

The District Office will monitor and evaluate the subrecipient's compliance with ***Section 504*** and ADA requirements by conducting ***Triennial Review*** visits and file reviews. Additional guidance is provided in the ***Triennial Review Process***.

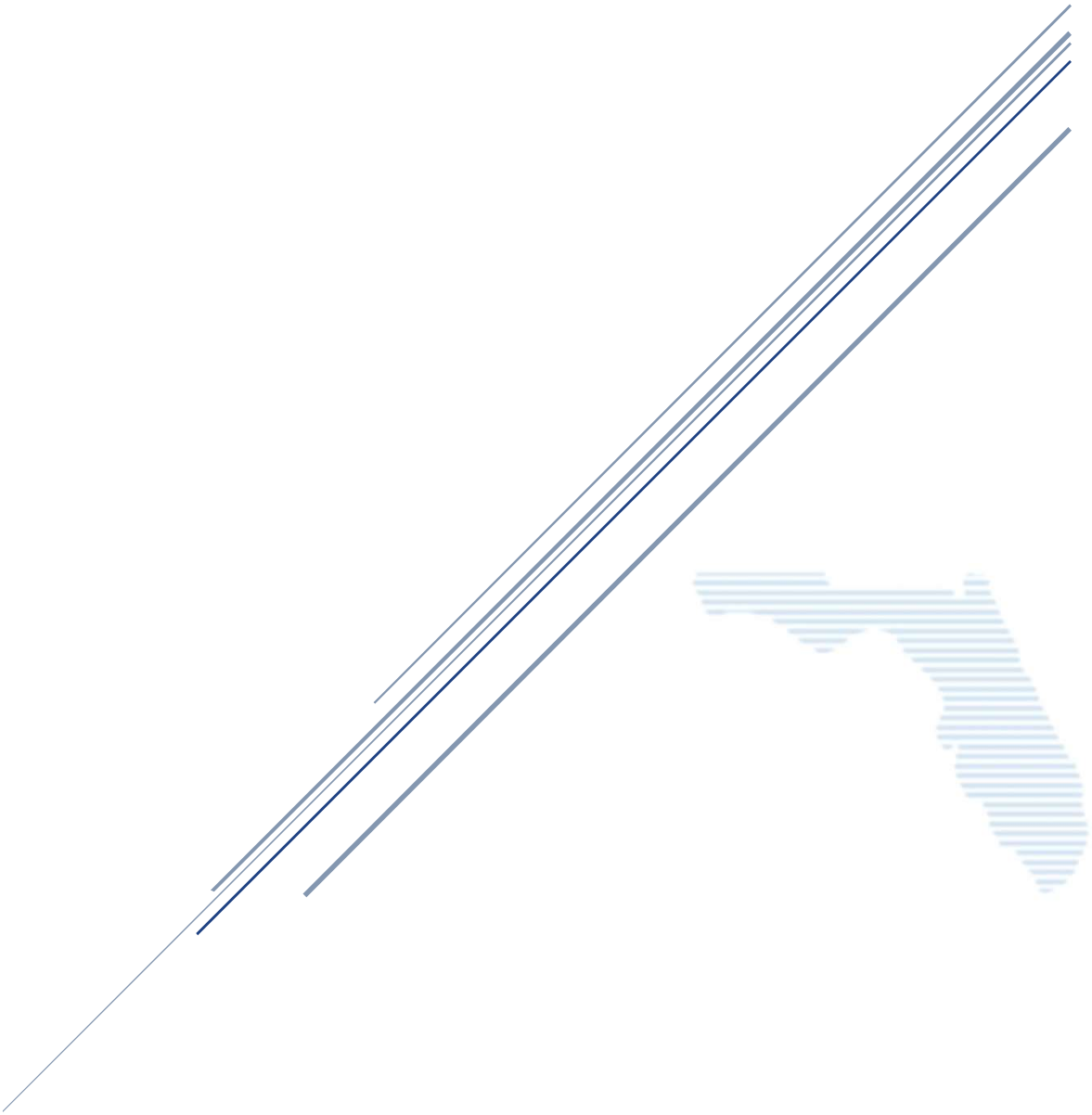
OTHER PROVISIONS

Recipient compliance with employee protection provisions and environmental protection requirements are reviewed during annual recipient oversight visits. Buy America provisions for vehicle purchases, including pre-award and post-delivery, are monitored and completed by the Central Office Procurement Manager. Ensuring recipient compliance with Buy America provisions of construction projects and third-party procurements, which are not vehicles, is the responsibility of the District Project Manager. District Project Managers must ensure recipient compliance with the prohibition of exclusive school transportation and the drug and alcohol testing requirements. The Central Office provides a Substance Abuse Program management consultant as a technical resource for District Offices and recipients of ***Section 5311*** funding. Additional guidance is provided in the ***Public Transit Substance Abuse Management Program Procedures.***

The Department provides a robust program for procurement compliance. It includes plan templates, clause checklists, and sample procurement tools. All of this and additional guidance can be found in the ***Procurement Process***.

The Department provides extensive resources in Maintenance Management for its sub-recipients. Tools, templates and guidance are available in the ***Maintenance Review Compliance Workbook; the Maintenance Plan Templates; the Facility Maintenance Plan Template; and the Preventative Maintenance Agreement.***

NTD REPORTING



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NTD REPORTING

The Central Office initiates contact with the sub-recipients in September to begin data collection. The sub-recipients submit their NTD data to the Department or the Department's contractor by October. The data is transcribed to the online forms and entered into the system. After the initial review and comments are completed by the FTA, the Central Office addresses the comments and submits the NTD report no later than mid-March. Additional guidance is available in the ***Rural National Transit Data Collection Process.***

STATE PROGRAM MANAGEMENT

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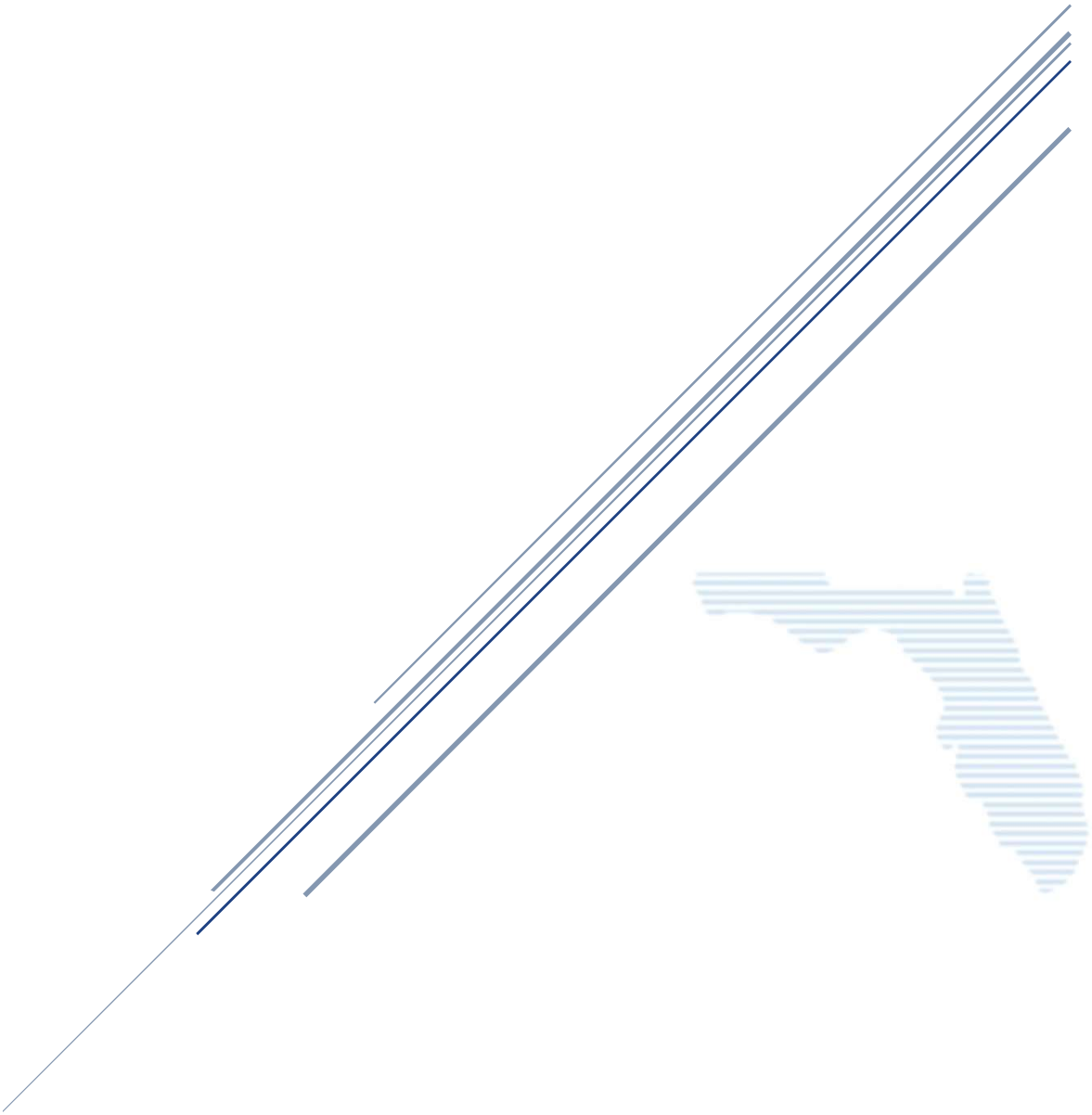
STATE PROGRAM MANAGEMENT

District Offices will administer and manage individual grant projects. This includes development and execution of PTGAs and any required amendments, oversight of recipient procurement actions, and monitoring recipient compliance with state and federal requirements. The PTGA must state the terms and conditions of assistance by which the project will be undertaken and completed. The PTGA provides a mechanism for the state to pass through the applicable federal and state requirements to subrecipients. The federally required clauses are included in ***Exhibit E*** of the PTGA. Additional guidance is available in the ***Project Management Oversight Procedures***. District Offices will provide the Central Office with information required to maintain a complete and accurate POP between the state and the federal government. The Central Office will transmit a copy of the POP to the Accounts Receivable Office, attention: Grants Section, in the Comptroller's office each time it is changed.

The Central Office is responsible for all Federal Reporting including Federal Financial Reports (FFRs) and Milestone/Progress Report (MPRs), FFATA, DBE, Charter Bus. Additional guidance is available in the ***FTA Grant Submittal, Award and Execution Process; the Federal Financial Reporting Process; the Transit Office Disadvantaged Business Enterprise Process; the Single Audit Compliance Process; the Charter Service Technical Assistance, Monitoring, and Reporting Process; and the Title VI Subrecipient Compliance Process.***

The State process for conducting sub-recipient oversight is detailed in the Department's ***Triennial Review Process***.

OTHER PROVISIONS



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