2016-2017

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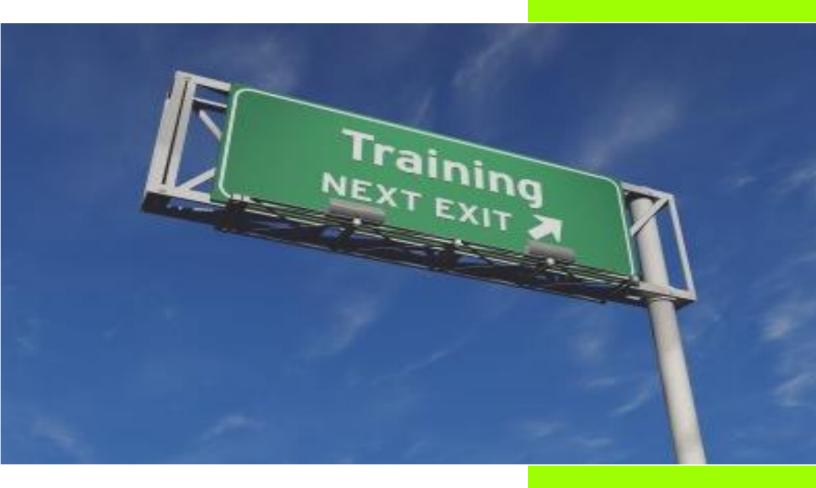**M. Greene Planning**
& Resource Development
Linking organizations with resources to meet challenges direct growth, and build sustainability.

At the end of this workshop, participants will:

- **Be familiar with industry best practice standards for management of small, rural transit/transportation programs;**
- **Be familiar with new or developing practices that encourage coordination; and**
- **Be familiar with management tools, forms, and technology.**

Topics include:

- **Administrative Best Practices**
- **Operations Best Practices**
- **Creating a Management Plan**

Management:

I   Sharing what we know

Participant exercises:

Small groups from same service areas

>   What are your biggest barriers or trouble-spots with regard to:

>>   Grant Management?

>>   Finance?

>>   Data management?

>>   Asset management?

>>   Insurance?

>>   Coordination?

>>   Other compliance requirements?

Discuss what you have in common and determine if anyone in the group has dealt successfully with that same problem.

Discuss what you might be able to do to overcome barriers or trouble-spots either individually or in coordination.

Prepare a list of barriers and what tactics you might use to overcome them. If you don't have answers for a particular problem – list it without solutions.

Share findings with larger group.

Large group discussion:

What barriers or trouble-spots seem to be universal or shared among many?

What "best practices" are in place by some that can be utilized by others?

Are there any "new" or "innovative" practices to try?

II   Sharing best practices

ADMINISTRATION

Guidance: FTA Circular 5010.1D

                    FTA Circular 9070.1G

AZDOT Certifications and Assurances found in your E-Grants application

Best Practices:

- Review Grant Agreement and Certifications and Assurances within your grant agreement
  - Highlight those that require specific action
  - Highlight those that require specific documentation
- Establish a calendar of when you will complete each action required of your certifications and assurances i.e. monthly reporting of DBE activity; bi-monthly review and update of vehicle maintenance log; quarterly update of employee training files, etc. You can enter these on an Outlook Calendar and set it up to be repeated on a set time basis – weekly, semi-monthly, monthly, etc.
- Establish electronic and/or hard files for all required documentation; i.e. maintenance plan, ADA policies, Title VI complaint forms and logs, vehicle maintenance and disposition files, etc.

  Example of electronic file

- 5310 Grant 2016 – folder Grant Management Forms
  - Application – subfolder
  - Budget – subfolder
  - Contract – subfolder
  - Certifications and assurances – subfolder
    - Insurance –
      - Proof of coverage at required thresholds
      - Also insured includes ADOT

    - Title VI
      - Title VI Plan Title VI Implementation Plan Template
      - Title VI Contact (within your organization)
      - Title VI Complaint Form
      - Title VI Complaint Log
      - Copy of Title VI notice on buses
      - Title VI Training plan and schedule
    - DBE
      - DBE Plan ADOT DBE Program
      - Log of entries into DBE system at ADOT

- DBE Complaint file
- List of who you include in contract notices (can be that you share it with the AZ DBE office to include in their notices

- Drug Free Workplace and/or Drug and Alcohol
  - Copy of Drug Free Workplace or Drug and Alcohol policies
  - Copy of training material for personnel (if different) and when training is provided (on hire, on hire anniversary, etc.) Proof of training should be kept in Training file
  - Copy of test procedures if required

- ADA
  - ADA Policy and Plan   ADA Rights Bookmark, Paratransit riders' rights bookmark, ADA Policy Template
  - ADA Training   ADA Essentials,

- EEO
  - EEO Policy
  - EEO Contact
  - Copy of EEO notices and locations list
  - EEO Complaint form
  - EEO Complaint log
  - EEO Training including schedule and sign-in

- Safety
  - Safety and Emergency Response Plan Emergency Response Plan sample
  - Safety Policies
  - Driver Handbook Driver Handbooks\Nogales_Rides
  - Safety Training   Online Safety Courses

- Charter and School Bus
  - Charter and School Bus policy
  - Charter log

- Finance subfolder
  - Policies and Procedures
  - Audit
  - Revenue and Program Income
  - Local Match requirements and sources
    - Cash
    - In-kind   Sample In-Kind Cost Policy
  - Indirect Cost Rate (if applicable)
  - Cash Controls
    - Procedures for transfer of fares and donations
  - Financial Reports
    - Budget vs. Actual
    - Detailed Ledgers

- - Disaster Recovery Plan
  - Allocation methods and schedules
  - Budget development and controls
  - Retention schedules
  - Contractor oversight procedures

- Procurement subfolder
  - Procurement procedures/policies
    - Copy of conflict of interest statement/policy
    - Spending thresholds
    - Policy and procedure for assuring responsible contractor
    - Grievance/dispute policies and procedures
  - Retention
    - Show 7 years of record retention for financial records (ADOT)
    - Retention or disposal log
  - Procurement Records
    - Purchases made with FTA funds (can also be part of your reporting file or your asset file)
      - Cost estimates
    - RFP documents (if required and can also be part of your contracting file)
      - Notices
      - RFP
      - Award documents including contracts
    - FTA clauses and oversight for contracts over $3,000

- Assets Management subfolder TCRP Report 172
  - Asset management plan
  - Vehicle Inventories and availability
  - Pre-Post Inspection logs
  - Maintenance and Repair Plan and logs
  - Inspections
  - Liens
  - Non vehicle assets inventory
  - Replacement Plan and Replacement reserve policy
  - Disposition

- Data Collection and Performance Measures subfolder
  - Driver logs
  - Training schedules and logs
  - Vehicle inventories
  - Coordination activities logs
  - Performance data and analysis

- Personnel Files subfolder
  - Application / Resume

- Background check
- Job Description
- Grievance Procedure
- Civil Rights and EEO information
- Fingerprints (if required)
- Drug Test (if required)
- Training (may also be part of Training file)
- Personnel Policies
- Handbooks

- Training subfolder
  - Training topics
    - ADOT required
    - Other training
  - Training schedule
  - Training records for employees

- Communications subfolder
  - Organizational Chart
  - Communications plan and protocols
  - Public Relations protocols
    - Newspaper contacts, social media
    - Copies of articles and other media
  - Public Involvement and Outreach Plan
    - Public involvement records
  - Surveys
  - Marketing Plan

- Reporting subfolder
  - Funding Source reporting requirements
  - Monthly and Quarterly reports
  - Close out reports

- Coordination subfolder TCRP Report 101 Coordinated Toolkit for Rural Areas
  - Coordination MOUs
  - Coordination Council Meeting minutes
  - Coordination Plan

Operations:

Sharing what we know:

Small groups from same service areas:

      What are your biggest barriers or trouble-spots with regard to:

           Asset Management?

           Driver Training and retention?

           Safety?

           Rider Training?

           Technology?

           Coordination?

           Dispatch?

           Other operations areas?

Discuss what you have in common and determine if anyone in the group has dealt successfully with that same problem.

Discuss what you might be able to do to overcome barriers or trouble-spots either individually or in coordination.

Prepare a list of barriers and what tactics you might use to overcome them. If you don't have answers for a particular problem – list it without solutions.

Share findings with larger group.

Large group discussion:

What barriers or trouble-spots seem to be universal or shared among many?

What "best practices" are in place by some that can be utilized by others?

Are there any "new" or "innovative" practices to try?

Sharing Best Practices

Operations Guidebook

A culmination of policies and procedures for the transit/transportation program

[Improving the way you manage day to day operations](#)

Driver Handbook

[ADA Driver Bookmark](#)

[Nogales Rides Handbook for Drivers](#)

[Policy and Procedures Indiana template](#)

[Driver Handbooks\Standard Operating Procedure - Citrus County](#)

Safety Plan and Policies

[Transportation safety toolkit](#)

[Elements of a good safety plan](#)

Maintenance Plan and Policies

[Coordinated Vehicle Maintenance in KY](#)

[Maintenance Plan sample](#)

Drug Free Workplace/Drug and Alcohol Program, Plan and Policies

[Best Practices Drug and Alcohol Policies](#)

Data Collection

Data Collection Plan outline

What data do you need to collect?	When will it be collected?
	Where is data kept?
What data do you want to collect?	What forms will you use?
How do you generate data?	Who will provide oversight?
Who will collect this data?	How and how often will you train staff to collect data?

Performance Measures

[Performance Measures for Demand Response systems](#)

Other Best Practices

[Innovative Practices in Paratransit](#)

[Strategy Guide to Enable and Promote the Use of Fixed-Route Transit by People with Disabilities](#)

[Use of Taxis in Public Transportation for People with Disabilities and Older Adults](#)

[Travel Training for Older Adults](#)

[Travel Training for Older Adults Handbook](#)

[Community Tools to Improve Transportation Options for Veterans, Military Service Members, and Their Families](#)

[Paratransit Emergency Preparedness and Operations Handbook](#)

[Toolkit for Rural Community Coordinated Transportation Services](#)

[Improving How You Procure Goods and Services and Manage Vendor and Service Contracts](#)

[How to Find any Best Practice - NRTAP](#)

[Policy and Procedure Templates from SURTC](#)

National, Regional and State Organizations that share Best Practices and How To resources:

[Transit Cooperative Research Program (TCRP)](#)

[National Center for Senior Transportation](#)

[Easter Seals Project Action – Transportation for persons with disabilities](#)

[Rural Transit Assistance Program](#)

[Community Transit Association of America](#)

[National Transit Institute](#)

[American Public Transit Association](#)

[South West Transit Association](#)

[Arizona Transit Association AZTA](#)

Creating a Management Plan

Outline

Contents

Chapter 1 Organizational Information

CONTACT INFORMATION

     Agency Name

     DBA Name

     Parent Company Name

     Executive Director Name, Email, Phone

     Transportation Program Director Name, Email, Phone

     Fleet Manager Name, Email, Phone

     Organization Main Office Mailing Address

     Organization County of Main Office

     Organization Branch Office Address(es)

     Organization County(ies) of Branch Office(s)

     Organization Web Address

Organization Social Media Presence (Facebook, Twitter, others)

Organization DUNS number

Organization COGs/MPOs

IRS Status (non-profit, for-profit, association, local government)

GOVERNANCE INFORMATION

Mission Statement

Organizational Chart

Governance type (Board, Council, etc.)

Provide a hyperlink to a board or council list

Chapter 2 Transportation Service

SERVICE

Describe your agency's transportation/transit services, service type (demand response, fixed or flex route, etc.) service area, days and hours of operation

Describe your client/customer/eligible rider, rider eligibility (clients only, general public, referral only, etc.)

Describe how you schedule rides

Describe your cancellation and no show policies

Describe your fare and donation policies

Describe how the conveyance method (in-house, contracted service, private service, etc.) is used with passengers.

Describe any restrictions your agency has in transporting client or public passengers

Provide a hyperlink to a service area map

Provide hyperlinks to service schedules, route maps, and route schedules

SAFETY and SECURITY

Describe safety and security policies and procedures and provide a hyperlink to safety and security plan

Describe who is responsible (title) for safety and security oversight

Describe your emergency preparedness policy/procedures and provide a hyperlink to your emergency preparedness plan

Describe your participation in a regional emergency preparedness plan

Describe your policies with regard to driver selection and licensing

Describe your staff training policies with regard to safety and security

Describe your passenger safety policies and vehicle requirements (blood-borne pathogen kit, first aid kit, fire extinguisher, reflective supplies, food and drink, packages, etc.) and provide a hyperlink to detailed policy

Describe your rider responsibilities

Describe your driver safety policies and provide a link to detailed policies and driver manual or handbook

Describe your accident and incident policies and provide a hyperlink to these policies or handbook

Describe how and when accidents are reported to ADOT

Chapter 3 Finance

CURRENT FUNDING SOURCES

SOURCE	ENTITY OR SOURCE TYPE	AMOUNT	NOTE
Federal Grants Direct			
Federal Grants Via ADOT			
State Grants			
Corporate Grants			
Private Grants			
Local Govt. Grants			
State Contracts			
Other Contracts			
Fares			
Donations			
Other			

FINANCIAL MANAGEMENT

Describe who is responsible (title) for the financial management of your transportation program

Describe who provides oversight (title) for financial management of your organization

Provide three-year history of all federal funding sources received by your organization (for all programs)

Provide a three-year history of all other funding sources received by your organization's transportation program

Provide a hyperlink to the most recent audit or state that you are not required to have an audit

Describe your financial management systems, any financial software systems you use, and any policies you have for financial management. Reference the federal circulars that you follow to assure compliance with financial management.

Describe where financial records are kept and who is responsible (use titles and not names as they change) for the keeping of these records.

Describe or provide a hyperlink to your fiscal control and accounting procedures

Describe how you manage and keep your back-up documentation for your transportation reimbursement requests.

Describe your procedures for budgeting and hyperlink to your organizational and transportation budgets

Describe how you allocate indirect costs or hyperlink your approved indirect cost plan

Describe how you allocate costs between multiple funding sources

Provide a hyperlink to your financial management procedures or:

Describe your procedures for accounts receivable and accounts payable

Describe your procedures for cash control of petty cash, passes, fares and donates collected

Describe your operating and capital replacement reserves policies

Describe how you manage the financial records of your transportation grants and contracts

Describe your sources for local match and how your agency accounts for use of local match

Describe your use of in-kind sources and how you account for value of in-kind. Reference your sources for establishing value

Describe how you ensure that transportation funds are used only for eligible activities

Describe any anticipated changes to your transportation budget – provide a 3-5 year estimated budget

Provide a hyperlink to reimbursement requests and reports for the last three years

Describe training provided to staff on financial management

PROCUREMENT

Describe who is responsible (title) for procurement

Describe who is responsible (title) for oversight of procurement activities

Provide a hyperlink to your Procurement Policy including thresholds for spending requirements

Describe who (title) approved procurement policies

Describe who (title) provides oversight for procurement activities

Provide a hyperlink to your ethics policy for persons involved in procurement

Describe the procedures for approval of procurement

Describe your RFP, RFQ process and how bids or qualifications are evaluated

Describe how you collect estimates and what type are required for each of the monetary thresholds

Describe how you assure DBEs are aware of bidding or pricing opportunities

Describe your policies on contract award protests or complaints

Describe how you advertise competitive procurements

Provide a hyperlink to your Code of Standards for Conduct

Provide a hyperlink to your General Terms and Conditions used in RFPs and contracts

Provide a hyperlink to the FTA Assurances and Certifications that are included in contracts

Provide a hyperlink to your list of procurements using FTA funding over the last year

Describe how and where procurement files are kept and the retention period for those files

Describe if you pass through ADOT 5310 funding to other agencies and if so provide hyperlink to the agreements and contracts with the contractor

Describe the training provided to staff on procurement policies and procedures and compliance requirements

INSURANCE

Describe the insurance policies carried in support of your agency's transportation services including ADOT requirements

Provide a hyperlink to insurance policy certificates

Describe who (title) is responsible for oversight of insurance policies and where policies are kept

Chapter 4 Personnel

PERSONNEL

Describe who is responsible (title) for personnel policies, hiring, training, recordkeeping etc.

Describe who is responsible (title) for oversight of personnel issues

Describe the number of full and part-time personnel assigned to the transportation program or who routinely engage in transportation activities

Provide hyperlink to job descriptions

Describe personnel from other departments who provide support to the transportation program (finance, administration, etc.)

OVERSIGHT

Describe the roles and responsibilities of those involved in the transportation program

Describe who provides oversight to your transportation program.

Include responsibilities for each person providing oversight – day to day, operations, management, financial, etc. Include schedule of oversight activities.

TRAINING

Describe who is responsible (title) for the provision or oversight of training transportation staff

Describe your agency's training policies

Describe the training requirements for each category of employment (driver, dispatcher, transit manager, finance, procurement, etc.

Describe how and where training files are kept and provide a hyperlink to training schedules and training logs

Describe who provides training both within and outside your agency

CONTRACTED SERVICES

Describe if and how you use outside consultants or professionals to support your personnel needs

Describe the transportation services that are typically contracted out (operations, maintenance, bookkeeping, etc.)

Describe who is responsible for (title) and how you provide oversight to contractors to insure compliance with FTA requirements

Provide a hyperlink to the contracts or agreements for services

Chapter 5 Coordination

COORDINATION

Describe who is responsible (title) for coordination activities

Describe your coordination activities and list other agencies with whom you coordinate

Describe any sharing of resources, assets, or riders and with whom you share

Describe any coordination efforts that would be useful to you but are not currently active or available

Provide hyperlink to your Coordination Plan

TACS and COORDINATION COUNCILS

Describe how your agency participates in Transit Advisory Councils and/or Coordination Councils

Provide a hyperlink to your agency's approval (meeting minutes, resolution, etc.) of participation in TACS and/or Coordination Councils

Provide a hyperlink to Council membership lists, agendas, minutes, etc.

Describe which personnel (title) typically participate in TACs and/or Coordination Councils

Chapter 6 FTA Assurances

TITLE VI

Describe your Title VI program (statement that the agency operates without regard to race, color and national origin) and include your Title VI contact person, title, and contact information

Provide a hyperlink to your Title VI Program Plan most recently submitted to ADOT with reference to when it was submitted

Describe your Title VI complaint procedure and provide a hyperlink to your complaint form and complaint log

Describe how employees are trained in Title VI compliance requirements

Describe how you notify the public of your Title VI program and their ability to file a complaint.

Describe where your public notice information is located and provide a hyperlink to your public notices in each of the languages you use to make notice (include notices on vehicles, brochures, website, etc.)

Describe how you address outreach and education to persons with Limited English Proficiency and provide a hyperlink to your LEP plan.

Describe how you determined what persons may have LEP and what languages include in your outreach and education

Describe how you provide assistance to persons who have LEP

Describe how your staff are trained to identify and address LEP issues

EEO

Describe your agency's EEO policy

Describe what your agency does to recruit minorities, females, and individuals with disabilities for both employment opportunities and as members of policy and advisory committees.

Provide a hyperlink to your job announcement template that includes EEO language

Describe your nondiscrimination employment policies and provide a hyperlink to your personnel policies

Describe how your agency posts required EEO information in locations and in languages people seeking employment can see them and where employees congregate.

Provide a hyperlink to the list of locations where EEO information is posted

Describe your EEO complaint policies and provide a hyperlink to your EEO complaint log

Describe how employees are made aware of EEO policies

DBE

Describe your DBE policy (you do not have to have one if you only purchase vehicles with ADOT 5310 funding

Describe whether you have adopted ADOT's DBE policy or have one of your own.

Provide a hyperlink to your DBE policy

Describe the methods you use to include or recruit certified DBEs for contracting opportunities

Describe how your contracts include DBE language and provide a hyperlink to your boilerplate contact

Describe how you participate in the AZ LPA Contract Management System and include specific information on how you access the system

ADA

Describe your agency's ability to provide complementary service

Describe your agency's ADA policies including service animals, facilities, vehicles (use of wheelchairs, oxygen, scooters, securement, lift or ramp failure, complaints, route deviations, etc.)

Provide a hyperlink to your ADA plan

Provide a hyperlink to rider information regarding ADA

Describe how employees are trained for ADA compliance

Describe how your ADA policies are conveyed to riders

Describe how your agency monitors ADA compliance

Chapter 7 Public Outreach

MARKETING

Describe your agency's transportation/transit marketing plan

Provide a hyperlink to your marketing materials and rider guides

Describe any events or efforts you make to alert the public and/or your clientele to your transportation services

Describe your participation in a one-call-one-click or similar regional marketing effort

Describe your participation in regional, statewide, or national organizations that promote transit/transportation

PUBLIC OUTREACH AND INCLUSION

Describe your agency's public outreach efforts

Describe your agency's public notice activities and private sector notice activities regarding your service

Describe how you alert the public and/or your clientele of changes to your services

Describe your efforts to include outreach to diverse segments of the population and to persons who have limited English proficiency

Describe your efforts to reach a broad cross section of the population for public meetings and/or information sessions

Describe how you garner public and/or client input regarding your transportation program including events, surveys, etc. and provide hyperlinks to documents supporting these activities

Chapter 8 System Management

GRANT MANAGEMENT

Describe how your agency manages your transportation contract with ADOT

Describe who is responsible (title) for oversight of grant management and how management is achieved

Describe who is responsible (title) for transportation service management and how management is achieved

Describe who is responsible (title) for compliance monitoring and how monitoring is achieved

Describe who is responsible (title) for financial management and how management is achieved

Describe who is responsible (title) for fleet management and how management is achieved

Provide a hyperlink to your most recent ADOT contract

Provide a hyperlink to your most recent applications

Provide a hyperlink to your grant/contract reports

Describe any grant management software or forms used and provide a hyperlink to forms

Describe your charter and school bus policies

Describe your private sector competition policies

ASSET MANAGEMENT

General

Describe your asset management policies

Describe who is responsible (title) for asset management

Provide a hyperlink to detailed asset management policies

Describe the types of assets used in transportation including rolling stock, equipment, facilities, real property, etc.)

Describe the funding sources used to procure the assets

Describe how you meet useful life thresholds for all assets

Provide a hyperlink to an assets inventory list

Describe training provided to staff and contractors on asset management

Rolling Stock

Describe who is responsible (title) for rolling stock maintenance and oversight

Provide a hyperlink to your vehicle inventory list and availability schedule

Describe your maintenance plan for rolling stock

Provide a hyperlink to your maintenance plan for rolling stock

Describe procedures and policies for pre-post use and annual inspections

Provide a hyperlink to inspection documents

Provide a hyperlink to your rolling stock maintenance schedules and plan

Provide a hyperlink to your rolling stock maintenance logs

Describe how ADA accessibility requirements for rolling stock are inspected and maintained

Describe how you secure rolling stock

Describe how you manage warranty issues and recover warranty claims

Describe lien release procedures and provide a hyperlink to lien documents

Describe any lease or shared asset policies

Describe how you dispose of assets and provide a hyperlink to disposition records

Provide a hyperlink to lease and share agreements

Facilities

Describe who is responsible (title) for facilities maintenance and oversight

Provide a hyperlink to your facility inventory list and availability schedule

Describe your maintenance plan for facilities

Provide a hyperlink to your maintenance plan for facilities

Describe procedures and policies for inspections of facilities

Provide a hyperlink to inspection documents

Provide a hyperlink to your facilities maintenance schedules and plan

Provide a hyperlink to your facilities maintenance logs

Describe how ADA accessibility requirements for facilities are inspected and maintained

Describe how you secure facilities

Describe how you manage warranty issues and recover warranty claims

Describe any lease or shared facilities policies

Provide a hyperlink to lease and share agreements

Describe how you dispose of facilities and provide a hyperlink to disposition records

Equipment

Describe who is responsible (title) for equipment maintenance and oversight

Provide a hyperlink to your capital equipment inventory list and availability schedule

Describe your maintenance plan for equipment

Provide a hyperlink to your maintenance plan for equipment

Describe procedures and policies for inspections of equipment

Provide a hyperlink to inspection documents

Provide a hyperlink to your equipment maintenance schedules and plan

Provide a hyperlink to your equipment maintenance logs

Describe how ADA accessibility requirements for equipment are inspected and maintained

Describe how you secure capital equipment

Describe how you manage warranty issues and recover warranty claims

Describe any lease or shared equipment policies

Provide a hyperlink to lease and share agreements

Describe how you dispose of equipment and provide a hyperlink to disposition records

Chapter 9 Technology

Describe your agency's use of technology in transportation/transit provision

Describe who is responsible (title) for technology

Describe hard ware and system basics (use of servers, operating systems, back up, administration, power supply, surge protection, internet access, data access, etc.)

Describe safety protocols when using technology

Describe software security update schedules

Describe virus scanning and removal protocols

Describe public access and staff access limitations

Describe training available to staff and/or public in proper and secure use of technology

Describe other technology (data collection, ride counting, driver tablets, surveillance, maintenance, etc.) used as part of your transportation services

Describe how technology is maintained and repaired

Describe how the useful life of technology is monitored and replaced

Provide hyperlink to technology inventory

Provide hyperlink to technology policies

Chapter 10 Data Collection

Describe your agency's data collection needs and the purposes for which data is collected

Describe each type of data to be collected and who is responsible (title) for collecting that data

Describe who is responsible (title) for analyzing and reporting data

Provide a hyperlink to a data collection plan with schedule

Describe how staff will be trained to properly collect and analyze data

Chapter 11 Performance Measures

Describe who is responsible (title) for developing and monitoring performance measures

Describe your agency's performance measures development process

Describe your agency's performance measures and each measures' data requirements

Provide a hyperlink to your performance measures reports

Describe how performance measures impact business decisions, funding resources, and program success

Describe how staff are trained in developing and monitoring performance measures