

2016-2017

**SEAGO
GRANT MANAGEMENT FOR 5310
PROGRAMS**

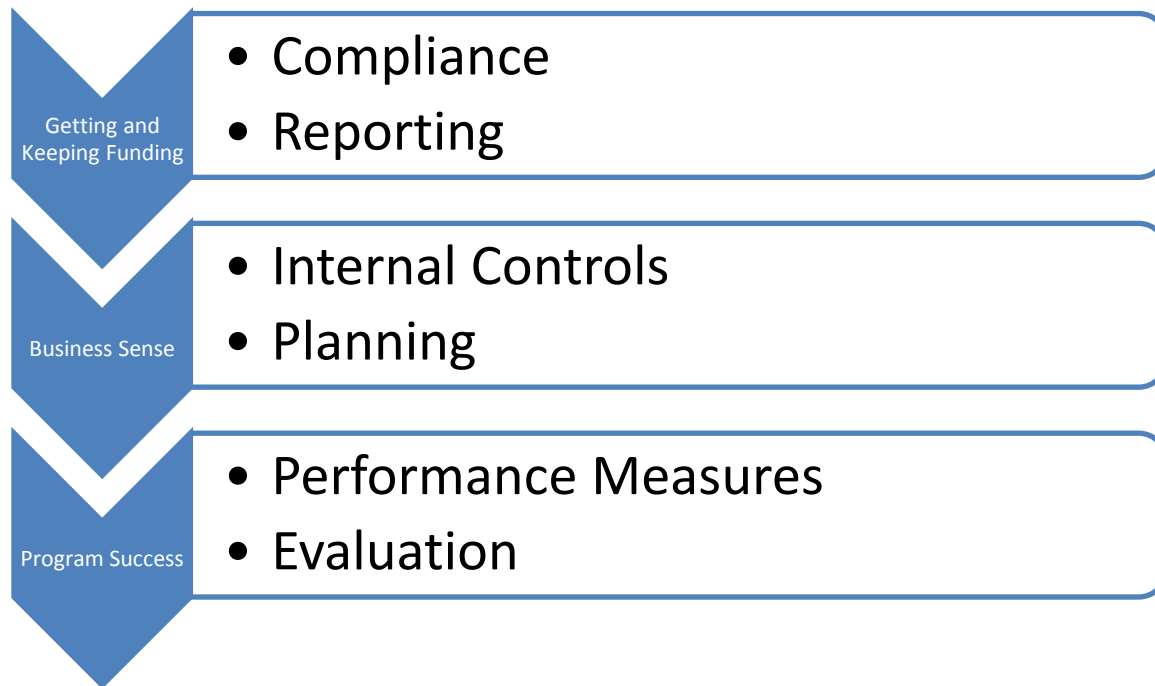
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**M. Greene Planning
& Resource Development**

Linking organizations with resources to meet
challenges, direct growth, and build sustainability.

GRANT MANAGEMENT

Why Grant Management is Essential...



GUIDANCE

- Arizona Department of Transportation [5310 or 5311 Guides](#)
- [FTA C9070.1G](#) Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance and Application Instructions or [FTA C9040.1G](#) for 5311 program.
- [FTA C 5010.1D](#) Grant Management Requirements (This circular has not been updated since 2008 and contains references to SAFTEA-LU and programs no longer available through FTA.)
- Grant Agreement or contract

NOTE: This workshop is based on Map-21 legislation until such time as FAST Act guidance is made available.

Remember, your grant agreement has the final say in questions regarding grant management as OMB Circulars allow federal programs and states to be more restrictive but not less so (some federal programs are exempt from this rule). FTA Circular 9070.1G is the federal guide for 5310 and your ADOT grant agreement includes both FTA and ADOT compliance requirements.

GRANT MANAGEMENT BASICS

Each of these is an element of Grant Management

1. **Contracts and Agreements:** Compliance with Certifications and Assurances
2. **Financial Management:** Accounting Principles, Budget, Invoicing, and Eligible/Allowable/Allocable
3. **Asset Management:** Inventory, Maintenance, Safety
4. **Technical Capacity:** Safety and Security, Training, Performance
5. **Data Collection & Reporting:** Recordkeeping, Reports, Close-out
6. **Evaluation:** Performance Measures

Qualities needed to manage grants

1. Attention to detail
2. Big picture vision
3. Punctuality
4. Accuracy
5. Troubleshooter and problem solver
6. Organized

UNDERSTANDING YOUR AGENCY'S ROLE AND RESPONSIBILITY TO THE GRANT

According to FTA Circular 5010.1D, *Grant Management Requirements*, a grantee must monitor grant supported activities to ensure compliance with applicable Federal requirements. This includes the administration and management of the grant in compliance with the Federal regulations, the grant agreement, and applicable FTA circulars. In addition, the grantee must also adhere to ADOT's requirements. The grantee's responsibilities include but are not limited to actions that:

1. Demonstrate legal, financial, and technical capacity to carry out the program, including safety and security aspects of the program.
2. Provide administrative and management support of project implementation.

3. Provide, directly or by contract, adequate technical inspection and supervision by qualified professionals of all work in progress.
4. Ensure conformity to Grant Agreements, applicable statutes, codes, ordinances, and safety standards.
5. Maintain the project work schedule agreed to by ADOT/FTA and the grantee and monitor grant activities to assure that schedules are met and other performance goals are achieved.
6. Keep expenditures within the latest approved project budget.
7. Ensure compliance with ADOT/FTA and Federal requirements on the part of agencies, consultants, contractors, and subcontractors working under approved third party contracts or inter-agency agreements.
8. Request and withdraw Federal funds for eligible activities only in amounts and at times as needed to make payments that are due and payable within three business days and retain receipts to substantiate withdrawals. ADOT requires that all expenditures be reimbursed after payment is made and cannot be requested prior to payment.
9. Account for project property and maintain property inventory records that contain all the elements required.
10. Demonstrate and retain satisfactory continuing control over the use of project property.
11. Demonstrate procedures for asset management and adequate maintenance of equipment and facilities.
12. Ensure that an annual independent organization-wide audit is conducted in accordance with OMB Circular.
13. Prepare force account and Cost Allocation Plans (CAPs) and submit and obtain approval if applicable before incurring costs.
14. Prepare and submit ADOT/FTA required reports.
15. Update and retain ADOT/FTA required reports and records for availability during audits or oversight reviews.
16. Ensure that effective control and accountability are maintained for all grants and subgrants, cash, real and personal property, and other assets. Grantees and subgrantees must ensure that resources are properly used and safeguarded, and used solely for authorized purposes.

CONTRACTS AND AGREEMENTS

One of the most important things you can do for effective grant management is to read ALL of the guide, contract and agreement documents and highlight those items that require you to produce, report, or comply. Unfortunately, many of these documents reference even more documents (FTA circulars, master agreements, etc.) but because the responsibility is yours, as a subrecipient, it is imperative that you do so. Otherwise, you risk having to return federal funds to the state for failure to comply with the agreement/contract. If you are unsure of the requirements, contact your Mobility Manager for assistance in getting clarification from ADOT. If you believe that ADOT's interpretation of FTA or OMB rules is incorrect, notify your Mobility Manager who can supply you with information on recourse.

It is imperative that you review these documents prior to application and at any time guidance is required or you are unsure of restrictions or allowances with regard to the grant funds. Some common (but not all) requirements are listed below:

**Does not include requirements from Certifications and Assurances*

*	Grant Agreement 2016	Guidebook 2016
Civil Rights – Title XI, EEO, LEP, etc.	Exhibit E;	Pages 67-71
Americans with Disabilities Act (ADA)	Sections 6 & 7	Pages 24-25, 71-73
Procurement	Exhibit D	Pages 55-57
Debarment and Suspension	Section 10	Page 75
Audit (If applicable)	Section 4(13)	Pages 8, 65
Procurement reporting (LPA system)	Exhibit D	Pages 10, 68-69
Asset Management including Vehicle Maintenance	Section 3(2)	Pages 48-49, 54-64, 72
Coordination	Section 7 (7)	Pages 13-14, 36-37, 46-47
Financial Management	Section 3(2)	Pages 47-48,
Lobbying	Section 9	Page 74
Reporting	Sections 3(2)(p)(t), 4(7)	Pages 50, 53, 59, 60, 65, 69
Drug Free Workplace	Section 8	Pages 73-74
Disadvantaged Business Enterprises (DBE)	Exhibit F	Pages 10, 67-69
Insurance	Exhibit G	Pages 56-57, 60-61, 64
Charter - School Bus Services	Section 7(10)	Page 74
Record Keeping	Sections 3(2), 4(7)(12)(13)	Pages 64-65

Have you carefully reviewed the grant agreement, certifications and assurances?

Have others in your organization, responsible for elements of grant management, reviewed the agreement, certifications and assurances?

Are internal policies in line with compliance requirements in the agreement, certifications and assurances?

Are you prepared for a site visit that reviews compliance with FTA and State regulations?

FINANCIAL REPORTING

Accurate, current, and complete disclosure of the financial results of financially assisted activities must be made in accordance with the **financial reporting requirements** of the grant.

What are these for 5310 and 5311?

Where can they be found?

ACCOUNTING RECORDS

Designated recipients and subrecipients must maintain records that adequately **identify the source and application of funds provided for financially assisted activities**. These records must contain information pertaining to designated recipient or subrecipient **awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income**.

Does your finance software provide this information?

INTERNAL CONTROL

Effective control and accountability must be maintained for all designated recipient and subrecipient **cash, real and personal property, and other assets**. Designated recipients and subrecipients must adequately safeguard all such property and must ensure that it is used solely for authorized purposes.

How do you account for equipment and vehicles?

BUDGET CONTROL

Actual expenditures or outlays must be compared with budgeted amounts for each grant or subgrant. **Financial information must be related to performance or productivity data, including the development of unit cost information** whenever appropriate or specifically required in the grant agreement. If unit cost data are required, estimates based on available documentation will be accepted whenever possible.

How do you manage your budget as compared to actual?

How do your finances relate to performance?

ALLOWABLE COST

Applicable Office of Management and Budget (OMB) cost principles, FTA program regulations, and the terms of the FTA master agreement and grant agreements will be followed in determining the reasonableness, allowability, and allocability of costs.

How do you determine reasonableness, allowability and allocability?

Where can these definitions be found?

SOURCE DOCUMENTATION

Accounting records must be supported by such source documentation as cancelled checks, paid bills, payroll, time and attendance records, contract and subgrant award documents, etc.

How do you keep track of these?

How can you associate an expense to a grant?

CASH MANAGEMENT

Procedures for minimizing the time elapsing between the transfer of funds from the U.S. Treasury and disbursement by designated recipients and subrecipients must be followed whenever advance payment procedures are used. Designated recipients must establish reasonable procedures to ensure the receipt of reports on subrecipients' cash balances and cash disbursements in sufficient time to enable them to prepare complete and accurate cash transactions reports to FTA. **ADOT 5310 and 5311 programs work on a cash reimbursement basis only. No expenditures can be claimed until paid for by the subrecipient. 5310s and 5311s collecting cash fares and donations must show adequate controls for those collections.**

What tools or procedures do you have in place for controlling cash between collection and deposits?

What tools or procedures do you have in place for Financial Management?

Do you have a procedure handbook or Financial Management policy?

Who is responsible for the Financial Management of your 5310 or 5311 grant?

What lines of communication exist between those responsible for Financial Management and those responsible for the overall management of the grant?

If tasks for Financial Management are divided among staff members, what assurance do you have that each staff member is aware of the grant requirements?

ASSET MANAGEMENT

EQUIPMENT MANAGEMENT

- a. General

Under the common grant rule, states may use, manage, and dispose of equipment acquired under a Section 5310 grant in accordance with state laws and procedures. **States are free to adopt the procedures established for other public entity subrecipients or use the procedures as a guide in developing state procedures for equipment use, management, and disposition,** but are not required to do so. States may use the same procedures for private nonprofit subrecipients as for public entity subrecipients, so long as those procedures are consistent with 49 CFR part 19. Common grant rule procedures and requirements for designated recipients that are not states, and their subrecipients, are more explicit and can be found in 49 CFR 18.32. In addition, ADOT has established rules and procedures found in the program guidelines and in the grant agreement. For example: **ADOT requires that all recipients notify and receive approval by ADOT PRIOR to altering any vehicle purchased with federal funds.**

What are the State's Guidelines for equipment use, management, and disposition? Where is this information available?

b. Transfer of Property

Section 5310(g) permits a recipient to **transfer facilities and equipment acquired with assistance under Section 5310 to any entity eligible to receive assistance under 49 U.S.C. chapter 53 with the consent of the entity currently in possession of such facilities or equipment, if the facility or equipment will continue to be used in accordance with the requirements of Section 5310.** This provision complements the recipient's flexibility under the common grant rule to manage equipment and extends the recipient's flexibility in the management of facilities, including real property.

In addition, 49 U.S.C. 5334(h)(1) through (3) allows facilities and equipment and other assets (including land) that are no longer needed for the purposes for which they were acquired to be transferred to a local governmental authority to be used for a public purpose with no further obligation to the federal government, if authorized by the Secretary of Transportation (i.e., approved by FTA). Recipients should review the current FTA Circular 5010.1 and contact their ADOT or FTA regional office for further information.

Do you notify ADOT before or after you transfer or dispose of equipment or vehicles?

c. Vehicle Useful Life and Replacement Standards

The common grant rule gives states flexibility in managing and disposing of equipment. In keeping with the intent of the rule, FTA holds states responsible for establishing and implementing their own rolling stock requirements for all categories of vehicles acquired under

the Section 5310 program, consistent with the state's standards for equipment purchased with state funds. **FTA permits state recipients to establish useful life, determine fair market value and develop policies for maintenance and replacement of vehicles.**

ADOT's lien is in place until ADOT has determined it has met its useful life. Typical guidelines are found on page 50 of the guidebook. The annual ADOT inspection records and reports the mileage and annual miles. Vehicles with less than 18-20 thousand annual miles will trigger an ADOT review to deem if the vehicle is necessary and/or should be reassigned.

What is the State's useful life for vehicles for your vehicles ?

How do you track annual mileage?

How do you make sure that vehicles are used to their maximum potential?

d. Disposition

Local public agencies may adopt their own rules and procedures for disposing of federally-funded surplus property as long as the disposal or sale is conducted in an open, public process. Revenues from the sale of property must be reinvested in the transit program for the same purpose. For example, proceeds from a vehicle sold are used for purchasing a replacement vehicle; proceeds from office equipment would go towards purchase of new equipment.

The following requirements must be met when disposing of federally funded property:

- If the intention is to trade in or sell the vehicle, approval from ADOT is required.
- If the vehicle is going to be sold, three quotes for the estimated value must be obtained and provided to ADOT prior to the sale for approval.
- If the vehicle is sold at auction, copies of the sales information must be provided to ADOT.
- If the proceeds from the sale or auction exceed \$5,000, the federal share must be returned to ADOT.
- If the vehicle is traded in for a new vehicle, the trade in value would lower both the federal and local share of the vehicle equally based on the match ratio used when vehicle was originally purchased. Documentation from the sale must be provided to ADOT for record-keeping.
- Additionally, once a vehicle is placed in back-up or reserve status, the vehicle is not eligible for replacement through a grant request. Only active status vehicles can be replaced through a grant request.

How do you determine fair market value?

Is this information part of your vehicle inventory?

Do you seek and get ADOT approval prior to disposition?

VEHICLE USE

ADOT and FTA encourages maximum use of vehicles funded under the Section 5310 program so long as they are consistent with requirements of 2 CFR 200 and FTA circulars.

ADOT also encourages the use of vehicles through coordinated activities that more efficiently use resources. As such, FTA allows vehicles to be shared, leased, and used for multiple purposes so long as the primary purpose of the vehicle is not infringed upon.

Vehicles may be used:

- a. For Section 5310 Project and Program Purposes. Recipients should consider how best to meet the needs of **all** seniors and people with disabilities in a particular community in the recipient's project selection process. The program must provide for maximum feasible coordination with transportation services assisted by other federal sources. Subrecipients should be encouraged to the extent feasible to also provide service to seniors and people with disabilities not affiliated with their agency, as well as to the general public, on an incidental basis if such service does not interfere with transportation services for seniors and people with disabilities. In some situations it may be appropriate to provide Section 5310 assistance to an agency to provide transportation exclusively to its own clients, **but even in situations in which it is not feasible for the agency to provide services to those in the community beyond its own clients, that agency must, when practicable, make the vehicle itself available to provide transportation service to other seniors and people with disabilities at times the agency is not using the vehicle for grant-related purposes.** The recipient shall use the vehicle in the project or program for which it was acquired as long as needed, even if the project does not continue to receive federal funding.

What is your policy on sharing vehicles?

Is this a written policy?

What barriers do you perceive prevent the sharing of vehicles?

Have you determined that those barriers are real and what steps can you take to mitigate those barriers?

If your vehicle has low mileage or minimal use, how do you plan to meet the ADOT recommendations for minimum use?

- b. For Other Federal Programs or Project Purposes. During the period the vehicle is used to serve the project or program needs for which it was acquired, the recipient or subrecipient shall make it available for use on other projects or programs, as long as such other use does not interfere with the service for which the vehicle was originally acquired. **First preference for such other use will be given to other projects or programs sponsored by FTA, and second preference will be given to projects or programs sponsored by other federal agencies. Finally, vehicles may be used by non-federally funded providers, first to meet the needs of seniors and people with disabilities, and then to serve the transportation needs of the general public on an incidental basis.**

Do you have agreements with other agencies for ancillary use of your vehicles?

If so, do you have written policies on how and when they can be used?

If not, why not?

- c. When No Longer Needed for Original Project or Program Purposes. If the original recipient or subrecipient no longer needs the vehicle for the purposes for which it was acquired, **the state or designated recipient may choose to keep the vehicle in use for Section 5310 program purposes by transferring the vehicle to another designated recipient or subrecipient.** The transfer may be shown in the POP for any active grant. It does not have to be in the grant under which the vehicle was originally funded. Once the vehicle is no longer needed for Section 5310 program purposes, the vehicle may be used first in connection with other FTA-sponsored activities, and then for activities sponsored by other federal agencies.
- d. For Meal Delivery. **Transit service providers receiving assistance under this section may coordinate and assist in providing meal delivery services for homebound people on a regular basis if the meal delivery services do not conflict with the provision of transit services or result in a reduction of service to transit passengers.** The number and size of vehicles applied for under Section 5310 must be determined only by the number of passengers to be transported, not meal delivery capacity. **Section 5310 funds may not be used to purchase special vehicles to be used solely for meal delivery or to purchase specialized equipment such as racks or heating or refrigeration units related to meal delivery.**

If you are delivering meals as part of your program, how do you assure that you are in compliance with this rule?

LEASING VEHICLES ACQUIRED WITH SECTION 5310 FUNDS.

Vehicles acquired under the Section 5310 program may be leased to other entities such as local governmental authorities or agencies, other private nonprofit agencies, or private for-profit operators. Under such a lease, the lessee operates the vehicles on behalf of the Section 5310 subrecipient and provides transportation to the subrecipient's clientele as described in the grant application.

The lease between the Section 5310 subrecipient and the lessee contains the terms and conditions that must be met in providing transportation service to seniors and people with disabilities. Because the purpose of the Section 5310 grant is to provide transportation service to seniors and people with disabilities, other uses of the vehicle are permitted only as long as such uses do not interfere with service to seniors and people with disabilities.

The state or designated recipient, being responsible for ensuring that the terms and conditions of the original grant with FTA are met, must agree, in writing, to each lease between the subrecipient and the lessee. Such an agreement should specify that the leased vehicle shall be used to provide transportation service to seniors and people with disabilities, that the vehicle may be used for incidental

purposes only after the needs of these individuals have been met, and that the subrecipient, state, or designated recipient must retain title to the vehicle.

Recipients may lease any of their assets to others on an incidental basis so long as the lease agreement holds the lessee responsible for compliance with all of the requirements the recipient itself is responsible for. Thus, the lessee must adhere to applicable and relevant terms and conditions of FTA's master agreement in the maintenance and use of the asset. For example, a recipient may not lease its revenue vehicles to a private company to conduct charter operations except to the extent the recipient itself would be able to conduct charter operations.

A recipient may lease its assets to a private entity to operate in public transit service so long as the entity has been selected through a competitive process and so long as the lease agreement obliges the lessee to adhere to all of the applicable and relevant requirements of the FTA master agreement. A finite lease term should be established as well as a clear price and scope of work.

What policies do you have for leasing vehicles from other entities or to other entities?

How do you assure that the lessee complies with all FTA regulations regarding maintenance and use of the vehicle?

TITLE TO VEHICLES

ADOT holds liens for each vehicle funded with federal funds. FTA allows that **If there is a substantial public transit benefit to be gained, such as low-cost, blanket insurance or bulk purchase of fuels or maintenance and supplies at rates less expensive than available to the subrecipient, then the recipient should consider retaining title in a governmental entity that can provide for the same and agrees to be bound by all the terms and conditions of the grant.**

Would it be beneficial to lease vehicles from another entity (State or COG/MPO) in order to achieve cost savings?

PROCUREMENT

Because ADOT has procured rolling stock on behalf of 5310 recipients and because most 5310 transit providers have been awarded non-procured equipment; the management of the procurement process for most 5310s is related to the procurement of contracted services. These procurements must be accomplished following FTA and ADOT guidelines. Mobility Managers can offer assistance and referrals to ADOT staff for assistance in procurement.

5311 programs can and do procure vehicles and equipment which are subject to FTA 5311 procurement regulations as well as ADOT guidelines and policies. ADOT has begun purchasing vehicles on behalf of 5311 vehicle awardees to assure that procurement requirements are met.

It is extremely important that your grant management efforts include procurement requirement compliance.

DEBARMENT AND SUSPENSION

The purpose of the DOT Nonprocurement Suspension and Debarment regulations (2 CFR part 1200) is to ensure that federal assistance funds are not provided to anyone who has been debarred, suspended, determined ineligible, or voluntarily excluded from participation in federally assisted transactions. The U.S. General Services Administration's (GSA) System for Award Management (SAM) provides a single comprehensive list of individuals and firms excluded by federal government agencies from receiving federal contracts or federally approved subcontracts and from certain types of federal financial and nonfinancial assistance and benefits. GSA maintains a website, at <https://www.sam.gov>, which is updated in real time as changes to the data occur.

When establishing contracts or sub-agreements of \$25,000 or more, you must determine that the recipient agency or individual is not on the GSA SAM list. In addition, you must document that you have conducted the search and its outcome.

What policies to you have in place that assures compliance with the Debarment rules?

How do you remember to check when procuring equipment?

TECHNICAL CAPACITY

TRAINING

The 5310 and 5311 programs each require technical capacity among awardees. **This capacity is often developed and maintained through training.**

When applying for funding, **always review the training requirements and develop a training schedule that meets those requirements. In addition, determine what capacity your organization has to properly manage the grant and comply with guidelines, agreements, assurances and certifications and identify training opportunities that will bolster that capacity.**

Be sure to understand what funding can be used to pay for training. In the case of 5310 and 5311, Rural Transit Assistance Program (RTAP) funds are the primary source for training funding; however, all training must receive pre-approval and reimbursements are made after providing a post-training report and invoice. Other sources of training include the SEAGO Transit Training program (the source of this training module and others), Community Transit Association of America (CTAA), Arizona Transit Association (AZTA), and South West Transit Association (SWTA). Additionally, Passenger Assistance, Service and Safety training (PASS) is provided through a number of transit programs across the state. Each of these organizations offer training that is eligible for RTAP reimbursement.

Training for 5311 programs (as identified in the 2016 5311 Guidebook) and suggested training for 5310 programs include:

The following are components of a required Americans with Disabilities Act (ADA) training program:

- Operate vehicles and equipment safely
- Appropriate attention to the differences among persons with disabilities
- Treat persons with disabilities in a respectful and courteous way
- Assist passengers properly

In addition to ADA requirements, other training requirements for 5311 recipients (suggested for 5310) include:

- Defensive Driving training
- PASS (Passenger Service and Safety - CTAA) or START (Safety Training and Rural Transit – National RTAP)
- Biohazard Training
- Reasonable Suspicion (Drug & Alcohol Training for Supervisors)
- Dispatcher Training
- 24 hour behind the wheel training for drivers with experienced driver
- Vehicle Pre/Post Trip Inspection Training
- Transit Operations Policies & Procedures
- All employees must receive at least one hour of training on the effects and consequences of prohibited drug use; pre-employment and drug/alcohol testing requirements.

Other suggested training for both 5310 and 5311 includes

- Customer Service
- Emergency Preparedness and Evacuation (covered by PASS)
- First Aid
- CPR
- Safety & Security
- Civil Rights policies and procedures including complaint procedures, LEP, EEO, etc.
- Data Collection, rider log and trip/ride counting policies and procedures
- Cash Management policies and procedures
- Maintenance policies and procedures
- Accident reporting policies and procedures

Supervisors should work with each employee to document a training plan and schedule based on the employee's job responsibilities, FTA/ADOT requirements, and past training history. As each employee completes a training module, documentation regarding that training should be added to the training file or to the employee's personnel file. For ease in responding to site visits, a training file that contains all pertinent employees and documentation of their training will go a long way in avoiding lost files, unknown document locations and other pitfalls common during site reviews.

What training files do you maintain?

Is all necessary documentation in one file or location?

Who is responsible for assuring that training is scheduled and provided?

Who is responsible for assuring that training files are updated and current?

SAFETY & SECURITY

Technical Capacity is also demonstrated in the proper policies and procedures for safety and security. This includes staff training, as described above, in asset management, vehicle maintenance and vehicle inspection.

ADOT 5310 and 5311 program awardees are expected to have an asset management plan that includes a maintenance plan developed around manufacturers' standards and recommendations. **A quality asset management plan will include the following elements:**

Items in bold indicate information is collected and available for each vehicle.

- Goals and objectives in managing vehicle assets
- Personnel and responsibilities
- Asset Inventory, condition and replacement prioritization
- Insurance requirements and certificates
- Performance measures
- Data collection protocols
- Life cycle, replacement and disposal policies and schedule
- Maintenance Plan and schedule based on manufacturer's recommendations and warranty requirements
- Repair functions
- Vehicle storage
- Vehicle sharing and vehicle backup policies
- Staff and subcontractor training
- Emergency preparedness and procedures for using/lending vehicle assets
- Vehicle management systems
- **Vehicle Files that include:**
- **Vehicle procurement information**
- **Warranty information**
- **Lien status**
- **Use restrictions**
- **Maintenance and Repair information with schedules, logs and costs analysis**
- **Inspections – both internal (pre and post use) and external (ADOT)**
- **Interior and Exterior Cleaning requirements and logs**
- **Accidents and vehicle damage policies and log**
- **Performance data**
- **Useful life and replacement plan**
- **Vehicle asset disposal**

If you don't have an asset management plan your maintenance plan should include:

- Maintenance management policies and procedures
- Inspection information (if you don't have a separate management plan)
- Preventive maintenance scheduling
- Warranty tracking (if you don't have a separate management plan)
- Vehicle cleaning
- Fleet life schedule and replacement plan

ADOT provides a sample maintenance plan that can be customized for your organization's use.

In addition to the asset management and maintenance plans, documentation must be organized and logical. Developing a file for each vehicle that includes all information related to that vehicle including maintenance is one approach. The **bolded** items in the asset management plan list should be included in each vehicle file. This allows you to keep everything in one place. This makes tracking the vehicle easier in that you don't have to search through several files to find documents related to a vehicle. Review documentation

Each vehicle file should contain a sign off sheet that indicates the entire file has been reviewed at specific times throughout the year, thereby assuring that managers have maintained oversight of transit vehicles and noted any deficiencies with staff and drivers.

Do you have an asset management plan?

Is your maintenance plan complete and up to date?

Who is responsible for oversight of preventive maintenance?

Vehicle inspections by ADOT are required as part of a 5310 or 5311 grant agreement. It is incumbent on the program receiving the grant to schedule and assure that the inspection is completed. ADOT has, in the past, sent notices regarding inspections. However, if your file indicates a vehicle (whether on lien or not) has not had an inspection in the past 12 months, contact ADOT to schedule and inspection.

How do you know if your vehicles have been inspected in the past 12 months?

What records do you maintain regarding inspections and where are they located?

An often un-thought-of element of safety and security is the **management of spares in the vehicle fleet**. Having the right sized fleet, including spares, assures that drivers and passengers are not left without alternatives should vehicles experience failures or pre- and post-trip inspections yield a bus out of services.

What is your current spare ratio? Is it adequate for your service fleet?

What is your policy on vehicle rotation while in service?

Do your spare vehicles meet ADA and other compliance requirements?

DATA COLLECTION AND REPORTING

DATA COLLECTION

An organization's ability to collect and monitor data is a clear indication of their technical capacity. Data collection also is one of the most often cited failures on site reviews. **Failures range from an inaccurate understanding of how to count trips, to a complete failure to collect data on a daily basis.**

Presently, ADOT collects data from 5310 quarterly reports and provides it to NTD on behalf of subrecipients. NTD reporting also is required for 5311 recipients.

Here are data sets that should be collected (if appropriate to your program) under 5310 and 5311, regardless if your grant is capital only.

- Daily logs that show miles, hours, fares and trips (trips must be counted according to FTA regulations)
- Costs per mile, per trip, and trip purpose
- Monthly tabulations of daily data.
- Monthly cost accounting with performance measures – Cost per mile, per hour and per trip
- Quarterly reports that indicate quarterly tabulation of monthly data.
- Year-end reports that show 12 months of data.
- Turn down rate (incidents where requests for rides were not filled)
- Accidents
- Incidents
- Late cancellations (DRS)
- On-time rides
- Missed Trips (vehicle failed to show)
- Trip Denials (unable to schedule)
- Complaints
- Surveys

Training on Data Collection is provided by SEAGO and online technical assistance is provided through TCRP and CTAA. Mobility Managers can also assist in creating data collection tools that work for your agency.

A word about counting trips:

Every time an individual boards the vehicle, whether they are a free fare or an attendant not employed by the transportation provider, it's counted as a trip. Here are examples from the 5310 Guidebook.

Trip Examples:

- ❑ 4 people board a van at a local senior center and then get off at the local grocery store. This routing counts as 4 passenger trips. The van is idle until it picks up the same people at the grocery store later and returns them to the senior center. This return route counts as an additional 4 trips. This van has provided 8 one-way trips for 4 individuals.
- ❑ 1 person boards a van and is taken to the doctor. (1 trip). The driver then picks up 3 people at the adjacent clinic and takes them to the senior center (3 more trips). The driver returns to pick up the person visiting the doctor and returns her to the senior center (1 more trip). This vehicle has provided 5 one-way passenger trips for 4 individuals. Three people each made one one-way trip and one person made two one-way trips.
- ❑ 10 people are picked up at the agency's rehabilitation center in the morning and taken on a driving field trip where the only stop is a brief restroom break. The van returns these 10 individuals to the center at the end of the excursion. 10 one-way passenger trips were made by the van this day.

In counting trips, remember; attendants and children and anyone else in the vehicle who is not the driver and is not a paid employee of the transportation program – get counted.

Why is data collection important for your organization?

What data collection tools do you use?

Are the forms manual or electronic?

Are drivers and other staff trained in the use of data collection forms?

Do you document that training?

Who oversees data collection?

Do you count trips properly?

How can you make data collection more efficient and accurate?

REPORTING

Most grants require some type of reporting. The 5310 and 5311 programs are no exception. FTA requires the State to provide regular reports regarding program progress and costs. For 5311 programs, these reports are provided electronically through the E-Grants system. For 5310 programs, the reports are provided using a spreadsheet based set of quarterly report forms. Each requires financial information and data collected regarding service miles, hours, and trips.

The ADOT website provides a **review of 5310 quarterly reporting requirements on their website.** [5310 Quarterly Reporting](#). SEAGO provides quarterly reporting training as part of its data collection workshop.

These reimbursement requests and reports require use of data collected and include information on trip numbers and purpose, and service area.

Additional reports include the submission of single audits where federal revenue exceeds \$750,000, proof of insurance, annual inspection report, accident reports (within 24-48 hours), coordination activities, training, and DBE contracting reports through the State's LPA reporting system.

5311 providers have a more extensive reporting requirement as outlined in the 5311 Program Guide.

Monthly reports:

- Reimbursement Request
- Ridership
- Miles
- Service hours
- Fares collected
- DBE Contracting Reports to the LPA system
- Capital Milestones

Quarterly reports:

- TAC meeting minutes

Annual reports:

- Paratransit Plan Updates
- Audit
- NTD
- Insurance Certificate
- Inspection reports

Additional reports include:

- Schedule or fare changes
- Accidents (within 24 hours)
- Vehicle inventory changes
- Change in services
- Maintenance activities
- Charter Bus activities
- Drug and Alcohol testing
- Training

When transmitting reports via email, request a “received and read” confirmation.

Are you reporting all of the required information outlined in the program guide and grant agreement?

How do you file and archive reports?

How do you track when reports are due?

Is your data collection sufficient to meet your reporting requirements?

PERFORMANCE AND EVALUATION

PERFORMANCE MEASURES

Performance measures and outcomes are now a mainstream requirement for most grants.

These measures provide funders with evidence that the programs are carried out and successfully meeting mission and goal statements. Think of it as evidence of return on the public investment.

They also provide information to your organization that lets you analyze your transportation services, their associated costs (should you be contracting out services or keeping them in-house) and the impact the services have on addressing mission and goal statements.

Some key performance measures include:

- Number of trips
- Number of miles
- Service hours
- Operating expenses
- Cost per trip
- Cost per mile
- Cost per hour
- On-time pick-up ratio (The % of time a pick-up is on time as compared to the % of time a pick up is late.)
- Number of missed trips (vehicle fails to show)
- Number of late cancellations (rider fails to notify on time)
- Number of no shows
- Number of trip denials (unable to schedule ride for lack of resources)
- Number and type of complaint
- Ways and means of actively coordinating with other agencies
- On time bus maintenance ratio
- Site review results
- Training targets

- Cost reductions (without reducing level of service)
- Survey results

Surveys are another method of measuring performance. Questions can be developed that address your performance goals such as on-time pick-up, courteous and sensitive drivers, civil rights violations, careful or careless driving, etc. You may find assistance in developing appropriate and useful surveys by contacting your local community college's social sciences department. **While surveys are a good and important evaluation tool, they should not be the only tool in your evaluation box. Collecting and analyzing data is your most powerful tool.**

The following chart, from [TCRP Report 136](#), provides some of the factors that may impact your performance as a demand response provider. It also describes which of these factors may be controllable by the organization, giving you an opportunity to improve performance by addressing impact factors. **This report also provides a number of interesting and useful tools for developing and using performance measures to benefit your program.**

Factor	“Control” by DRT System?
Operations	
Hiring practices and training for vehicle operators	Controllable
Operator wages and benefits	Controllable / Partially Controllable
Timely vehicle pull-outs with back-up operator availability	Controllable
Relationship of paid operator-hours to vehicle-hours	Controllable
Wages and benefits for other operating staff	Controllable / Partially Controllable
Deadhead time and miles	Partially Controllable
Average system speed	Partially Controllable
Scheduling/Dispatch	
Skills in creating effective manifests	Controllable
Matching vehicle-hours to ridership demand	Controllable
Service Policies Related to	
No-shows and late cancellations	Controllable
Length of advance reservation period	Controllable
Service span: days and hours of service	Controllable
Rider assistance: door-to-door, curb-to-curb, packages, child car seat, etc.	Controllable
Vehicles	
Vehicle type and mix; vehicle specifications	Partially Controllable
Vehicle condition and maintenance practices	Controllable
Maintenance expenses	Controllable
Administration	
Staffing and administrative expenses	Controllable
Safety	
Safety policies and procedures	Controllable
System’s “culture of safety”	Controllable
Service-Area Environment	
Service-area size, roadway network, density, land use patterns, constraints (e.g., mountains, bridges, railroad crossings)	Uncontrollable
Strength of local economy/job market, affecting employment environment	Uncontrollable
Weather and “Acts of God”	Uncontrollable
Other	
Type of ridership: ADA only, limited eligibility, general public	Uncontrollable
Contractual constraints: rules imposed by human service agencies that contract for service (e.g., maximum ride time, etc.)	Partially Controllable
Type of operator (city/county, transit authority, private contractor, taxi co.)	Partially Controllable
Demand for DRT service	Partially Controllable
Riders’ no-shows and late cancellations	Partially Controllable
Riders’ dwell time	Partially Controllable

What performance measures have you established?

Have you collected the necessary data to measure your performance?

Do you use performance measures just for reporting purposes or do you use them to analyze internal policies and procedures that impact overall progress?

Do you know how your performance compares with other agencies providing like services?

When did you last conduct a survey among your service population?

IMPLEMENTATION OF GRANT MANAGEMENT TOOLS

It's worth repeating: Personal characteristics needed to be a good grant manager are diverse and many exceptional grant managers will agree that there are a few of those characteristics that go a long way in making a complex grant management... well, manageable!

- Ability to see the BIG picture while paying close attention to detail
- Desire to be punctual
- Willingness to do the foundational work that saves enormous time later
- Relationship builder (with program managers)

Here are some additional questions to ask yourself...

Who is responsible, for understanding the expectations of the grant award?

Where does the grant management buck stop in your organization?

If a newspaper reporter were writing the story about your grant, would it be about how well it was managed or how your agency failed to do its due diligence?

Can you afford to pay back a grant award due to miss-management?

Do you know the name and phone number of your Mobility Manager and funder's grant/program managers?

Would they know your name and have your phone number?

Does your organization have a strategic plan or an administrative plan to build capacity?

What do you plan to do next in terms of improving your grant management procedures?

When is your deadline for completing those tasks?

Who can help you?

Attached is a sample grant management tool that you can revise and use for any grant award. As you improve it for your purposes, be sure and share it with other organizations and your mobility manager.