



State Management Plan

For

Public Transportation

Prepared by

North Dakota Department of Transportation

Local Government Division, Transit Section

In Cooperation with

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Table of Contents

EXECUTIVE SUMMARY.....	5
INTRODUCTION.....	6
PROGRAM GOALS.....	6
PROGRAM OBJECTIVES.....	7
ROLES AND RESPONSIBILITIES.....	7
NORTH DAKOTA STATE AID FOR PUBLIC TRANSIT PROGRAM.....	9
PROGRAM OVERVIEW.....	9
FTA SECTIONS 5303 and 5304 – STATEWIDE PLANNING AND METROPOLITAN PLANNING	9
FTA SECTION 5307 – URBANIZED AREA FORMULA PROGRAM.....	10
METROPOLITAN AREA PARTICIPATION.....	11
FTA SECTION 5310 – ENHANCED MOBILITY OF SENIORS & INDIVIDUALS WITH DISABILITIES	11
COORDINATED HUMAN SERVICE PLAN	12
SECTION 5310 PROGRAM MEASURES.....	13
FTA SECTION 5311 – RURAL AND SMALL URBAN AREAS	14
FTA SECTION 5311(B) – RURAL TRANSIT ASSISTANCE PROGRAM (RTAP)	16
FTA SECTION 5311 (F) – INTERCITY BUS PROGRAM.....	16
SERVICES AND SERVICE AREA.....	17
NATIONAL TRANSIT DATABASE.....	17
FTA SECTION 5339 – BUS AND BUS FACILITIES.....	17
LOCAL SHARE AND LOCAL FUNDING REQUIREMENTS	18
METHOD FOR DISTRIBUTING FUNDS AND PROJECT EVALUATION CRITERIA.....	19
PROGRAM YEAR.....	19
APPLICATION REVIEW AND APPROVAL SCHEDULE.....	19
SECTION 5310 APPLICATION	20
SECTION 5311 APPLICATION	21
SECTION 5339 APPLICATION	22
PRIVATE SECTION PARTICIPATION	23
ANNUAL PROGRAM DEVELOPMENT AND PROJECT.....	23
APPROVAL PROCESS.....	23
ANNUAL STATEWIDE TRANSPORTATION IMPROVEMENT PROGRAM (STIP)	24
FUNDS TRANSFER.....	25

MAINTENANCE.....	25
TRANSIT ASSET MAINTENANCE.....	25
BUILDING MAINTENANCE REQUIREMENTS	26
VEHICLE MAINTENANCE REQUIREMENTS.....	26
USEFUL LIFE	28
USEFUL LIFE BENCHMARK.....	29
PERFORMANCE MEASURES AND TARGETS.....	30
DISPOSITION AND TRANSFER OF EQUIPMENT	30
VEHICLE TITLE AND DISPOSAL.....	30
SATISFACTORY CONTINUING CONTROL.....	31
INSURANCE	32
FINANCIAL MANAGEMENT.....	32
STATE PROGRAM MANAGEMENT	32
COST ALLOCATION PLANS (CAP).....	33
ACCOUNTING SYSTEMS, AUDIT AND CLOSEOUT	34
PROCUREMENT.....	34
FACILITY PROJECTS	36
CIVIL RIGHTS REQUIREMENTS.....	37
PERSON WITH DISABILITY INPUT (SECTION 504/ADA).....	37
TITLE VI	37
NDDOT OVERSIGHT.....	39
PUBLIC PARTICIPATION	41
DISADVANTAGED BUSINESS ENTERPRISE (DBE)	41
UNIFORM REPORT OF DBE COMMITMENTS.....	42
EQUAL EMPLOYMENT OPPORTUNITY.....	43
TECHNICAL CAPACITY.....	44
ON-SITE REVIEWS AND COMPLIANCE REVIEWS.....	44
MAINTENANCE AND INSPECTION	45
SUBRECIPIENT REPORTING REQUIREMENTS.....	45
DRUG AND ALCOHOL PROGRAM COMPLIANCE.....	46
MANAGEMENT INFORMATION SYSTEM (MIS) REPORT.....	47
LOBBYING	47
CHARTER.....	47

SCHOOL TRANSPORTATION 48

AGENCY PHASE OUT 48

RECORD RETENTION..... 49

EXHIBITS

Exhibit A: Transit Glossary

Exhibit B: NDDOT Transit Grant Application Guidelines

Exhibit C: Consultant Administration Services (CAS) Procedures Manual

Exhibit D: FTA Region 8 Categorical Exclusion Worksheet & Instructions

Exhibit E: Release of Continuing Control Form

Exhibit F: Procurement Manual Template

Exhibit G: Title VI Compliance Review Form

Exhibit H: DBE Subrecipient Reporting Form

Exhibit I: Vehicle Inspection Form

Exhibit J: Facility Inspection Form

Exhibit K: 5310 Compliance Review Form

Exhibit L: 5310, 5311, 5339 & State Aid Compliance Review Form

Exhibit M: Lobbying Certification Form

EXECUTIVE SUMMARY

The North Dakota State Management Plan for Public Transportation (SMP) is a document which describes the state policies and procedures for administering the Federal Transit Administration's (FTA) federal funds and North Dakota Department of Transportation (NDDOT) state funds. The NDDOT is the state agency designated to administer these funds and follow a FTA approved State Management Plan.

The SMP primary purpose is to serve as the basis for NDDOT to manage the state and federal funding programs.

The SMP is divided into a number of areas outlining, program goals and objectives, program overview, financial management and civil rights requirements. Other topics based on specific program areas include, real property maintenance, drug and alcohol, school bus, charter, and procurement.

The State Program Management explains in detail the various transit funding programs available in North Dakota and will also serve as an information source for disseminating transit information to the general public and all other interested parties.

The NDDOT provides technical assistance and training to subrecipients in all program areas. This is done through transit quarterly meetings, compliance reviews, vehicle and facility inspections, and webinars.

The distribution of funds and annual program development is managed by NDDOT and requires specific criteria be met in order to receive federal funding. These sections explain the program differences and informs the subrecipients about the process to apply for a specific program.

For the NDDOT to receive any transit funding through FTA, NDDOT must comply with the federal requirements in the compliances and assurances of FTA's Master Agreement. Those requirements are passed through the grant process to the subrecipients. In order for NDDOT to award any federal funding to a subrecipient they must certify they comply with these requirements by completing the annual certifications and assurances through the BlackCat System.

The State Management Plan serves as a guidance tool for federal and state government and all of the subrecipients. It is important that this plan be updated to reflect the current practices by NDDOT. At a minimum it should be updated every 3 years or more frequently as major policy or federal regulation changes are made.

INTRODUCTION

The Federal Transit Administration (FTA) requires each state that receives and administers federal funding under Section 5311 program of transit assistance for rural areas, Section 5310 capital assistance program for Enhanced Mobility of Seniors and Persons with Disabilities and Section 5339, Bus and Bus Facilities Program, to have an approved SMP on file with their regional FTA office.

This State Management Plan for Public Transportation explains the policies and procedures used by the NDDOT in administering the various federal and state transit program funds available for supporting and improving public transit services in North Dakota.

It should be noted that the state transit program guidelines and regulations contained herein closely parallel the Federal Transit Administration's (FTA) program guidelines and regulations with some variations to provide for state policies and procedures pursuant to North Dakota transit goals and objectives. State requirements in the SMP may be more restrictive, but not less restrictive than Federal requirements. FTA regulations can be found at FTA's website at www.transit.dot.gov, for more specific information click on "Regulations and Guidance" or "Funding."

Re-evaluation of policies will be considered on an ongoing basis. If there are comments or a request for revision, please forward it to the NDDOT transit staff. The SMP is intended to facilitate both state management and FTA oversight by documenting the state's procedures and policies for administering these programs in a single reference.

See Exhibit A for FTA definitions.

PROGRAM GOALS

The goal of the state transit programs (both federal and state funding programs) is to provide a safe, efficient, environmentally sound and fiscally responsible transportation system that promotes economic growth and enhances the quality of life in North Dakota. By increasing the mobility of transportation for disadvantaged persons and the general population in all areas and localities of North Dakota, access to health care, shopping, education, recreation, public services and employment is increased. This will be accomplished by establishing and supporting public and special needs transportation systems wherever needed and appropriate throughout the state.

PROGRAM OBJECTIVES

The NDDOT objectives are consistent with the FTA program goals. The FTA program goals and objectives of the individual programs are to continue growth in all areas of North Dakota by utilizing the available federal and state funding programs to:

- Provide operating funds to support and maintain existing transit services and also assist in establishing new services, so that transportation for disadvantaged persons and the general population in all areas of the state will have access to at least a minimum level of public or special needs transportation services;
- Provide capital funds to the existing public as well as special needs transportation systems to upgrade their buses and related transit equipment to ensure the continued viability of these systems and the transit services they provide;
- Provide grant funds to maintain and promote coordination of transportation systems and services in the state;
- Provide technical assistance to existing, special needs and new public transportation systems to increase the effectiveness and efficiency of their transit services;
- Work with all state agencies involved in providing transportation services to coordinate state and federal transportation programs.

ROLES AND RESPONSIBILITIES

In 1975, when the first annual apportionment of federal transit funds became available to the state of North Dakota under the FTA Section 5310 Program (Transportation Assistance for the elderly persons and persons with disability), the Governor designated the NDDOT to administer all other federal transit programs in North Dakota funded under the Urban Mass Transportation Assistance Act of 1964, as amended. Reaffirmation of this designation for the Section 5310 program was made on January 28, 1985.

In 1979, when the Section 5311 Rural Transit Assistance Program was implemented by FTA, the Governor once again designated the NDDOT to administer this program. The designation of Rural Transit Assistance Program was dated January 5, 1979. Documentation of these designations is on file with the FTA Region VIII office.

Specifically, the NDDOT Transit is responsible for:

- Developing all administrative procedures, processing all financial documents for reimbursement of operative deficits and maintaining local financial accountability through standard audit practices;
- Monitoring the expenditures of funds for all contracts that have been awarded to the

- providers;
- Managing subrecipient selection process, notifying eligible subrecipients of the availability of programs, developing selection criteria, soliciting applications, reviewing and recommending projects for approval by NDDOT Management as part of a committee;
 - Managing grant agreements, amending grant agreements, developing and executing grant agreements with eligible subrecipients;
 - Managing data, collecting financial reports, operating statistics and vehicle data, maintaining databases, monitoring and evaluating transit system performance;
 - Managing federal grants, program of projects, reporting and grant closeouts;
 - Monitoring subrecipient compliance with federal and state requirements;
 - Engaging in planning and research activities, transit plans and studies;
 - Providing technical assistance, training and workshops for subrecipients;
 - Submitting an annual report to the National Transit Database that contains the information required to be stated in all Section 5311 transit programs in North Dakota;
 - Submitting a Federal Financial Report, final budget and final Program of Projects through the TRAMs system, within 30 days of final expenditure of all funds in a federal grant;
 - Submitting an annual Drug and Alcohol Testing MIS data report;
 - Compliance reviews and site visits (facility and vehicle inspections) to those subrecipients in North Dakota that receive FTA and state funding for their programs.

Other divisions/agencies who assist the Transit Section:

- Finance Division – assists in grant management, subrecipient requested payments, Milestone Progress Report (MPR's), Federal Financial Reports (FFR's), etc.;
- Civil Rights Division – assists with Title VI, Limited English Proficiency (LEP), Disadvantaged Business Enterprise (DBE), Americans with Disabilities Act (ADA) and Equal Employment Opportunity (EEO);
- Communication Division – assists with press releases, advertisement, and other public communications;
- Programming Division – assists with STIP and TIP programs;
- Legal Division – assists with contracts;
- Information Technology – assists with BlackCat Electronic Grant System, Contract Management and Website;
- State Procurement Office – assists with bidding and awarding State Bids for vehicles, services, and consultants; and
- ND Department of Human Services - Aging Services, Department of Human Services – Medical Services, and ND Veterans Affairs – assist with grant applications reviews.

NORTH DAKOTA STATE AID FOR PUBLIC TRANSIT PROGRAM

State funding is provided to NDDOT for administration of the Public Transportation Fund 39-04.2-02. The Director of the NDDOT administers these funds and distributes funding to qualifying public transportation providers based on 39-04.2-04 Distribution of funds (Page 4). The distribution formula (according to Chapter 39-04.2 NDCC 2007 Legislative Session and October 1, 2007 letter from ND Legislative Council's office) is as follows: Each county shall receive a base amount of four-tenths of one percent of the appropriation for the program plus one dollar and fifty cents per capita of population in the county, based upon the latest regular or special official federal census. Each year the director shall increase or decrease the one dollar and fifty cents per capita amount in order to distribute all funds appropriated for the biennium. If there are multiple transportation providers in one county, then the base amount must be divided equally among the providers and the additional per capita amount must be based upon the percentage of elderly and handicapped ridership provided by each transportation provider within the county. Funds not expended by a county during a contract period, or previous contract periods, may be redistributed under guidelines established by the director. In addition, unexpended funds may also be used by the director for transit coordination purposes. Recipients for State Aid funding must comply with the same regulations as required for Section 5311 funding.

PROGRAM OVERVIEW

FTA funds may be used to reimburse subrecipients for expenses associated with public transportation capital projects as well as the costs of operating a transit service. The statutory definition (49 U.S.C. § 5302) of public transportation is "regular, continuing shared-ride surface transportation services that are open to the general public or a segment of the general public defined by age, disability or low-income."

FTA SECTIONS 5303 and 5304 – STATEWIDE PLANNING AND METROPOLITAN PLANNING

Sections 5303 Metropolitan Planning and 5304 Statewide Planning Funds and Research grant funds are provided to the small urbanized areas of the state for various transit related planning activities

Section 5304 is a companion program to the Section 5303 program and provides an annual apportionment of federal transit planning funds to North Dakota for a variety of statewide planning activities. The state can use these funds for a variety of transit related purposes such as planning, technical studies and assistance, demonstrations, management training and cooperative research.

Currently, these funds are combined with the Section 5303 funds and disbursed to the urbanized areas in the state for metropolitan planning activities.

Funding for rural transit studies is generally funded with FHWA State Planning and Research funds (SPR). Requests for planning needs can be made to the NDDOT, Local Government Division at any time.

Section 5304 funds shifted to the metropolitan areas are rolled into the Consolidated Planning Grant. The combining of FTA and FHWA planning funds allows flexibility in transportation, urban street and highway planning activities. Budget tracking and cost billing are also greatly simplified. Section 5304 and Section 5303 funds are distributed to the three Metropolitan Planning Organizations (MPOs), Fargo/Moorhead, Grand Forks/East Grand Forks, and Bismarck/Mandan, by means of a distribution formula developed by the MPOs.

Two of North Dakota's urbanized areas (Fargo-Moorhead, and Grand Forks/East Grand Forks) are located at the North Dakota state line with Minnesota and have neighboring state line cities of Moorhead, Minnesota and East Grand Forks, Minnesota respectively. Minnesota planning funds allocated annually to these two Minnesota cities by FTA and FHWA are also pooled into the CPG to facilitate administration of these funds to these state line urbanized areas. The NDDOT is the lead agency and administers the combined CPG funds for both state line urbanized areas.

The MPO submits invoices for reimbursement monthly to NDDOT, Local Government Division.

Eligible Recipients: States and Metropolitan Planning Organizations

FTA SECTION 5307 – URBANIZED AREA FORMULA PROGRAM

The section 5307 Urbanized Area Formula Program, was initiated by the Congressional passage of the 1974 Urban Mass Transportation Administration (UMTA) Act and subsequent federal transit legislation. This program provides federal funds to the Governors for transit capital, operating and planning assistance to urbanized areas having populations between 50,000 and 200,000 as designated by the U.S. Department of Commerce, Bureau of the Census. This program provides an annual apportionment of federal transit funds for North Dakota to support and improve public transit services in urbanized areas. The funds (which can be expended for capital, operating, administration and planning needs) are administered directly by FTA Region VIII and are made available to North Dakota's three urbanized areas of Bismarck/Mandan, Fargo/ Moorhead and Grand Forks/East Grand Forks.

NDDOT provides limited oversight of this program. The Department has the option of moving or reassigning the program funds among the three urbanized areas, as well as between the other FTA transit programs. The funds lapse four years after the time of apportionment if not obligated by the urbanized areas within the time frame.

METROPOLITAN AREA PARTICIPATION

Urban areas larger than 50,000 in population commonly form a MPO with Fargo/ Moorhead, Bismarck/Mandan and Grand Forks/East Grand Forks fitting this designation. NDDOT has partnered with the MPOs through Memorandums of Understanding. The MPO is the lead agency in transportation planning for their respective area. The MPO solicits, reviews, and prioritizes transit projects in each area. Projects are then submitted to NDDOT.

Each MPO leads the coordination efforts in their area and all projects must be consistent with the MPOs Metropolitan Transportation Plan (MTP), included in their Transportation Improvement Program (TIP) and be contained within the locally derived human services public transportation coordination plan. The MPO also has private sector planning that must be followed within the MPO study area. Changes to each plan must be made through the appropriate process in each area.

Contact the MPO in your area for further details.

Bismarck/Mandan MPO	701-355-1840
Fargo/Moorhead Metro COG	701-232-3242
Grand Forks/East Grand Forks MPO	701-746-3242

Eligible Recipients: Funding is made available to designated recipients, which must be public bodies with the legal authority to receive and dispense Federal funds. Governors, responsible local officials and publicly owned operators of transit services are required to designate a recipient to apply for, receive and dispense funds for urbanized areas pursuant to 49 U.S.C. 5307(a)(2). The Governor or Governor’s designee is the designated recipient for urbanized areas between 50,000 and 200,000. Transportation service shall be for the general public. The geographical boundaries defined in the approved provider application will be the service area. This may include regular or periodic trips into a regional center or urbanized area. Trips into urbanized areas shall not be for the purpose of providing transportation services to persons within the urbanized area.

In order to be reimbursable, service must be open to the public. Service must be advertised as open to the public in all advertising, brochures, websites and posters.

FTA SECTION 5310 – ENHANCED MOBILITY OF SENIORS & INDIVIDUALS WITH DISABILITIES

Section 5310 program funds may be used for capital and operating expenses in rural and urban areas to support transportation services and improve mobility for the special needs of elderly persons and persons with disabilities. At least 55 percent of the program funds must be used on capital or “traditional” projects as described in Circular 9070.1G, Chapter III.

Projects selected for funding under Section 5310 must be derived from a locally developed Coordinated Human Services Plan. These plans identify the transportation needs of persons with

disabilities, elderly persons and people with low incomes, and provide strategies for meeting these needs. These coordinated plans are approved by the NDDOT transit staff.

Following advertisement of funds to the public, applications for 5310 grant funds are accepted via the BlackCat electronic grant application system. Applications are reviewed by a committee comprised of NDDOT and non-NDDOT members. Following the review process, the committee makes recommendations for funding based on availability of funds as well as the justification, feasibility and sustainability of proposed projects. The committee then ranks the projects to ensure a fair and equitable process. Recommendations are then submitted for approval to the NDDOT executive management.

Match: The federal share of eligible capital costs may not exceed 80 percent, and 50 percent for operating assistance.

Section 5310 grant funding is available for the year in which it is appropriated plus an additional two years (for a total of three years).

Examples of capital expenses include, but are not limited to:

- Buses, Cutaways and vans;
- Radios, Tablets and communication equipment;
- Vehicle shelters;
- Wheelchair lifts and securement devices;
- Vehicle rehabilitation or overhaul;
- Extended warranties which do not exceed the industry standard;
- Computer hardware and software;
- Initial component installation costs;
- Introduction of new technology into public transportation;
- Transit related intelligent transportation systems (ITSs); and
- Supporting mobility management and coordination.

Eligible subrecipients: Funding is made available to private nonprofit organizations, governmental authorities where no non-profit organizations are available to provide service and intercity carriers, provided all federal qualifications are met.

COORDINATED HUMAN SERVICE PLAN

Projects under Section 5310 must be derived from a locally developed and coordinated public transit-human services transportation plan for all FTA programs on behalf of underserved populations; Elderly Persons, and Persons with Disabilities (Section 5310). The program aims to improve transportation services for persons with disabilities, elderly persons and individuals with low incomes. The provisions ensure that communities coordinate transportation resources provided through multiple Federal programs.

4 (Four) Main Points of a Plan

- An assessment of available services that identifies current transportation providers;
- An assessment of transportation needs of individuals to be served with the funding sought, that is, persons with disabilities, elderly persons and people with low incomes;
- Strategies, activities and/or projects to address the identified gaps between current services and needs, as well as opportunities to improve efficiencies in service delivery; and
- Priorities for implementation based on resources (from multiple program sources), time and feasibility for implementing specific strategies and/or activities.

Subrecipients must involve the public in the development of a Coordinated Human Service Plan by following the process established in their Title VI Public Participation Plan. Outreach must be performed to include all stakeholders such as local officials, community based organizations, public transit providers, transit users, and state and local transportation planning agencies, as well as elderly persons, persons with disabilities and persons of low income.

Interagency coordination is accomplished with regular meetings with the Department of Human Services - Aging Services, Department of Human Services – Medical Services and like agencies. Continual communication with these agencies, subrecipients, and any other comments received by the NDDOT are actively pursued.

Subrecipients actively communicate with the Human Services agencies in their area to ensure service to those in need.

SECTION 5310 PROGRAM MEASURES

NDDOT uses subrecipient applications (including budgets), quarterly and annual reports to monitor and evaluate performance. Quarterly reports quantify one way trips provided by passenger type, expenses, trip miles and service time. Annual reports indicate – on a fleet aggregated basis, number of one-way trips, number of eligible riders in the awardees service area and county(s) served. The federal program year is October 1st- September 31st.

The two measures established for the Section 5310 (per FTA C 9070.1G page II-2), program are:

- Gaps in Service Filled. Provisions of transportation options that would not otherwise be available for the elderly persons and persons with disabilities. Measured in numbers of the elderly persons and persons with disabilities afforded mobility they would not have without program support;
- Ridership. Actual or estimated number of rides (as measured by one way trips) provided annually for persons with disabilities and the elderly persons on Section 5310 – supported vehicles and services and number of rides provided during the lifetime of all 5310 vehicles currently in service.

Transit staff use these reports to perform operational management over subrecipients and to satisfy federal reporting requirements.

FTA SECTION 5311 – RURAL AND SMALL URBAN AREAS

Section 5311 provides an annual apportionment of federal transit funds to North Dakota to support and improve public transit service in the rural areas (areas and localities under 50,000 in population). The funds may be used for capital, operating and administrative assistance to local public bodies, Native American tribes, nonprofit organizations, and operators of public transportation services or intercity bus service. Section 5311 funds are administered by NDDOT and are used to support public transit in the small cities and rural areas of the state. Funds are apportioned to North Dakota based on a formula that includes land area, population, revenue vehicle miles, and low-income individuals in rural areas.

Match: The federal share may not exceed 80 percent for capital and administration projects and 50 percent for operating assistance.

Section 5311 grant funding is available for the year in which it is appropriated plus an additional two years (for a total of three years).

Operating Expenses are considered those costs directly related to system operations. At a minimum, the following items must be considered operating expenses:

- Fuel/oil;
- Drivers' and maintenance salaries and fringe benefits;
- Utilities;
- Licenses and fees;
- Preventive maintenance, repairs and parts; and
- Training and Development
- .

Net operating expenses are those expenses that remain after farebox revenue is subtracted from eligible operating expenses. Fare box revenues do not include payments made directly to the transit provider by human service agencies.

A cost allocation plan is submitted and approved before indirect costs can be reimbursed. This plan can be one prepared for a different federal agency or one prepared for the FTA program. (2 CFR 225, FTA C 6100.1C Page IV-5, DHHS brochure ASMB C-10 and A-87 are references that may be used in preparing the cost allocation plan.)

Administrative Expenses are those eligible project administrative expenses including general administrative expenses such as:

- Salaries and fringe benefits of the director, secretary and bookkeeper;

- Audit expenses;
- Advertising/marketing;
- Office Supplies;
- Legal;
- Travel;
- Facilities and equipment rent;
- Insurance; and
- Drug & Alcohol Testing.

Capital Expenses are the same as those listed under the Section 5310 program, with the addition of these capital items such as:

- Major vehicle repairs or parts;
- Communication equipment;
- Office furniture; and
- Computer Equipment.

The above list is by no means comprehensive as additional small capital items are also eligible.

The expenses listed below are not eligible costs to be reimbursed with federal or state funding:

- Food/Beverages;
- Memorials/flowers;
- Gifts;
- Promotional items, memorabilia, souvenirs;
- Entertainment (social activities, tickets to shows or sporting events, etc., meals, lodging, rentals, transportation and gratuities);
- Costs of advertising and public relations designed solely to promote the non-profit organization;
- Costs of meetings, conventions, or other events related to other activities of the non-profit organization including;
 - Costs of displays, demonstrations, and exhibits;
 - Costs of meeting rooms, hospitably suites, and other special facilities;
 - Salaries and wages of employees engaged in setting up and displaying exhibit;

The above list is by no means comprehensive as additional expenses may not be eligible. Please contact the Transit Section or refer to the OMB Circular A-122 (2CFR part 230) if you have any questions about expenses eligible for reimbursement.

State Administration is available to the state for use in transit administration such as consultant services.

Eligible Recipients: Funding is made available to state or local government authorities, nonprofit organizations, federally recognized Indian Tribes and operator of public transportation or intercity bus service.

Private operators, both for-profit and non-profit, are involved in public transit in several ways:

- When a subrecipient chooses to engage a third party operator to provide public transit service there is full and open competition. The qualified private bidder is chosen and a contract is executed;
- Private operators are able to participate on local transit advisory committees;
- The private sector is encouraged to participate on other NDDOT efforts (e.g., statewide plans, local transit development plans and technical assistance to subrecipients).

FTA SECTION 5311(B) – RURAL TRANSIT ASSISTANCE PROGRAM (RTAP)

Section 5311(b) (3) RTAP is administered in conjunction with the Section 5311 program. It was established under the Federal Mass Transportation Act of 1987. RTAP provides an annual apportionment of federal funds to the state for transit training, technical assistance and other support activities to enhance transit operations and services in the state’s rural areas. These are 100% federal funds with no local match required.

Any subrecipients receiving 5311 funds are eligible to request RTAP funds.

RTAP funds may be used to support transit activities in the following categories:

- National, regional and state conferences and workshops;
- Technical assistance;
- Training;
- Research;
- Related support services;
- Purchase of equipment to support any of the above activities.

FTA SECTION 5311 (F) – INTERCITY BUS PROGRAM

NDDOT administers 5311(f) program funds in accordance with the Federal Intercity Bus Program. According to the Intercity Bus Assistance Program, NDDOT may contract with private providers of the intercity bus service to support intercity bus routes for the provider, or make grants to political subdivisions to support intercity bus service routes. Intercity bus service is defined as, “regularly scheduled public bus services that operates with limited stops between two urbanized areas or connects rural areas to an urbanized area.”

Through this program, NDDOT conducts outreach with the goal of obligating 15 percent of all annual 5311 funds for intercity bus projects. Service is requested through a grant application process with the intent of funding projects that meet the following objectives:

- The service has meaningful intermodal connections;
- The service project improves connectivity to or between major metropolitan areas that currently lack convenient or direct intercity bus service;
- The contractor demonstrates that they have the technical capacity, financial stability, marketing plan and requisite experience to be recipients of federal funds.

The reporting of financial information and reimbursement for services will be performed on a quarterly basis using the same provider controls and procedures as the 5311 program.

SERVICES AND SERVICE AREA

Public transportation services to be provided under 5311 funding program shall be available to all persons within the service area. The transportation service may either be provided by the applicant, by a private-non-profit provider or private-for-profit provider under contract to the applicant.

NATIONAL TRANSIT DATABASE

Section 5311 subrecipients are required to report revenues, expenses, revenue hours, revenue miles, ridership, and safety data each quarter. As required by 49 CFR Part 630, National Transit Database (NTD) mandated reports are comprised of all data gathered based on the State of North Dakota fiscal year which runs from July 1 through June 30. NDDOT reports the data on behalf of its rural subrecipients. Reduced reporting is submitted for Intercity and Tribal subrecipients. Urban agencies report their data directly to the NTD.

FTA SECTION 5339 – BUS AND BUS FACILITIES

Section 5339 is a program used to provide capital assistance for new and replacement buses, related equipment and facilities. Federal funds under this program are annually apportioned to the states. The program funding under the Capital Investment Grant (49 U.S.C. 5339) is provided through formula allocations and a competitive grant application through the BlackCat System.

Match: The federal share of eligible capital costs is 80 percent of the net capital project cost although the Federal share may exceed 80 percent for certain projects related to the ADA, the Clean Air Act (CAA) and certain bicycle projects.

Section 5339 grant funding is available for the year in which it is appropriated plus an additional two years (for a total of three years).

Section 5339 program funds may be used for capital projects in both rural and urban areas of the state. Examples of capital expenses include but are not limited to:

- Acquisition of vehicles for fleet and service expansion;
- Rehabilitation of buses (requires bus to be kept in service for 24 additional months beyond renovation date);
- Construction and renovation of bus maintenance and administrative facilities;

- Transfer facilities, transportation centers, intermodal terminals and park-and-ride stations;
- Purchase of replacement vehicles, vehicle rebuilds and vehicle preventive maintenance;
- Purchase of passenger amenities such as passenger shelters and bus stop signs;
- Purchase and installation of electronic ticketing machines; and
- Purchase of accessories and miscellaneous equipment such as mobile radio units, fare boxes, computers, bus wash systems, shop and garage equipment.

Eligible Recipients: Funding is made available to recipients that receive grant funding under formula or discretionary programs and are public or private nonprofit organizations engaged in public transportation.

LOCAL SHARE AND LOCAL FUNDING REQUIREMENTS

The applicant will provide the required local matching share for capital and operating assistance projects. The local matching share shall be cash from sources other than the U.S. Department of Transportation funds. All subrecipients must provide proof that local match funds are from an eligible source and are not being obligated in another way. A certification of local match form accompanies each transit contract with federal funds.

The matching share for project administration, capital and operating costs may be from a source that includes state, local government, unrestricted federal or private funds. Matching funds for operating projects require a local share of 50 percent of the cost of the project. Whereas matching funds for administrative and capital projects require a local share of 20 percent of the cost of the project. RTAP projects approved by the NDDOT do not require matching funds.

Applicants eligible for public transportation assistance may receive state funds to be used as match for federal funds at the allowable split.

Applicants not eligible to receive state funds may provide the local match with a combination of unrestricted federal funds and local cash funds. Examples of local match that may be used for the local share include local appropriations, other non-federal DOT funds, dedicated tax revenues, private donations, revenue from human service contracts and the net income generated from other sources such as advertising, fundraising, and donations.

Note: The following sources may NOT be included in local match funds:

- Federal USDOT funding;
- Farebox revenue; and
- Other restricted Federal Funds

METHOD FOR DISTRIBUTING FUNDS AND PROJECT EVALUATION CRITERIA

PROGRAM YEAR

The program year for Section 5310, 5311, 5339 and State Aid funding is the North Dakota state fiscal year (July 1 to June 30). The grant funds are available to the local subrecipients from July 1st of the current year until June 30th of the following year. All grant applications are due May 1st of each calendar year, beginning in 2017.

Section 5310 includes capital and operating funding, Section 5339 is capital funding only, and Section 5311 includes capital, operating and administration funding.

APPLICATION REVIEW AND APPROVAL SCHEDULE

The State's annual announcements shall provide a schedule of dates for application submittals and review by NDDOT's Grant committee.

The general application review and approval schedule for applications are:

- May – Receipt of all applications;
- May – Proposal reviewed by NDDOT's grant committee;
- May/June – Grant committee recommendations are submitted to Director of Office of Transportation Programs for review and approved by Deputy Director, and Director; and
- June/July – contract preparation and notification. This is subject to availability of federal funds.

Through the annual application process, due to the state on May 1 of every year, eligible subrecipients prepare and submit applications. Annual applications are then reviewed by the NDDOT grant review committee. The committee reviews eligible applications with consideration given to the amount of funding available and the amount of requests received. Penalties may apply to late or incomplete applications. Final funding decision amounts are made at the discretion of the NDDOT Director.

The grant review committee is made up of 3 NDDOT employees and 4 non-NDDOT employees. The non-NDDOT committee members will be solicited from Department of Human Services - Aging Services, Department of Human Services – Medical Services, and North Dakota Veteran's Affairs asking them to appoint a committee member to represent their agencies interest in transportation. The non-NDDOT committee members will serve a 3 year term.

All applications for Federal Transit funding will be administered through the NDDOT's BlackCat System. Subrecipients currently receiving transit funds from NDDOT grant programs should go directly into the BlackCat System and complete their applications. Any new agency applying for funding should review the program eligibility information outlined in the NDDOT Transit Grant Application Guidelines. See Exhibit B.

SECTION 5310 APPLICATION

Section 5310 is a program that funds projects that are included in a locally developed, coordinated public transit-human services transportation plan. At least 55 percent of the program funds must be used on capital or “traditional” projects as described below and in Circular 9070.1G, Chapter III.

- Rolling Stock and Related Activities;
- Passenger Facilities (installation of benches, shelters and other passenger amenities);
- Support Facilities and Equipment (dispatch & fare collection systems, computer hardware & software, extended warranties, etc.);
- Leasing of equipment;
- Acquisition of transportation services under a contract, lease or other arrangement;
- Support for mobility management.

FTA requires that applicants afford private, for-profit, transit and paratransit operators a fair and timely opportunity to participate to the maximum extent feasible in the planning and provision of proposed transportation services. Accordingly, each applicant for Section 5310 funds must comply with this policy and document such efforts in its application.

The NDDOT will publish a notice in the major newspapers serving the state and proposed service area, describing the project and soliciting interest from private parties to provide the service. The notice must provide 30 days for response and provide a publisher affidavit with its grant package for review to FTA. Further, Section 5310 applicants must send notification letters to all known transportation providers in their area and provide at least ten days for response. If public hearings are held they must take place in an accessible location and outreach to limited English speaking, minority, and low income populations must be performed.

Non-profit corporations are eligible applicants under 5310. All eligible applicants are invited to apply for Section 5310 funds and awards are made based on fair evaluation of project merits. Potential applicants are informed of program solicitations through both email notifications to past and current awardees and website postings.

Lists of private transportation providers are used to inform public agencies and non-profit organizations about the statewide coordination planning process.

Section 5310 – Elderly and Persons with Disabilities applications are evaluated based on these project criteria:

- Availability of funds;
- Qualifications of applicant;
- Service area;
- Cost estimate and local match availability;
- Identified needs to be addressed by the Capital request;

- Provide detailed project description and community benefits;
- Existing Public Transit services provided in the service area are identified;
- If requesting a replacement vehicle, must identify the vehicle to be replaced (to include: age; mileage and condition);
- If requesting an expansion vehicle, must describe a need (to include: service to new area, additional days and hours and increased number of passengers) ;
- Current Vehicle Inventory Program;
- 3-5 year Program Plan;
- Provide documentation showing Public Participation;
- Participation in a locally derived Coordinated Human Services Transportation Plan; and
- Has submitted a TAM and Current Maintenance Plan for equipment and facilities.

The determination to fund a project for Mobility Management will be made by the Transit Grant Review Committee and approved by NDDOT Director based on these project criteria:

- Identify customer needs and gaps in service;
- Develop strategies to meet customer needs;
- Provide training to other staff and volunteers;
- Promote the use of innovative technologies (e.g. web based information, email alerts, etc.), services and other methods to improve customer service and coordination; and
- Develop customer information and trip planning systems.

SECTION 5311 APPLICATION

Section 5311 program provides capital, project administration and operating assistance to support public transportation in rural areas with a population less than 50,000.

Section 5311 Statewide Rural Public Transit applications are evaluated based on these project criteria:

- Availability of funds;
- Addresses public transportation service in the community or service area;
- Addresses service area expansion, fares increases, extended service hours;
- Identify services area needs and goals to meet those needs;
- Demonstrates that the applicant has participated in a public participation effort;
- Provides a balanced and feasible budget and include the availability and source of local match;
- Has met or exceeded compliance requirements in previous years;
- Has submitted a current Cost Allocation Plan if applicable;
- Has submitted a 3-5 year Program Plan;
- Has submitted a TAM Plan;
- The application describes community benefits resulting from the funding request; and
- The application indicates the prospective grantee is attempting to improve or

maintain program efficiency and effectiveness.

Distribution of Section 5311 funds shall be allocated on the following basis:

- Up to 10% of the total allocation may be used by the NDDOT Transit Section for program administration and technical assistance;
- Up to 10% of the funds may be retained for emergency purposes and contingencies;

The balance will be available to existing systems for operating, administration, and capital assistance purposes. The division of funds between operating, administration and capital purposes will be discretionary on a year-by-year basis. In general, emphasis will be given to operating assistance.

If necessary, preference in the allocation of funds shall be given to the transit provider that is best suited to serve areas which do not currently have access to public transportation, as well as to providers serving the needs of the general public, seniors and persons with disabilities. NDDOT historically does not allocate Section 5311 funding for construction, renovation or similar projects. It is the intent of NDDOT to fund operating, administration, Intercity, RTAP and capitalized maintenance in the 5311 program. It is the intent of NDDOT to fund vehicle, equipment and facility purchases with the 5339 and 5310 grants.

SECTION 5339 APPLICATION

Section 5339 (Bus & Bus Facilities Program) is a capital only program, and funds are limited to capital projects to replace, rehabilitate and purchase buses and bus related equipment, and to construct bus related facilities.

Section 5339 Bus & Bus Facilities Program applications are evaluated based on these project criteria:

- Availability of funds;
- Addresses public transportation service in the community or service area;
- Addresses service area expansion, fares increases, extended service hours;
- Identify services area needs and goals to meet those needs;
- Demonstrates that the applicant has participated in a public participation effort;
- Provides a balanced and feasible budget and includes the availability, and source of local match;
- If requesting a replacement vehicle, must identify the vehicle to be replaced (to include: age; mileage and condition);
- If requesting an expansion vehicle, must describe a need (to include: service to new area, additional days and hours and increased number of passengers) ;
- Has met or exceeded compliance requirements in previous years;
- Has submitted TAM and Maintenance Plans;
- Has submitted a 3-5 year Program Plan;
- The application describes community benefits resulting from the funding request; and
- The application indicates the prospective grantee is attempting to improve or maintain program efficiency and effectiveness.

Facility Projects - The NDDOT will approve projects to fund the construction of new or renovation/rehabilitation of a current facility to be used in providing public transportation services. The project must include an Equity Analysis and a completed Categorical Exclusion worksheet. NDDOT will require the hiring of an architect/engineering firm to design and manage the project. If hiring an architect/engineering firm, the process must follow the guidelines established in the NDDOT Consultant Administration Services Procedure (CAS) Manual (See Exhibit C) and ND Century Code Chapter 54-44.7.

These facilities must meet the appropriate accessibility requirements under ADA standards 49 CFR Part 37. In addition the NDDOT Transit Section will approve all procurement documents, project specifications, plans, State requirements, DBE Special Provisions, FTA clauses and documents included in the procurement. See Exhibit D FTA Categorical Exclusion worksheet and instructions.

PRIVATE SECTION PARTICIPATION

It is NDDOT's policy when a newly proposed transportation service (or substantially altered service) is planned for an area that is presently served by an operator, the private operator will be contacted and encouraged to participate in providing the new service under a service agreement with the sponsoring non-profit transit agency or the government agency in the county or area that is a current grant recipient.

In the event of two existing providers, one private for-profit and one nonprofit organization; the private for-profit operator will be encouraged to participate in providing the new transportation service. In all cases, reasonable efforts will be made to minimize the adverse effects that government subsidized transportation projects may have on private transit operations.

In keeping with FTA's continued emphasis on participation of private, for-profit transportation providers in the planning and delivery of federally funded transit services (privatization), the NDDOT encourages joint participation with transit services. Coordination and consolidation in the state is requested if new eligible providers/applicants request funds. Before new funds are approved, the new service must be administered through the existing funded subrecipient.

ANNUAL PROGRAM DEVELOPMENT AND PROJECT

APPROVAL PROCESS

The application submission and approval process for each of the grant programs results in approved subrecipient budgets and sub-grant agreements. This forms the basis for the program of projects.

An email announcing grant availability is sent to all current applicants as well as potential new applicants who have contacted NDDOT throughout the year. In addition, an advertisement is placed in the state's ten major newspapers disclosing the availability of funds.

Selected projects and corresponding award amounts are based on criteria for Section 5310, 5311 and 5339 applications. Once the awards are determined, the details of each award are included in a program of projects that is submitted to the FTA as part of the TrAMS application process.

Further, the program of projects for each program is incorporated into the State Transportation Improvement Program (STIP). Any projects and awards that may take place within boundaries of a Metropolitan Planning Organization (MPO) are incorporated into their respective Transportation Improvement Programs (TIPs). TIPs are further incorporated into the STIP by reference. A completed STIP is available on the NDDOT website.

The NDDOT annual grant cycle requires completed applications to be returned to the NDDOT Transit Section no later than May 1st. The application is used for requesting federal operating, capital and administration assistance funds.

The review committee reviews, recommends and/or rejects applications and submits to DOT Executive Management in the BlackCat System.

After Executive Management has approved the review committee recommendations, the annual, Program of Projects (POP) is completed. The POP includes: name of recipient, project description, total dollar amount of the project and the federal dollar share for both operating and capital assistance funds. The POP is then reviewed by the NDDOT transit staff. Upon agreement, the POP is uploaded into TrAMS and posted on the NDDOT Transit website.

ANNUAL STATEWIDE TRANSPORTATION IMPROVEMENT PROGRAM (STIP)

All subrecipients funded under the Sections 5310, 5311, 5339, and State Aid programs are included in the NDDOT's annual Statewide Transportation Improvement Program (STIP).

All subrecipients funded with the Sections 5307, 5310 and 5339 programs in the state's three urbanized areas are included in the local metropolitan area Transportation Improvement Program (TIP) and these also become a part of the STIP by reference.

Sections 5303 and 5304 planning projects under any funding program can be, but are not required to be, listed in the local TIPs or STIP.

Any increase in funding during the program year must be included in the STIP by revision or amendment. Amendments in MPO areas may also need a TIP amendment. Contact the local MPO for policies and procedures for amendment.

FUNDS TRANSFER

Although it is the intent that all funds remain in their original grants, NDDOT may transfer Section 5303, 5304, 5310, 5311 and FHWA flexible funds to other programs as specified in the respective FTA circulars of these programs. Notice of the transfers is forwarded to FTA.

MAINTENANCE

TRANSIT ASSET MAINTENANCE

Consistent with Federal requirements and NDDOT subrecipient's agreement, each subrecipient must maintain its vehicles, facilities, and other substantial assets purchased with federal or state funds at optimal operating levels.

Subrecipients are required to have a documented TAM plan along with preventative forms and checklists on file. Requirements in the plan include pre-trip inspections, lift inspections and preventive maintenance performed.

Subrecipients are required to adopt the State's TAM plan or operate under a TAM Plan approved by NDDOT. The NDDOT will provide a completed template for a TAM plan that subrecipients can modify as desired. Once adopted by their transit board, subrecipients are requested to submit the plans to NDDOT for approval.

Subrecipients must maintain all federally-funded property in good operating order and maintain ADA accessibility features. All maintenance performed on these assets must be documented in the TAM Maintenance Plan and must be available for inspection by NDDOT, FTA staff, or their representatives.

Each subrecipient is responsible for ensuring that each asset is maintained in accordance with vehicle manufacturers' standards and any neglect or misuse of equipment will be the responsibility of the local organization.

All property purchased with FTA funds shall have a written maintenance policy.

TAM Plans adopted by the agency need to be distributed to appropriate personnel. ADA features such as lifts, ramps and tie downs must be maintained as recommended by the manufacturer. Documentation of maintenance must be maintained for 3 years beyond vehicle disposition.

TAM Plans need to be reviewed and updated every 4 years and submitted to NDDOT for approval. Plans will also be reviewed during compliance reviews.

BUILDING MAINTENANCE REQUIREMENTS

All buildings constructed with FTA grant funding must have and adhere to a written maintenance program and TAM plan. The goals and objectives of a maintenance program are to ensure that the facility is well-maintained, reducing the need for repairs that would be unnecessary if best practices for ongoing care and preventive maintenance had been accomplished on schedule.

In addition to standard building features, particular care is to be taken to ensure that accessible features of the facility are maintained in good working order. For example, ramps must be cleared and de-iced during the winter, automatic doors must operate properly, handrails must be firmly affixed, etc.

In addition, facilities constructed, renovated or remodeled using Section 5339 or other federal grant funds are required to record and enforce warranty claims for all components and equipment that are covered. This may include, but is not limited to, siding, HVAC components, flooring, windows, countertops, plumbing fixtures, bus storage bay doors, etc.

All systems such as, but not limited to HVAC, roof, floor or plumbing shall be inspected according to manufacturer recommendations. ADA features must be maintained as recommended by the manufacturer. Building maintenance checklists should be posted in a conspicuous area of the building.

VEHICLE MAINTENANCE REQUIREMENTS

All vehicles purchased using federal grant funding must have written maintenance procedures and a TAM plan in place and these procedures must be followed. The purpose for this requirement is to ensure vehicles are in the best possible working order at all times and are safe for use in public transit service. Maintenance of ADA features must be included in the maintenance policy.

NDDOT recommends rural subrecipients adopt a policy of adhering to each individual vehicle's respective maintenance manual within a reasonable mileage number for the transit agency. For instance, if a transit agency finds their vehicle 50 miles from base at the recommended service interval, they may consider "within 150 miles of the vehicle's recommended service interval" to be a reasonable policy for ease of compliance. However, it cannot exceed a 10 percent variance from the manufacture's recommended service interval.

Capital items are funded to provide general public transportation service in a specific area. If a subrecipient becomes unable or unwilling to continue the service, any equipment with useful life reverts back to NDDOT.

Subrecipients are permitted to use vehicles for administrative purposes under the following guidelines:

- Federally funded vehicles may be used for occasional travel of administrative staff trips where mileage would normally have been paid for the use of a personal vehicle. Travel

to and from work is prohibited and/or weekend use for other than strictly business purposes is prohibited.

- Federally funded vehicles are not to be used by board members for their travel, unless they're on transit board business only.
- Use of all vehicles must be documented in a log that includes:
 - Name of the user;
 - Date;
 - Destination;
 - Initial odometer reading;
 - Ending odometer reading;
 - Trip purpose.

Federally and state funded vehicles for incidental use (meal delivery, etc.) must be documented and the wholly allocated costs associated with that incidental use must be recovered by the Section 5311 provider and cannot be charged as an operating assistance expense.

NDDOT maintains a vehicle and facility inventory which includes a detailed description of vehicle and facility information and history. The inventory is kept current through reports and periodic physical inspections.

The NDDOT tracks assets by agency and per the following data:

- Vehicle year and year vehicle was first put in use;
- VIN number;
- Miles;
- Condition;
- NDDOT as lien holder of vehicle;
- License plate and unit number;
- Make and model;
- Capacity;
- Purchase price;
- Type of vehicle;
- Program and grant number;
- If vehicle has a lift or ramp;
- Location and
- Length of vehicle

When other equipment is purchased locally, subrecipients are required to follow OMB and FTA grant requirements, FTA Master Agreement, FTA Circular 4220.1F and state law. Transit staff will review subrecipients' procurement policies before the purchase is made locally.

When a vehicle purchased with federal funds is sold or disposed of with a value of more than \$5,000, the federal share of that amount must be reinvested in that subrecipient’s transit program, or returned to NDDOT Transit or FTA for future use in the program.

USEFUL LIFE

The state and federal vested interest in capital assets purchased with government grant funds shall extend over the useful life of such property. However, regardless of useful life having been met, federal interest remains until the value of the vehicle or equipment falls below \$5,000. This useful life criterion is also used by the Department in determining eligibility of local subrecipients for replacement vehicle and equipment grants.

Duration of Useful Life:

North Dakota DOT Category	Approx. GVWR in lbs.	No. Seats	Approx. Length	Useful Life Minimum
A. Large, Heavy-Duty Transit Bus 	33,000 - 40,000	35-40+	35 ft. – 40 ft. or greater	12 years or 500,000 miles
B. Medium-Size, Heavy-Duty Transit Bus 	26,000 – 33,000	24-35	30 ft. - 35 ft.	10 years or 350,000 miles
C. Medium-Size Duty Chassis Cutaway 	10,000 – 26,000	16-30	25 ft. – 30 ft.	7 years or 200,000 miles
D. Medium-Size Light Duty Chassis Cutaway 	10,000 – 16,000	8-16	20 ft. – 25 ft.	5 years or 150,000 miles
E. 1. Small Cutaway E. 2. Modified Van	6,000 – 14,000	3-14	E 1 20-22 ft.	4 years or 100,000 miles

<p>E. 3. Modified Minivan</p> 			<p>E 2 < 20ft.</p> <p>E 3 < 20ft.</p>	
<p>E. 4. Vans</p>  <p>E. 5. Minivans</p>	<p>6,000 – 14,000</p>	<p>3-12</p>	<p><12</p>	<p>4 years or 100,000 miles</p>

Vehicles and equipment not covered by the above, the useful life will be established by the NDDOT Transit Section on a case-by-case basis at the time of purchase.

There is a special provision to allow for replacement of a bus or van before its useful life is spent, if it can be documented that the vehicle to be replaced is a lemon (i.e., has required extraordinary maintenance and repairs and has given service problems since being placed into service). In this case, the vehicle is to be traded-in for a replacement vehicle with the trade-in value deducted from the new bus grant.

USEFUL LIFE BENCHMARK

Subrecipients shall determine their capital assets Useful Life Benchmark (ULB), the expected lifecycle of the asset based on their acceptable period of use in services for a particular subrecipient’s operating environment. ULB takes into account a subrecipient’s unique operating environment (geography, service frequency, passenger loads, etc.).

This is different from “useful life” for FTA grant programs.

Useful Life Benchmark for Transit Vehicles					NDDOT	FTA
Category	Length	Seats	FTA Useful Life		Useful Life Benchmark	Useful Life Benchmark
			Years	Miles	Years	Years
Heavy Duty Large Bus	35 to 40+ ft	27 to 40+	12	500,000	14	14
Heavy-Duty Small Bus	30 - 35 ft	24 to 35	10	350,000	12	14
Medium-Sized Cutaway	25 - 30 ft	16 to 30	7	200,000	10	10
Light-Duty Mid-Sized Cutaway	20 to 25 ft	8 to 16	5	150,000	8	10
Light-Duty Small Cutaway	16 to 22 ft	3 to 14	4	100,000	7	10
Modified Van	20 to 22 ft	3 to 14	4	100,000	6	8
Minivan		3 to 12	4	100,000	6	8
Automobile		3 to 7	4	100,000	6	8

Useful Life Benchmark for Transit Facilities

Category	Usage	Useful Life Benchmark (Years)
Bus Garage	Bus Storage, Wash	40
Garage Operations Facility	Storage, Wash, Dispatch, Training, Light Maintenance	40
Garage Operations Admin Facility	Admin Offices, Storage, Wash, Dispatch, Training, Maintenance	40
Shelters	Seating	20

PERFORMANCE MEASURES AND TARGETS

Subrecipients will report performance measures by asset category; vehicles by age, equipment by age, and facilities by condition. NDDOT will annually report to FTA, via NTD, the subrecipient’s percent of capital assets that have met or exceeded the subrecipient’s established ULB.

NDDOT’s TAM target states that no more than 10% of rolling stock exceeds the ULB, no more than 10% of equipment exceeds ULB, and no facilities are rated under 3.0 on the conditions assessment scale 1-5.

DISPOSITION AND TRANSFER OF EQUIPMENT

VEHICLE TITLE AND DISPOSAL

The Department reserves the right to protect the state and federal interest in the vehicle for the duration of the vehicle’s useful life. If a vehicle or related transit asset has met useful life and FTA interest is less than \$5,000, the subrecipient may request that the lien be released on the asset. As long as the subrecipient continues to use the vehicle or asset and is requesting reimbursement for

operating and maintenance, liability insurance and other coverage as required by state law must still be maintained and NDDOT will continue to inspect the asset.

Subrecipients are required to submit a Release of Continuing Control form requesting disposal of the vehicle(s) or equipment they wish to dispose through the BlackCat System. NDDOT transit staff will review the request and approve if it has met useful life and the asset value does not exceed FTA interest of \$5,000. See Exhibit E Release of Continuing Control Form

A subrecipient may dispose of a vehicle at the end of its useful life in either of three ways:

- A vehicle may be sold to a third party through a variety of approved processes, including advertised sealed bids, auto auction or the average of two competent appraisals;
- A vehicle may be sold by the subrecipient to itself. In this case the implicit price to be paid by the subrecipient will be the average wholesale value of the vehicles as specified in the most recent National Automobile Dealers Association (NADA) Official Used Car Guide or The Bus Blue Book – Used Bus Values Guide. If a subrecipient sells a vehicle to itself for use in another program (i.e. Meal Program), the subrecipient must pay 80% of the NADA wholesale value to NDDOT within 10 working days. When the disposition of the funded vehicle results in a gross sales proceeds exceeding \$5,000, the federal interest must be returned to NDDOT then FTA; and
- Relocation (transfer of vehicle) - the preferred option is the used vehicle or equipment be relocated to another similar, eligible organization for a maximum charge of 20 percent of the current market value. The 20 percent proceeds can be retained by the donor provider as a partial return on its initial 20 percent grant match. The new subrecipient organization shall pay the 20 percent and use the relocated vehicle or equipment for the same purpose as specified in the original grant program. The NDDOT will assist in finding subrecipient organizations for relocating used vehicles and equipment, as appropriate.

If a vehicle, having useful life, is sold to a third party, the subrecipient may retain the local share percentage contained in the agreement.

Subrecipients will be required to dispose of all FTA funded items under the conditions of the FTA grant contracts (49 CFR 18.32). NDDOT will permit the transfer of used FTA and State Aid funded vehicles from one subrecipient to another. Transfer of vehicles will be in accordance with FTA and State policy on transferring capital equipment.

SATISFACTORY CONTINUING CONTROL

Federal interest in real property exists until the property has less than \$5,000 value and is disposed of as stated in FTA C 5010.1E. The proceeds of real property received from disposal of property must be used to reduce the gross project cost of other future FTA eligible capital transit awards. These

proceeds cannot retroactively be applied to an existing award or project unless the award is still open. The NDDOT ensures effective inventory controls through the establishment of vehicle useful life standards, vehicle and facility inspections and the TAM asset inventory.

NDDOT will hold the title for all vehicles until federal interest in the vehicle has been exhausted, useful life of the vehicle has been met, and the asset value of the vehicle maintains a unit value under \$5,000.

NDDOT must be notified immediately of any vehicle, equipment or property whose purpose has changed from its original intended purpose. Insurance proceeds collected from vehicle damage will reduce the reimbursement allowable for repairs or a new vehicle. If insurance proceeds were collected and the repairs or replacement were not made, the amount must be subtracted (similar to fares) on the next request for operating reimbursement. Contact with NDDOT and FTA staff is required for disposal of real property.

INSURANCE

The Transit Section requires each subrecipient to have sufficient property damage and liability insurance to cover vehicles, drivers, premises, equipment and passengers at the time agency takes possession of vehicles and thereafter until vehicles are disposed.

The Transit Section requires verification of insurance certificates for the issuance of all federal and state contracts. Verification of insurance is also reviewed during on-site compliance reviews and vehicle inspections.

FINANCIAL MANAGEMENT

STATE PROGRAM MANAGEMENT

The NDDOT Transit Section is responsible for managing grants, contracts and interagency agreements to ensure that expenditures comply with federal rules and regulations for all FTA grant programs.

Financial Management Division responsibilities include:

- Investigating and resolving accounting problems to ensure compliance with state and federal rules;
- Managing the documentation entered into NDDOT's transit database relative to individual grants, contracts and interagency agreements; and
- Rectifying and closing out FTA grants when projects are complete.

The NDDOT Financial Management Division is responsible for submitting federal financial reports in TrAMS and manages the ECHO process between FTA and NDDOT. This is done so that transactions are processed in a timely manner and the accounts are balanced and well documented. The Financial Management Division is also responsible for receipt of FTA funds, processing claims for payment (to reimburse subrecipients for expenses), initiating grant draw downs and disbursing funds to subrecipients.

The NDDOT Audit Division may conduct and perform audits on any State Aid, and Sections 5310, 5311 and 5339 subrecipients.

The NDDOT provides technical assistance to its subrecipients on an as, “needed basis” to ensure that they comply with federal and state financial management requirements.

Subrecipients are required to submit quarterly requests for reimbursement through the BlackCat System. To ensure accuracy of the requests, NDDOT does a random pull of subrecipients using an online generator to pick the appropriate number of subrecipients to provide receipts for one quarter’s claim for payment. This random generator will pull each subrecipient to provide receipts once in a fiscal year. If a subrecipient is not drawn for providing receipts in the quarter transit staff is scheduled for a compliance review, the transit staff will review two+/- various line item requests from a past quarterly reimbursement. Receipts must match what the subrecipients requested on that reimbursement. When an error is detected by the transit staff, a full quarterly review of receipts may be conducted. If major errors are detected, NDDOT reserves the right to require receipt documentation for additional quarters. Billing adjustments may occur.

COST ALLOCATION PLANS (CAP)

Each transit provider that is a multi-service provider will be required to have a CAP that meets the guidelines of 2 CFR Part 200.27. It must be approved by their cognizant agency. The CAP provides the process by which central service costs can be identified and assigned to benefited activities on a reasonable and consistent basis. All costs and other data used to distribute the costs included in the plan should be supported by formal accounting and other records that will support propriety of the costs assigned to federal award.

If the transit agency charges indirect costs to grants, they must include proof of approval letter from their cognizant Federal agency of the indirect cost rate during the application process. Agencies must meet the guidelines provided in FTA Circular 5010.1E – VI-9 for indirect costs.

The CAP must be submitted to NDDOT- Transit Section for review. When the plan is received by the Transit Section it will be reviewed by staff and forwarded to NDDOT Audit Division for review. The transit provider will receive a formal letter from the Transit Section approving or rejecting the CAP and may include recommendations that would strengthen the transit provider plan.

ACCOUNTING SYSTEMS, AUDIT AND CLOSEOUT

The Transit fiscal plans are based on Accrual Basis of Accounting, the accounting method where income is recognized when earned instead of when received and expenses are recognized when incurred instead of when paid.

All recipients shall comply with 2 CFR 200, Subpart F: Audit Requirements. Subrecipients expending more than \$750,000 in a fiscal year from ALL federal sources must file a single audit. Audits must be submitted to NDDOT 30 days after the audit is performed and completed no later than 9 months after the close of their fiscal year.

All subrecipients receiving Federal funds will be required to complete SFN 60639 Single Audit Certification form after completion of audit or close of their fiscal year and return it to NDDOT. They may be asked to provide a financial statement audit or a financial report, i.e. such as submitted to their governing board or internal auditor to verify information provided on the form is correct.

Grant projects are closed at the end of the contract period. NDDOT staff will determine at what point a project is ready to close. When a capital project has reached the end of the contract period and there is a balance of funds, those funds will be forfeited unless an extension has been granted. In some instances capital contracts may be extended. If a capital project is not expected to be complete when the contract period ends, the subrecipient may request an extension in writing prior to the termination of the contract period. At that time an amendment to the contract will be processed.

PROCUREMENT

All subrecipients of state and federal funding must comply with applicable State law and Federal requirements contained in FTA Procurement Circular 4220.1F. This circular applies to all subrecipients that are non-profit agencies and that contract with outside sources under FTA assistance programs.

The NDDOT provides technical assistance, reviews and approves the final bid specifications on all purchases over \$2,500. The NDDOT also oversees the procurement process in order to ensure compliance with state and federal procurement regulations. The NDDOT provides specifications for the subrecipient to use in purchasing vehicles and equipment funded with FTA or State Aid grant funds. NDDOT has incorporated an instruction sheet along with a checklist that has the required documentation. Contact the NDDOT for language and clauses that apply to your agency's procurement.

The NDDOT, as needed, will procure vehicles on a State Bid Contract complying with all the applicable requirements. The subrecipient must submit a written request to the Transit Section requesting

approval to contact a vendor and order a vehicle. The State Bid Contracts are all listed on NDDOT Transit website at: <https://www.dot.nd.gov/divisions/localgov/transit-operator-portal.htm>

Subrecipients that are public entities will follow the requirements that apply to states, called the Common Rule (49 CFR Part 18), plus will comply with the following requirements:

- Follow the appropriate procurement requirements: For public agencies, comply with the Common Rule (49 CFR Part 18), plus five basic federal requirements for procurements defined by FTA C 4220.1F 3. For private non-profits, comply with the provisions of FTA C 4220.1F and 49 CFR Part 19;
- Provide for full and open competition;
- Exclude the use of in-state or local geographic preference;
- Do not enter into any contract for rolling stock with a period of performance exceeding five years, exclusive of options without FTA approval;
- Contracts executed using federal funds include all clauses required by statutes, executive orders and implementing regulations;
- Use competitive procurement procedures based on the Brooks Act when contracting for architectural and engineering services if the state has not adopted a statute governing procurement of such services;
- Compliance with USDOT FTA Master Agreement: <https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/funding/procurement/8286/fta-best-practices-procurement-and-lessons-learned-manual-2016.pdf> ; and
- Compliance with Best Practices Procurement Manual: <https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/funding/procurement/8286/fta-best-practices-procurement-and-lessons-learned-manual-2016.pdf>

Additional requirements for the state and all subrecipients include but are not limited to the following:

- Have a Cost Analysis;
- Have written selection procedures;
- Use the appropriate method of procurement;
- Conduct and document an Independent Cost Estimate for each procurement;
- Maintain a complete record of procurement history;
- Make awards only to responsible contractors who will perform the project under the defined terms and conditions;
- System for Award Management (SAM) - Prior to award of any contract \$25,000 and over, the subrecipient must identify if the contractor/vendor is debarred or suspended from participation in federally assisted transactions or procurements. A screen print with the results of the search MUST be included in the procurement file kept in the subrecipient's office and a copy MUST be submitted to the Transit Section for approval prior to award of contract. To begin the search visit www.sam.gov ; NOTE – this is also required on all contract extensions;

- Use competitive selection processes;
- Develop written procurement policies and procedures, including a process for handling protests regarding procurements;
- Include all federally-required certifications, assurances and clauses for procurements as appropriate to the type of purchase and price;
- All subrecipients must follow State of North Dakota laws, regulations and procedures regarding procurements thresholds (dollar amounts) unless federal requirements are more restrictive when federal requirements would apply
 - Up to \$2,500 – use adequate procedures to ensure the price is fair and reasonable (1 quote)
 - \$2,501 - \$25,000 – obtain a minimum of 3 informal bids or proposals
 - \$25,001 and over – you must solicit formal sealed bids or proposals
- Subrecipients MUST contact the NDDOT for technical assistance, including review of RFP's prior to advertising;
- Approval for all Sole Source purchases over \$2,500 for purchases with state and federal funding; and
- Request NDDOT approval on all purchases over \$2,500 to be sure that the correct procurement process has been followed. If the correct procurement process has not been followed the NDDOT will not reimburse the purchase with federal or state funds.

NDDOT encourages all subrecipients to develop a Procurement Procedures Manual for all purchases that involves a step by step process for all levels of funding purchases. See Exhibit F Procurement Manual Template

FACILITY PROJECTS

All facilities that are purchased or constructed with federal assistance must follow the federal guidelines for procurement in FTA Circular 4220.1F.

Projects will be evaluated for cost effectiveness and effect on the environment, including noise, water quality, impacts on wetlands, flooding, navigable waters, endangered species and ecologically sensitive areas. Prior to requesting 5339 funding for a facility project, there is an environmental process including a feasibility study that needs to be completed. The subrecipient must complete that process and receive an environmental clearance (Categorical Exclusion, or CE) from FTA. Typically during this process, FTA makes a visit to the proposed facility location;

All new construction or rehabilitation of an existing structure must meet requirements for local land use planning and zoning, relocation, traffic and parking, energy conservation, consideration of historic properties, and will place an emphasis on safety and security.

All facilities must be constructed to meet current ADA accessibility requirements.

CIVIL RIGHTS REQUIREMENTS

PERSON WITH DISABILITY INPUT (SECTION 504/ADA)

Sections 5310, 5311, and 5339 must comply with all aspects of ADA requirements. The Transit Section ensures that subrecipients comply with ADA-required service provisions by discussing these issues during compliance reviews.

Subrecipients are required to have procedures in place to ensure prompt and equitable resolution of complaints alleging any actions prohibited by 49 CFR Parts 27, 28, and 39. The procedures shall meet the following requirements:

- Process for filing a complaint, including the name address, telephone number, and email of the employee designated. The process must be sufficiently advertised to the public;
- Procedures must be accessible to and usable by individuals with disabilities; and
- Entity must promptly communicate its response to the complaint allegations, including its reasons for the response, to the complainant and must ensure that it has documented its response.

In addition, subrecipients who receive 5310, 5311, and 5339 funds are required to respond to requests for reasonable modification of policies and practices and requires agencies to make information about the process for requesting reasonable modifications readily available to the public. The subrecipient must use the same means it uses to inform the general public about its policies and procedures to inform the public of their right to request a reasonable modification.

Subrecipients may use the same process for accepting and investigating ADA and Title VI complaints, however, the complaint form must clearly distinguish between the two statutes by identifying which forms of discrimination fall under Title VI and which fall under other forms of discrimination.

The annual Federal Certification and Assurances for FTA Assistance, which is signed by all subrecipients, contains the ADA certification. Any Section 5311 subrecipients operating fixed route and contracting for complementary paratransit service will have their respective paratransit plans reviewed by NDDOT transit staff to ensure they conform to 49 CFR Part 37 Subpart F.

TITLE VI

NDDOT annually signs the FTA Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements and is submitted in TRAMs, which binds NDDOT to all civil rights requirements.

NDDOT prepares a Transit Title VI Plan for submission to Federal Highway Administration (FHWA) every year and to FTA every three years per agency requirements. This report is approved by the NDDOT Director.

The elements of the plan are determined by FTA Circular 4702.1B and include, but are not limited to:

- A copy of NDDOT Title VI notice to the public that NDDOT complies with Title VI and informs members of the public of the protections against discrimination afforded to them by Title VI and a list of the locations where the notice is posted;
- A copy of NDDOT instructions for the public on how to file a Title VI discrimination complaint, including a copy of the complaint form;
- A list of any public transportation-related Title VI investigations, complaints, or lawsuits filed with the NDDOT since the last Title VI plan submission;
- A public participation plan that includes an outreach plan to engage minority and limited English proficient populations, as well as a summary of outreach efforts made since the last Title VI plan submission;
- A copy of the NDDOT's plan for providing language assistance to persons with limited English proficiency (LEP), based on the U.S. Department of Transportation's LEP guidance;
- A narrative or description of efforts that NDDOT, as the primary recipient, used to ensure subrecipients are complying with Title VI, as well as a list of subrecipient Title VI plan submissions.

NDDOT maintains the following:

- A record of funding requests received from private non-profit organizations, state or local governmental authorities and Native American tribes. The record shall identify those applicants that would use grant program funds to provide assistance to predominantly minority populations. The record shall also indicate which applications were rejected and accepted for funding;
- Description of NDDOT's criteria for selecting entities to participate in an FTA grant program, which are found in current grant applications. This description shall emphasize the method used to ensure the equitable distribution of funds to subrecipients that serve predominantly minority populations, where present.

Provides current and potential subrecipients assistance with the grant application process through the NDDOT Transit Grant Application Guidelines, available on the Transit website. The guidance describes the funding opportunities and requirements to submit an application for available funds.

Through annual grant agreements, subrecipients agree to comply with all applicable civil rights statutes and regulations. These include Title VI of the Civil Rights Act, Equal Employment Opportunity and Americans with Disabilities Act. Section 5310, 5311 and 5339 subrecipients annually certify FTA's Certifications and Assurances with the State as part of the grant application process submitted

through the BlackCat System. Applications will not be accepted without this certification. Section 5310, 5311 and 5339 subrecipients must submit their Title VI Plan to NDDOT every three years, prior to NDDOT's submission of their Title VI plan to FTA. A subrecipient's Title VI plan must be approved by the subrecipient's appropriate governing entity or official (e.g., board of directors, mayor, tribal executive, city administrator, etc.) responsible for policy decisions prior to submission to NDDOT. Subrecipients must also submit a copy of the board resolution, meeting minutes or similar documentation as evidence of approval.

The contents of the subrecipients' Title VI program are determined by FTA Circular 4702.1B. The plan must include all of the following elements:

- A copy of the Title VI notice to the public that the subrecipient complies with Title VI and informs members of the public of the protections against discrimination afforded to them by Title VI and a list of the locations where the notice is posted;
- A copy of instructions for the public on how to file a Title VI discrimination complaint, including a copy of the complaint form;
- A list of any public transportation-related Title VI investigations, complaints, or lawsuits filed since the time of the last Title VI plan submission;
- A public participation plan that includes an outreach plan to engage minority and limited English proficient populations, as well as a summary of outreach efforts made since the last Title VI plan submission;
- A Limited English Proficiency (LEP) plan for providing language assistance to persons with limited English proficiency (LEP), based on the U.S. Department of Transportation's LEP guidance;
- Subrecipients that have transit-related, non-elected planning boards, advisory councils or committees, or similar bodies, must provide the racial breakdown of the membership of those committees in the BlackCat System and provide a description of efforts made to encourage the participation of minorities on such committees or councils;
- Subrecipients must complete a Title VI equity analysis during the planning stages of a facility with regard to where a project is located or sited to ensure the location is selected without regard to race, color, or national origin; and
- Additional information is required depending on whether or not the subrecipient is a fixed route transit provider or has received funding to construct a facility.

NDDOT OVERSIGHT

NDDOT Transit Section oversees subrecipient compliance with Title VI as follows:

- Grant Agreements – Through annual grant agreements, the subrecipient agrees to comply with applicable civil rights statutes and regulations, including Title VI of the Civil Rights Act, Equal Employment Opportunity (EEO) and Disadvantaged Business Enterprise (DBE). The annual Federal Certifications and Assurances for Federal Transit

Administration Assistance certified by all subrecipients contain the Title VI, EEO and DBE certification;

- Review of Subrecipients Title VI Plan – NDDOT reviews the contents of Title VI plan as submitted by subrecipients, including public notification language, LEP, complaint procedures and complaint forms and public participation and outreach. NDDOT provides templates on the Transit website and technical assistance to subrecipients in developing a compliant Title VI plan;
- Investigation/Monitoring of Title VI Complaints (or potential complaints and/or lawsuits) – As part of their annual applications, NDDOT requires subrecipients to report and upload in BlackCat System any Title VI investigations, complaints or lawsuits. Subrecipients may contact NDDOT at any time during the year to report Title VI complaints, potential complaints and/or lawsuits. NDDOT may also receive complaints regarding subrecipients or their contractors directly from the public. When a complaint is deemed a civil rights issue, NDDOT transit staff will consult with the NDDOT Title VI Coordinator as appropriate;
- Review of Service Standards for Fixed Route Systems and Equity Analysis – NDDOT reviews the service standards for fixed route systems. In addition, in the case of the construction of a transit facility, NDDOT will review the equity analysis;
- Annual Grant Application/On-Site Compliance Visit – During the compliance review or the grant application review, NDDOT staff will verify the physical location of the public notification language (and/or web site, promotional materials, etc.) as stated in the subrecipients Title VI Plan. During this time, NDDOT also discusses with the subrecipient any new or potential opportunities for public participation and public outreach that may present themselves since the previous submission of the subrecipient’s Title VI plan. Many transit systems have transportation advisory committees consisting of seniors, persons with disability, general users and organizations that work with people who are transit dependent.
- NDDOT performs On-Site Title VI Compliance reviews of subrecipients. NDDOT selects 10 percent of the subrecipients for a Title VI review using a random generator. Selected subrecipients are required to complete the review package and submit the responses through the BlackCat System. An on-site review will be conducted by transit staff. Subrecipient will be notified if they are found Compliant, Modifications Needed, or Non-Compliant through the BlackCat System. Transit staff will assist subrecipients to correct any issues to bring them back into compliance. If the transit staff find re-occurring compliance issues, the agency maybe subject to additional on-site reviews. See Exhibit G.

NDDOT assists subrecipients with compliance as follows:

- NDDOT provides all the necessary templates and information on the Transit Operator Portal website to assist subrecipients with development and ongoing compliance of their Title VI plan; and

- NDDOT provides demographic data in the BlackCat System under Resources to assist subrecipients in conducting their four-factor analysis and subsequently developing their LEP plan.

Contractors and subcontractors are not required to submit a Title VI plan. However, they are responsible for complying with the Title VI program of the recipient with whom they are contracting. Recipients and subrecipients are responsible for ensuring that their contractors are complying with their Title VI program and Title VI regulations.

PUBLIC PARTICIPATION

NDDOT requires public involvement in conformance with federal regulations. Long-range and statewide planning associated with the development of the STIP is managed by the Programming Division. The Transit Section submits program and funding information to the Programming Division for inclusion in the STIP.

NDDOT Transit Section will hold a minimum of three regional meetings during the 3-year Title VI Plan cycle based on need and available funding. Subrecipients who serve those areas will be required to attend to answer any questions the public may have. Emphasis will be placed on notifying limited English speaking, minority, and low income populations by Solicitation of Views (SOV) letters targeting advocacy groups that serve these populations.

Public involvement will be proactive and provide complete information, timely public notice, full public access to key decisions and opportunities for early and continuing involvement.

DISADVANTAGED BUSINESS ENTERPRISE (DBE)

The objective of the US Department of Transportation's (USDOT) DBE regulations, as specified in 49 CFR Part 26, are to:

- Ensure nondiscrimination in the award and the administration of DOT-assisted contracts in the NDDOT's transit financial assistance program;
- Create a level playing field on which DBEs can compete fairly for FTA assisted contracts;
- Ensure that the NDDOT's DBE program is narrowly tailored in accordance with applicable law;
- Ensure that only firms that fully meet this part's eligibility standards are permitted to participate as DBEs;
- Help remove barriers to the participation of DBEs in FTA assisted contracts;
- Assist the development of firms that can compete successfully in the marketplace outside the DBE program; and
- Provide appropriate flexibility to recipients of federal financial assistance in establishing and providing opportunities for DBEs.

A DBE is defined by 49 CFR Part 26 as a for-profit business that is at least 51 percent owned by one or more individuals who are in a group that is considered to be socially and economically disadvantaged and whose management and daily operations are controlled by one or more of the socially and economically disadvantaged individuals who own it.

The NDDOT Civil Rights Division (CRD) has the primary responsibility to administer the DBE program for NDDOT. This includes the development of the department-wide DBE Program Plan and formulation and distribution of the DBE Policy. In addition, the CRD works with the Transit Section to develop the FTA tri-annual goal.

NDDOT Transit Section regularly receives FTA funds which generate in excess of \$250,000 in contracting opportunities in a federal fiscal year. This obligates NDDOT Transit Section to develop and submit transit-specific overall three-year agency goals to FTA. NDDOT Transit Section assists NDDOT CRD in the administration of the program of FTA funded projects. The primary activities conducted by NDDOT transit staff include assistance with transit goal setting and contract monitoring and reporting.

NDDOT transit staff work closely with subrecipients in addressing DBE requirements. In goal setting, three-year goals are established based on anticipated FTA contracting opportunities by both subrecipients and NDDOT Transit Section. Contract-specific goals may also be established and require a greater amount of subrecipient technical assistance from NDDOT Transit Section. Work with subrecipients also includes the ongoing collection of data for contract monitoring and reporting on FTA funded contracts.

NDDOT Transit Section completes a non-discrimination assurance for DBE with each FTA grant application. As with other civil rights areas, subrecipients agree to comply with all applicable civil rights statutes and regulations in annual grant agreements. Section 5310, 5311 and 5339 subrecipients annually sign FTA's Certifications and Assurances in their grant agreements with the state. Subrecipients who enter into agreements with contractors must require the contractors to sign the required FTA Certifications and Assurances also. This includes all prime contractors and subcontractors. In addition, each contract signed with a contractor (and each subcontract the prime contractor signs with a subcontractor) includes a similar assurance of non-discrimination.

During compliance reviews, subrecipients are asked to identify potential DBE contracting opportunities. NDDOT transit staff work with subrecipients to identify potential DBE participation for those contracting opportunities. NDDOT transit staff also ensures that subrecipients use appropriate DBE contract language in their solicitations. NDDOT's Civil Rights Division provides assistance to potential DBEs to become certified and maintains the Unified Certification Program Directory.

UNIFORM REPORT OF DBE COMMITMENTS

The Uniform Report of DBE Commitments/Awards and Payments report must be submitted by transit staff in the TRAMS DBE Reporting Module by December 1 and June 30 of every year.

Subrecipients of FTA funds are required to submit all contract commitments/awards, payments and DBE participation made by their agency semi-annually in the BlackCat System. Subrecipient reporting will be due by October 10 and April 10 of every year. See Exhibit H. Subrecipient information collected by the NDDOT is included in the report submitted to FTA through TRAMS and is used in the annual DBE goal setting process.

EQUAL EMPLOYMENT OPPORTUNITY

The state must ensure that no person in the United States shall on the grounds of race, color, religion, national origin, sex, age, or disability be excluded from participating in, or denied the benefits, or be subject to discrimination in employment under any project, program, or activity receiving Federal financial assistance under the Federal transit law. The NDDOT EEO program is administered by the NDDOT CRD who also maintains the EEO program plan.

Any FTA applicant, recipient, subrecipient, and contractor who meet both of the following threshold requirements must implement all of the EEO Program elements:

- Employs 100 or more transit-related employees; and
- Requests or receives capital or operating assistance in excess of \$1 million in the previous Federal fiscal year, or requests or receives planning assistance in excess of \$250,000 in the previous Federal fiscal year.

Any FTA applicant, recipient, subrecipient, and contractor that meets both the following threshold requirements must prepare and maintain an abbreviated EEO Program:

- Employs between 50-99 transit-related employees; and
- Requests or receives capital or operating assistance in excess of \$1 million in the previous Federal fiscal year, or requests or receives planning assistance in excess of \$250,000 in the previous Federal fiscal year.

Currently, none of NDDOT's 5310, 5311 and 5339 subrecipients meet the thresholds listed. Should a subrecipient meet the threshold, they would be required to have an abbreviated EEO Program which includes the Statement of Policy, dissemination plan, and designation of personnel, assessment of employment practices, and a monitoring and reporting system. The program would not need to be submitted to FTA, but would be required to be provided upon request.

Section 5307 NDDOT subrecipients who are also direct recipients of FTA funding (i.e., urban bus systems) that receive capital or operating assistance in excess of \$1 million or planning assistance greater than \$250,000 and also employ 50 or more transit-related employees submit their EEO plans directly to FTA for review and approval.

NDDOT annually signs the FTA List of Certifications and Assurances for FTA grants and cooperative agreements, which binds NDDOT to EEO regulations.

TECHNICAL CAPACITY

ON-SITE REVIEWS AND COMPLIANCE REVIEWS

NDDOT Transit Section conducts compliance and on-site reviews of Section 5307, 5310, 5311, 5339 and State Aid subrecipients. Capital assets purchased with FTA funds (primarily vehicles and facilities) are inspected by the NDDOT at least once every two years. This continues over the useful life of land, vehicles, facilities, and equipment to ensure it is well-maintained, continues to be utilized for the purpose intended, and is in a condition to enable operating at a full level of performance. In addition to the compliance reviews, the NDDOT inspector will conduct on-site inspections of all FTA funded vehicles, equipment, and facilities and their preventive maintenance activities performed. A copy of the vehicle and facility inspection forms are included as Exhibits I and J.

In addition to the property and equipment inspections, the NDDOT Transit Section will conduct compliance reviews of each 5311, 5310, 5339 and State Aid subrecipients in order to ensure the subrecipient is following FTA and State mandates. Subrecipient compliance reviews are performed every three years. Transit staff may visit, or request and review records and documentation for desk reviews more often if the initial review uncovers any concerns or unresolved questions.

Subrecipients are sent compliance reviews forms six weeks prior to scheduled reviews through the BlackCat System. See Exhibit K and L. Subrecipients have 30 days to complete the form and return it to NDDOT for a 2 week desk review prior to the on-site visit. Following the on-site visit and inspection, any deficiencies or areas of concern are assigned a timeline for improvement and returned to the subrecipient again through the BlackCat System. All communication regarding the review and inspection including NDDOT and subrecipient's responses are received and commented upon through the BlackCat System.

If subrecipients are determined to be noncompliant, a letter of noncompliance is sent.

Noncompliance may result in eliminated or diminished funds. In addition, noncompliance or noted areas of concern could result in more frequent on-site visits or desk reviews depending upon the circumstances. Once all deficiencies have been corrected, a letter of compliance is sent.

The compliance review consists of monitoring the subrecipient's Drug & Alcohol policy, TAM Plan, Vehicle and Facilities maintenance plans, Title VI and LEP plans, fiscal management procedures, and general operation procedures for their transit program. Inspection of passenger vehicle logs are part of NDDOT on-site compliance reviews as well.

NDDOT ensures that all transit capital assets with a unit value exceeding \$5,000 acquired by subrecipients with federal and state funds are monitored as follows:

- NDDOT transit staff biannually inspects facilities and vehicles to confirm usage, condition, and ensure safety measures are in place during on-site visits and compliance reviews;

- NDDOT transit staff biannually reviews asset maintenance records to ensure vehicle preventive maintenance is completed on-time at least 80 percent of the time.
- If determined that an agency is not meeting the preventive maintenance on-time standard of at least 80 percent of its scheduled preventive maintenance, the agency must provide a report describing the vehicle, copy of the work order or receipt of work performed, print out of their maintenance plan, and document the dates and mileage between maintenance for three months. If a repeat deficiency occurs, the agency must submit the above information for 12 months to demonstrate they have conducted at least 80 percent of its preventive maintenance on-time for 12 consecutive months.
- NDDOT transit staff reviews data inputted in the asset management system to monitor that preventive maintenance is being performed regularly as stated in the TAM Plan;
- NDDOT transit staff review operations and ridership reports to look for changing patterns.

MAINTENANCE AND INSPECTION

Inspections on buildings and vehicles will be conducted every other year to assure that the vehicles and buildings are being used for their intended use. The inspection will include reviewing maintenance records of vehicles and buildings to ensure that they are being maintained according to their TAM and maintenance plans as well as in accordance with manufacturer's recommendations. NDDOT maintains records in the TAM database for vehicles, facilities and equipment purchased with FTA funds exceeding \$5,000. The database is monitored through the following:

- Self-certification – using forms provided by NDDOT;
- Data entry of assets in the Black Cat System, the subrecipient verifies the presence and status of vehicles, facilities and other substantial assets;
- Desk reviews of maintenance performed and its time-lines in the asset management system; and
- On-site reviews and inspections during compliance reviews.

SUBRECIPIENT REPORTING REQUIREMENTS

Subrecipient monitoring is an ongoing process undertaken by NDDOT transit staff. Subrecipients are required to report expenses, revenues and sources of local match via quarterly budget reports.

Along with the requested budget data, NDDOT requires quarterly reporting on:

- Total days and number of hours of operation, Trips provided by County, Number of passenger trips;
- Number of miles;
- Number of hours;

The transit staff uses the information contained in the quarterly reports to monitor subrecipients' fiscal and operational activities. Requests for reimbursement are approved by the NDDOT transit

staff before payment can be processed. Through a random generated system, subrecipients are required to submit documentation to verify claimed expenses at a minimum of one quarter annually. If discrepancies are found, subrecipients can be required to submit receipt documentation more often than the quarterly minimum.

DRUG AND ALCOHOL PROGRAM COMPLIANCE

FTA requires the testing of employees performing safety-sensitive functions as defined in 49 CFR 655. The following six types of testing are required: pre-employment, random, post-accident, return to duty, reasonable suspicion testing and follow-up. All subrecipients test for marijuana, cocaine, opiates, phencyclidine, amphetamines and alcohol. Currently, testing is required at a minimum rate of 25 percent for drugs and a rate of 10 percent for alcohol of the safety-sensitive pool.

Subrecipients that receive Section 5311 funds are required to have a drug and alcohol testing program for safety-sensitive employees.

NDDOT annually signs FTA Annual List of Certifications and Assurances for FTA grants and cooperative agreements which binds NDDOT to all drug and alcohol regulations per 49 CFR Part 655. This certification is uploaded in the BlackCat System.

NDDOT contracts with a drug and alcohol consultant, who assists with drug and alcohol oversight by conducting on-site mock audits of collection sites, audits of consortiums and third party administrators, reviewing subrecipient's drug and alcohol policies and practices, and provide drug and alcohol training and technical assistance. The drug and alcohol reviews are conducted every three years unless findings dictate a need to review subrecipients more often.

Each contract between NDDOT and the subrecipient shall contain language that requires the subrecipient to comply with FTA regulations related to drug and alcohol testing. In addition, private providers under contract with subrecipients are required to comply with these regulations.

NDDOT requires that all subrecipients must formally adopt a substance abuse policy. An approved, signed and dated copy of the adoption must be a part of the transit system's file and uploaded to the BlackCat System. Each policy details the procedures and provisions of a drug and alcohol testing program. At a minimum, all policies will include the policy content requirements of 49 CFR Part 655 Subpart E. NDDOT's drug and alcohol consultant will review these policies.

Failure to comply with a drug and alcohol policy by a subrecipient could find their transit agency non-compliant with federal regulation and may result in suspension of federal transit funding.

NDDOT transit staff verifies compliance with drug and alcohol regulations while conducting annual compliance reviews and through on-site visits with the drug and alcohol consultant.

NDDOT requires mandatory training courses for subrecipients and their employees. The required training is a minimum of one time 60 minutes of drug abuse training and 2 hours of supervisor training that includes 60 minutes of drug abuse training and 60 minutes of reasonable suspicion training.

MANAGEMENT INFORMATION SYSTEM (MIS) REPORT

The submittal of annual FTA Drug and Alcohol Management Information System (DAMIS) reports is a requirement of acceptance of FTA grant funding. MIS reports are filed electronically by March 15th of each year through FTA DAMIS reporting system administered by the MIS Project Office at the Volpe National Transportation Systems Center.

Subrecipients are required to participate in the annual MIS reporting process with data compiled by their third-party administrators.

LOBBYING

No Federal funds will be used to influence Federal grants or programs. All subrecipients must sign a certification on contracts exceeding \$100,000 attesting to the best of his or her knowledge and belief that no funds will be paid to any person for influencing federal contracting and financial transactions as required by 49 CFR 20.110. See Exhibit M.

CHARTER

NDDOT does not promote charter services by publicly funded subrecipients. If charter services are requested and approved, all requirements or exceptions must be met in accordance with 49 CFR Part 604 Subpart B-Exceptions. All exemptions must adhere to the provisions in 49 CFR 604.2.

Exceptions

- Government officials on official government business within service area – Not to exceed 80 hours
- Qualified human service organization
- Leasing to private charter operator
- No response by registered charter provider
- Agreement with all registered charter providers
- Petition to the administrator

Exemptions

- Transportation of employees, contractors, and government official within service area for oversight functions
- Private charter operators
- Emergency preparedness planning and operation

- Section 5310 and 5311 program purposes
- Emergency response
- Transportation training

If one or more of these exceptions are performed by any of our subrecipients it must be reported as charter service to NDDOT and FTA through TRAMS. A quarterly reporting form must be submitted if charter services are performed. It can be found on the NDDOT website.

Subrecipients must submit to NDDOT assurances of compliance with all charter regulations annually. Copies of the Certifications and Assurances are uploaded in the Black Cat System.

NDDOT transit staff verifies compliance with charter regulations while conducting compliance reviews.

SCHOOL TRANSPORTATION (FTA C 9040.1G)

Section 5323(f) prohibits the use of FTA funds for exclusive school bus transportation for school students and school personnel. Regulation, 49 CFR Part 605 does permit regular service to be modified to accommodate school students along with the general public.

Subrecipients must submit to NDDOT assurances of compliance with all school bus regulations annually. Copies of the Certifications and Assurances are uploaded in the BlackCat System.

AGENCY PHASE OUT

Once an agency has established that it is no longer going to provide transit services, NDDOT will:

- Obtain backup documentation with reasoning for closure.
- Discuss with management other possible solutions.

If another provider in the community chooses to provide the service, the following items must be completed:

- A viable timeframe will be established.
- Subrecipient will be notified.
- Ensure a smooth transition.
- Keep riders updated on a regular basis.
- Vehicles will need to be reassigned to the new provider.
- Make sure all financials are in order.
- Close contract with existing provider.

RECORD RETENTION

All documentation relating to federal or state contracts must be retained, at a minimum, according to federal and state regulations. The following guidelines are used for retention:

- Federal Transit Administration (FTA) Civil Rights – All documentation for the Disadvantaged Business Enterprise (DBE) Program, Title VI and Limited English Proficiency (LEP), ADA and Non-Discrimination, and EEO must be retained for 10 years.
- Annual Transit Programs & Project Files – All documentation relating to federal or state contracts must be retained 6 years beyond the close of the contract.
- Miscellaneous Transit – Related Program Files – All documentation for drug testing program, local project vehicle and equipment inventory certification, financial documents, audit information, and various other transit-related files must be retained until updated or obsolete plus 3 years.
- Transit Vehicle Files – Transit procurement package and vehicle information, such as make, model, VIN, condition, and inspections must be retained for life of vehicle plus 3 years.
- Transit Facilities – Transit facility documentation including plans, maintenance, inspections must be retained for 40 years;
- Land – Documentation on land purchased with FTA funds must be retained for life.

Transit Glossary

ADA

Americans with Disabilities Act of 1990

Bus Stop

Pre-defined location for passengers to board and/or alight the transit vehicle, typically on-street, at the curb, or in a median, sometimes with a shelter, sign, or lighting.

Capital

Projects related to the purchase of equipment necessary to support transit services. Equipment is tangible property having a useful life of more than one year, e.g., vehicles, buildings, passenger stations, and an acquisition cost which equals the lesser of:

- The capitalization level established by the government unit for financial statement purposes, or
- \$5,000.

Charter Service

A vehicle hired for exclusive use that does not operate over a regular route, on a regular schedule and is not available to the general public.

Complementary Paratransit Services

Transportation service required by the Americans with Disabilities Act for individuals with disabilities who are unable to use fixed route transportation systems. This service must be comparable to the level of service provided to individuals without disabilities who use the fixed route system. The complementary services must be origin-to-destination service. Service must be provided in a corridor $\frac{3}{4}$ of a mile on either side of the bus routes.

Cutaways

A vehicle in which a bus body is mounted on the chassis of a van or light-duty truck. Cutaways typically seat 15 or more passengers, and typically may accommodate some standing passengers.

Demand Response Service

Shared use transit service operating in response to calls from passengers or their agents to the transit operator, who schedules a vehicle to pick up the passengers to transport them to their destinations.

Deviated Fixed Route Service

Transit service that operates along a fixed alignment or path at generally fixed times, but may deviate from the route alignment to collect or drop off passengers who have requested the deviation.

Fare Revenues

All income received directly from passengers, paid either in cash or through pre-paid tickets, passes, etc.

Federal Government Funds

Financial assistance obtained from the Federal government to assist with paying the costs of providing transit services.

FHWA

Federal Highway Administration

Fixed Route Services

Services provided on a repetitive, fixed schedule basis along a specific route with vehicles stopping to pick up and deliver passengers to specific locations; each fixed route trip serves the same origins and destinations.

FTA

Federal Transit Administration

FTA Bus and Bus Facilities (Section 5339)

The FTA Bus and Bus Facilities Program is a formula program that finances capital projects to replace, rehabilitate, and purchase buses and related equipment and to construct bus-related facilities.

FTA Metropolitan Planning (Section 5303)

Financial assistance from Section 5303 of the Federal Transit Act. This program supports the cooperative, continuous and comprehensive planning program for making transportation investment decisions in metropolitan areas.

FTA Other Than Urbanized Area Formula Program (Section 5311)

Financial assistance from Section 5311 of the Federal Transit Act. This program provides formula funding to States and Indian Tribes for the purpose of supporting public transportation in areas with a population of less than 50,000. Funding may be used for capital, operating, State administration, and project administration expenses.

FTA Special Needs of Elderly Individuals and Individuals with Disabilities Formula Program (Section 5310)

Financial assistance from Section 5310 of the Federal Transit Act. This program provides capital assistance to state and local governments and private non-profit groups in meeting the transportation needs of elderly individuals and individuals with disabilities.

FTA Urbanized Area Formula Program (Section 5307)

Financial assistance from Section 5307 of the Federal Transit Act. This program makes Federal resources available for capital and operating assistance for transit in urbanized areas. The Urbanized Area Formula Program also supports planning. Funding is apportioned directly to each UZA with a population of 200,000 or more, and to the State Governors for UZAs with populations between 50,000 and 200,000.

Intercity Bus

Regularly scheduled public service using an over-the-road bus that operates with limited stops between two urbanized areas or that connects rural areas to an urbanized area.

Local Government Funds/Local Share

Financial assistance from local governments (below the state level) to help cover the costs of providing transit services. They may include, but are not limited to:

- Tax levies - A specified amount from local levies that is dedicated to supporting public transit system operating costs;
- General funds - Transfers from the general fund of local governments to cover the Local Share portion of the transit system budget;
- Specified contributions - Contributions from city, county or other municipal government towards the Local Share portion of the transit system budget;
- Donations - Donations from individuals or organizations to help cover the costs of providing transit service but which are not related to specific passengers or trips; and
- Other - Other revenues such as advertising, fundraising, etc.

Operating Expenses

The expenses associated with the operation of the transit agency, and classified by function or activity, and the goods and services purchased. These are consumable items with a useful life of less than one year or an acquisition cost which equals the lesser of:

- The capitalization level established by the government unit for financial statement purposes, or
- \$5,000.

Paratransit

Types of passenger transportation most often refers to wheelchair-accessible, demand response service.

Passenger

An individual on board, boarding, or alighting from a revenue transit vehicle. Excludes operators, transit employees and contractors.

Preventative Maintenance Costs

All the activities, supplies, materials, labor, services, and associated costs required to preserve or extend the functionality and serviceability of the asset in a cost effective manner, up to and including the current state of the art for maintaining such asset.

Private Nonprofit Provider

A nonpublic entity with a tax-free status that provides public transportation services. Nonprofit entities exist to provide a particular service (e.g., public transportation) to the community.

Public Transportation

As defined in the Federal Transit Act, "transportation by a conveyance that provides regular and continuing general or special transportation to the public, but does not include school bus, charter, or intercity bus transportation."

Replacement (fleet)

The replacement of revenue vehicles having reached the end of a minimum normal service life.

Revenue Service (Miles, Hours, and Trips)

The time when a vehicle is available to the general public and there is an expectation of carrying passengers. These passengers either:

Revenue Vehicle

The floating and rolling stock used to provide revenue service for passengers.

Service Area

A measure of access to transit service in terms of population served and area coverage (square miles).

The service area for DR is the area encompassing the origin to destination points wherever people can be picked up and dropped off.

State Government Funds

Financial assistance obtained from a state government(s) to assist with paying the costs of providing transit services.

State of Good Repair

A condition sufficient for capital assets to operate at a full level of performance at its designed function, in a safe manner, and has met or recovered lifecycle investment

Subrecipient

Any government department, agency, establishment, or nonprofit organization that receives financial assistance from a pass-through entity to carry out a program or perform a scope of work or objectives.

Surface Transportation Program (STP)

Federal Highway Administration (FHWA) program whose funds can be flexed to FTA Section 5307 Urbanized Area Formula Program for transit projects. These funds may be used for capital projects including, ridesharing projects, bicycle and pedestrian facilities, transit safety improvements and transportation control measures; and, for planning activities including transit research and development, environmental analysis and wetland mitigation.

Transit

Synonymous term with public transportation.

Transit Asset Management

A business model that uses the condition of assets to guide the optimal prioritization of funding at transit properties in order to keep transit networks in a State of Good Repair.

Useful Life Benchmark (ULB)

The expected lifecycle of a capital asset for a particular Transit Provider's operating environment, or the acceptable period of use in service for a particular transit provider's operating environment.

Vans

An enclosed vehicle having a typical seating capacity of 8 to 18 passengers and a driver. A van is typically taller and with a higher floor than a passenger car. Vans normally cannot accommodate standing passengers.

NDDOT Transit Grant Application Guidelines

<https://www.dot.nd.gov/divisions/localgov/docs/transit/ND%20-%20BlackCatApplicationGuidelines.pdf>

Consultant Administration Services (CAS) Procedures Manual

Revised March 6, 2017

<http://www.dot.nd.gov/manuals/environmental/Proceduremanual.pdf>

FTA REGION 8 CATEGORICAL EXCLUSION WORKSHEET

This worksheet is provided to assist project sponsors (grantees) and FTA in complying with the National Environmental Policy Act (NEPA) for projects that may qualify as a Categorical Exclusion (CE) or a Documented Categorical Exclusion (DCE). It will help grantees gather information for environmental analysis, identify potential project impacts, and determine if other environmental laws and permits apply. It will also enable FTA to determine that the project does not result in significant environmental impacts and meets the criteria for a CE. This CE Worksheet should be completed for category C (c-list) CE projects involving construction and all category D (d-list) DCE projects.

All parts below must be completed prior to FTA review. If the project is a c-list CE and does not involve construction, you do not need to complete this worksheet. Compliance with other environmental requirements must also be completed before FTA will issue a determination that the project meets the criteria for a CE. Certain project activities may not begin until this process is complete. For guidance on completing this worksheet, please refer to the CE Worksheet Instructions.

If you need help or have any questions, contact Tracey MacDonald, the Region 8 Environmental Protection Specialist (EPS), at tracey.macdonald@dot.gov or 303-362-2392. The completed CE Worksheet should be submitted to the Region 8 EPS with sufficient time for review, especially if other environmental laws or permits apply, prior to submitting a grant application.

PART I: PROJECT INFORMATION

Project Sponsor	Date Submitted	FTA Grant Number(s)/Funding Source(s)
Project Title		
Project Description and Location (include physical address)		
Project Contact (include mailing address, email address and phone number)		
Is this project included in an approved TIP and/or STIP?		
<input type="checkbox"/> YES – TIP/STIP ID/Page No.: <input type="checkbox"/> NO – When will it be added?		
Is this a re-evaluation of a project previously evaluated/approved or currently under construction?		
<input type="checkbox"/> NO <input type="checkbox"/> YES		

PART II: CATEGORICAL EXCLUSION DETERMINATION

Please indicate which CE type under 23 CFR 771.118(c) or (d) best fits the proposed project (select only one). CE descriptions are included in the CE Worksheet Instructions.

PART III: ENVIRONMENTAL EVALUATION

This section is for the evaluation and identification of any adverse impacts to the built (including social and economic) and natural environment as a result of the project. For each item below, indicate if there are any adverse impacts and describe them. If a resource is not present on or in the vicinity of the proposed project, or if there are no adverse impacts, select NO. If a resource is present and impacted, select YES and succinctly describe the impacts and any necessary mitigation or permits required. The level of information provided should be consistent with the complexity of the project. For guidance on how to evaluate each resource for impacts, see the CE Worksheet Instructions. If your project will result in significant impacts or you aren't sure, and/or it is likely to generate substantial controversy, contact FTA Region 8.

A. Land Use and Zoning Impacts

Is the proposed project incompatible or inconsistent with existing or future land use and/or zoning in the project area?

- NO
 YES

A.1. Describe the surrounding land use and zoning.

B. Traffic and Parking Impacts

Does the proposed project have the potential to permanently impact traffic and/or parking (on and off street) in the project area? Describe any temporary construction impacts in item T. Construction Impacts.

- NO
 YES

C. Visual/Aesthetics Impacts

Are there any visual or aesthetic resources (e.g., protected view sheds or scenic vistas) or visual character in the vicinity of the proposed project that would be impacted?

- NO
 YES

D. Farmland Impacts

Are there any prime or unique farmlands located at the proposed project site that would be impacted?

- NO
 YES

E. Environmental Justice Impacts

Is the proposed project located within a neighborhood containing minority or low-income residents or businesses? If yes, will it result in disproportionately high and adverse impacts?

- NO
 YES

F. Floodplain Impacts

Is the proposed project located within the Federal Emergency Management Agency (FEMA) 100-year floodplain or within the floodway? If yes, this project may require further evaluation under EO 11988.

- NO
- YES

G. Air Quality Impacts

Is the proposed project located in an Environmental Protection Agency (EPA)-designated non-attainment or maintenance area?

- NO
- YES, indicate the criteria pollutant and contact FTA to determine if a hot spot analysis is necessary.
 - Carbon Monoxide (CO)
 - Sulfur Dioxide (SO₂)
 - Lead (Pb)
 - Nitrogen Dioxide (NO₂)
 - Ozone (O₃)
 - Particulate Matter (PM₁₀)
 - Particulate Matter (PM_{2.5})

G.1. Does the proposed project require a conformity analysis or regional analysis under 40 CFR Part 93?

- NO
- YES

G.2. If the non-attainment area is also in a metropolitan area, was the proposed project required to be and included in the MPO's air quality conformity analysis for the Transportation Improvement Program (TIP)?

- NO
- YES, date of USDOT conformity finding

H. Hazardous Materials Impacts

Is there any known or potential contamination at the proposed project site that would be impacted? Explain how this was determined.

- NO
- YES

I. Vibration Impacts

Are there any vibration sensitive receptors located in the vicinity of the proposed project that would be impacted?

- NO
- YES

J. Noise Impacts

Are there any noise sensitive receptors located in the vicinity of the proposed project that would be impacted?

- NO
- YES

K. Water Quality Impacts

Are there any surface or ground water resources present, including an EPA-designated sole source aquifer (SSA), in the vicinity of the proposed project that would be impacted?

- NO
- YES

K.1 Is there an increase in impervious surface (e.g., roofs, driveways, streets, parking lots, etc.) or restored pervious surface as a result of the proposed project?

- NO
- YES

L. Land/Property Acquisition, Relocation, Leases and Easements

Does the proposed project require any acquisition of land/property or any easements? Note: for acquisitions over \$500,000, FTA concurrence with the property's valuation is also required.

- NO
- YES

M. Wetland Impacts

Are there any wetlands on or adjacent to the proposed project that would be temporarily or permanently impacted?

- NO
- YES

If YES, is a permit from the US Army Corps of Engineers required?

- NO
- YES

N. Natural Resource Impacts

Are there any natural areas present on or near the proposed project that would be impacted? If the proposed project has the potential to impact wildlife or waterfowl refuges, a Section 4(f) evaluation may be required.

- NO
- YES

If YES, does Section 4(f) apply?

- NO, explain
- YES

O. Historic, Cultural and Archaeological Resource Impacts

Are there any historic, cultural or archaeological resources on or near the proposed project site? If yes and the proposed project has the potential to affect such resources, the Section 106 process must be followed and a Section 4(f) evaluation may be required.

NO

YES

If YES resources are present, does Section 106 apply?

NO, explain

YES

If YES resources are present, does Section 4(f) apply?

NO, explain

YES

P. Biological Resource Impacts

Are there any biological resources or sensitive areas on or in the vicinity of the proposed project that would be impacted?

NO

YES

Q. Threatened and/or Endangered Species Impacts

Are there any threatened and/or endangered species (plant or animal) or critical habitat present on or in the vicinity of the proposed project that would be impacted? If yes, Section 7 of the Endangered Species Act may apply.

NO

YES

R. Recreation and Park Resource Impacts

Are there any recreation areas and/or public parks on or adjacent to the proposed project that would be impacted? If the proposed project has the potential to impact recreation areas or publicly-owned parks, a Section 4(f) evaluation may be required. If a park is funded with LWCF funds, Section 6(f) may apply.

NO

YES

If YES, does Section 4(f) apply?

NO

YES

If yes, does Section 6(f) apply?

NO

YES

<p>S. Safety and Security Are any measures required for the safe and secure operation of the proposed project after its construction?</p> <p><input type="checkbox"/> NO <input type="checkbox"/> YES</p>
<p>T. Construction Impacts Will the proposed project result in impacts during construction?</p> <p><input type="checkbox"/> NO <input type="checkbox"/> YES</p>
<p>U. Utility Impacts Are there any utilities that could be impacted by the proposed project?</p> <p><input type="checkbox"/> NO <input type="checkbox"/> YES</p>
<p>V. Cumulative and Indirect Impacts Are adverse cumulative and/or indirect impacts likely?</p> <p><input type="checkbox"/> NO <input type="checkbox"/> YES</p>
<p>W. Public Outreach and Agency Coordination Was any public outreach and/or agency coordination conducted?</p> <p><input type="checkbox"/> NO <input type="checkbox"/> YES</p>
<p>X. State and Local Permits, Policies and Ordinances Does the proposed project require compliance with any applicable state and local permits, policies and ordinances?</p> <p><input type="checkbox"/> NO <input type="checkbox"/> YES</p>

SUBMITTED BY (NAME AND TITLE):	DATE:

FTA Region 8 Categorical Exclusion Worksheet Instructions and Environmental Resources Information

The purpose of the Categorical Exclusion (CE) Worksheet is to assist project sponsors (grantees) in providing sufficient documentation in compliance with FTA's regulations implementing the [National Environmental Policy Act of 1969 \(NEPA\)](#) and other environmental laws, regulations and executive orders, as applicable. The worksheet can be used in gathering and organizing materials for environmental analysis and in determining if the proposed action (project) qualifies as a CE as described in 23 CFR 771.118.

This worksheet should be used for category C (c-list) CE projects involving construction and for category D (d-list) CE projects. This includes construction of new facilities as well as projects involving rehabilitation, renovation, reconstruction, improvement, expansion, and modification of an existing facility (e.g., bus storage, maintenance facility, passenger shelters and amenities, transit center) or an existing transportation structure (e.g., bridges, tunnels, sidewalks, ADA ramps).

Submission of the worksheet does not constitute an environmental finding for your project. FTA must make the final determination whether a project meets the criteria for a CE. FTA will provide a CE determination approval letter for all c-list construction projects and all d-list projects that meet the requisite criteria. **Project activities, including property acquisition, demolition, site preparation, final design and construction, may not begin until the environmental process is complete.** There are some circumstances where prior property acquisition can occur, such as for corridor preservation. In addition, certain pre-award authority activities cannot be undertaken, prior to completion of NEPA. Contact the FTA Region 8 Environmental Protection Specialist (EPS) if you have any questions or require assistance.

While all federally-funded actions require a determination under NEPA, you do not need to complete the CE Worksheet for non-construction projects that qualify as a c-list CE. This includes, but is not limited to, purchase, rehabilitation or replacement of vehicles or equipment; installation of new or replacement equipment within an existing facility; preventative maintenance of vehicles, equipment or facilities; repair, replacement or rehabilitation of transportation safety, security, accessibility and communication systems; and planning, administrative or operations activities. For these types of projects, the CE determination is made in TrAMS with FTA's concurrence; no letter will be provided for c-list non-construction projects. Contact the Region 8 EPS if you have questions on whether or not your project is considered a non-construction project.

Please discuss planned construction projects with your FTA grant development POC (Pre-Award Manager) early in the year so (s)he can coordinate with the Region 8 EPS. The completed CE Worksheet should then be submitted to the Region 8 EPS (tracey.macdonald@dot.gov) to allow sufficient time for review, especially if other environmental laws or permits apply, prior to submitting a grant application. We expect the level of information to be consistent with the complexity of the project. Please do not include extraneous information. Once approved by FTA, the CE Worksheet should be attached to the grant application during its development in TrAMS to demonstrate completion of the NEPA process.

PART I: PROJECT INFORMATION

Project Description: Provide a description of the proposed project with enough detail that describes what the project entails, why the project is needed, what the proposed use is, and what activities you are proposing to

pay for with FTA funds. The description should also include how the project meets the conditions listed in the particular CE being proposed (e.g., uses primarily land disturbed for a transportation use). The physical location (e.g., address or intersection) of the proposed project also should be provided and be consistent with what is provided in TrAMS. Other information to provide includes, but is not limited to:

- Description of the scope of work (e.g., remove and replace x, construct y, modify z, extent of excavation, etc.)
- Indication of whether it is a new facility, an expansion/extension of an existing facility, rehabilitation of an existing facility, etc.
- Details pertaining to depth of soil excavation and note any previous soil disturbance from prior construction or other activity
- Parcel ownership and size and if the project is within existing right-of-way or parcel boundaries
- Size/dimension (square feet or acres) of new facilities and facility expansions
- Description of all phases of the project, if applicable, regardless of federal funding
- Any previous consultations that might be relevant with other agencies or relevant correspondence
- A project vicinity map, a basic site plan showing access points and project boundaries, photographs, etc. This will provide information on adjacent protected and/or sensitive resources, such as schools, residences, parks and recreation areas, historic properties, wetlands, etc.

Indicate whether the proposed project is included in the current TIP and/or STIP, including page number, project identifier, or other reference. Note: The project must be programmed in the year in which FTA would award the grant.

Indicate if this is a re-evaluation of a previously approved and/or funded project. If YES, provide information on the previous project, changes in the project, and the grant number.

PART II: CATEGORICAL EXCLUSION DETERMINATION

Typically, a CE is for an action that does not individually or cumulatively result in any significant environmental impacts and for which an Environmental Assessment (EA) or Environmental Impact Statement (EIS) is not required. It is NOT an exemption from NEPA or other applicable federal environmental laws, regulations, executive orders, and/or permits that also may apply to the project.

A project may not require the higher level of NEPA analysis associated with an EA or EIS and still require analysis under other environmental laws such as Section 106 of the National Historic Preservation Act, Section 404 of the Clean Water Act, Section 7 of the Endangered Species Act, or Section 4(f) of the DOT Act. If other environmental laws, regulations, executive orders, and/or permitting requirements are applicable, applicants need to apply for and obtain the necessary permits and approvals prior to an FTA determination, regardless of whether the project may qualify as a CE. Compliance with these requirements does not necessarily elevate the project to an EA or EIS.

If your project has significant environmental impacts or other unusual circumstances, or you are not sure, please contact the Region 8 EPS. If there is the potential for significant environmental impacts FTA may require the preparation of an EA or EIS even for project types normally approved with a CE.

FTA CATEGORICAL EXCLUSIONS

FTA's CEs can be found in 23 CFR 771.118 and are described below. FTA's June 2016 ["Guidance for Implementation of FTA's Categorical Exclusions \(23 CFR 771.118\)"](#) provides more information on each of the CE activities. Please note that FHWA CEs (23 CFR 771.117) are no longer valid for FTA.

23 CFR 771.118

- (a) *Categorical exclusions (CEs) are actions which meet the definition contained in [40 CFR 1508.4](#), and, based on past experience with similar actions, do not involve significant environmental impacts. They are actions which: do not induce significant impacts to planned growth or land use for the area; do not require relocation of significant numbers of people; do not have a significant impact on any natural, cultural, recreational, historic or other resource; do not involve significant air, noise, or water quality impacts; do not have significant impacts on travel patterns; or do not otherwise, either individually or cumulatively, have any significant environmental impacts.*
- (b) *Any action which normally would be classified as a CE but could involve unusual circumstances will require FTA, in cooperation with the applicant, to conduct appropriate environmental studies to determine if the CE classification is proper. Such unusual circumstances include:*
 - (1) *Significant environmental impacts;*
 - (2) *Substantial controversy on environmental grounds;*
 - (3) *Significant impact on properties protected by Section 4(f) of the DOT Act or Section 106 of the National Historic Preservation Act; or*
 - (4) *Inconsistencies with any federal, state, or local law, requirement or administrative determination relating to the environmental aspects of the action.*

Please select, from the descriptions below, the category (only one) that most appropriately describes the activities you are planning to undertake with federal funds.

Category C Projects: Projects listed in 23 CFR 771.118(c), known as c-list CEs, usually require minimal documentation in order to approve, unless certain unusual circumstances exist. Impacts, if any, should be minor in nature. Remember other environmental laws may apply. These CEs cover the following types of projects.

- (1) Acquisition, installation, operation, evaluation, replacement, and improvement of discrete utilities and similar appurtenances (existing and new) within or adjacent to existing transportation right-of-way, such as: utility poles, underground wiring, cables, and information systems; and power substations and utility transfer stations.
- (2) Acquisition, construction, maintenance, rehabilitation, and improvement or limited expansion of stand-alone recreation, pedestrian, or bicycle facilities, such as: a multiuse pathway, lane, trail, or pedestrian bridge; and transit plaza amenities.
- (3) Activities designed to mitigate environmental harm that cause no harm themselves or to maintain and enhance environmental quality and site aesthetics, and employ construction best management practices, such as: noise mitigation activities; rehabilitation of public transportation buildings, structures, or facilities; retrofitting for energy or other resource conservation; and landscaping or re-vegetation.
- (4) Planning and administrative activities which do not involve or lead directly to construction, such as: training, technical assistance and research; promulgation of rules, regulations, directives, or program guidance; approval of project concepts; engineering; and operating assistance to transit authorities to continue existing service or increase service to meet routine demand.

(5) Activities, including repairs, replacements, and rehabilitations, designed to promote transportation safety, security, accessibility and effective communication within or adjacent to existing right-of-way, such as: the deployment of Intelligent Transportation Systems and components; installation and improvement of safety and communications equipment, including hazard elimination and mitigation; installation of passenger amenities and traffic signals; and retrofitting existing transportation vehicles, facilities or structures, or upgrading to current standards.

(6) Acquisition or transfer of an interest in real property that is not within or adjacent to recognized environmentally sensitive areas (e.g., wetlands, non-urban parks, wildlife management areas) and does not result in a substantial change in the functional use of the property or in substantial displacements, such as: acquisition for scenic easements or historic sites for the purpose of preserving the site. This CE extends only to acquisitions and transfers that will not limit the evaluation of alternatives for future FTA-assisted projects that make use of the acquired or transferred property.

(7) Acquisition, installation, rehabilitation, replacement, and maintenance of vehicles or equipment, within or accommodated by existing facilities, that does not result in a change in functional use of the facilities, such as: equipment to be located within existing facilities and with no substantial off-site impacts; and vehicles, including buses, rail cars, trolley cars, ferry boats and people movers that can be accommodated by existing facilities or by new facilities that qualify for a categorical exclusion.

(8) Maintenance, rehabilitation, and reconstruction of facilities that occupy substantially the same geographic footprint and do not result in a change in functional use, such as: improvements to bridges, tunnels, storage yards, buildings, stations, and terminals; construction of platform extensions, passing track, and retaining walls; and improvements to tracks and railbeds.

(9) Assembly or construction of facilities that is consistent with existing land use and zoning requirements (including floodplain regulations) and uses primarily land disturbed for transportation use, such as: buildings and associated structures; bus transfer stations or intermodal centers; busways and streetcar lines or other transit investments within areas of the right-of-way occupied by the physical footprint of the existing facility or otherwise maintained or used for transportation operations; and parking facilities.

(10) Development of facilities for transit and non-transit purposes, located on, above, or adjacent to existing transit facilities, that are not part of a larger transportation project and do not substantially enlarge such facilities, such as: police facilities, daycare facilities, public service facilities, amenities, and commercial, retail, and residential development.

(11) The following actions for transportation facilities damaged by an incident resulting in an emergency declared by the Governor of the State and concurred in by the Secretary, or a disaster or emergency declared by the President pursuant to the Robert T. Stafford Act (42 U.S.C. 5121):

(i) Emergency repairs under 49 U.S.C. 5324; and

(ii) The repair, reconstruction, restoration, retrofitting, or replacement of any road, highway, bridge, tunnel, or transit facility (such as a ferry dock or bus transfer station), including ancillary transportation facilities (such as pedestrian/bicycle paths and bike lanes), that is in operation or under construction when damaged and the action:

(A) Occurs within the existing right-of-way and in a manner that substantially conforms to the preexisting design, function, and location as the original (which may include upgrades to meet

existing codes and standards as well as upgrades warranted to address conditions that have changed since the original construction); and

(B) Is commenced within a 2-year period beginning on the date of the declaration.

(12) Projects, as defined in 23 U.S.C. 101, that would take place entirely within the existing operational right-of-way. Existing operational right-of-way refers to right-of-way that has been disturbed for an existing transportation facility or is maintained for a transportation purpose. This area includes the features associated with the physical footprint of the transportation facility (including the roadway, bridges, interchanges, culverts, drainage, fixed guideways, mitigation areas, etc.) and other areas maintained for transportation purposes such as clear zone, traffic control signage, landscaping, any rest areas with direct access to a controlled access highway, areas maintained for safety and security of a transportation facility, parking facilities with direct access to an existing transportation facility, transit power substations, transit venting structures, and transit maintenance facilities. Portions of the right-of-way that have not been disturbed or that are not maintained for transportation purposes are not in the existing operational right-of-way.

(13) Federally-funded projects:

(i) That receive less than \$5,000,000 (as adjusted annually by the Secretary to reflect any increases in the Consumer Price Index prepared by the Department of Labor, see www.fhwa.dot.gov or www.fta.dot.gov) of Federal funds; or

(ii) With a total estimated cost of not more than \$30,000,000 (as adjusted annually by the Secretary to reflect any increases in the Consumer Price Index prepared by the Department of Labor, see www.fhwa.dot.gov or www.fta.dot.gov) and Federal funds comprising less than 15 percent of the total estimated project cost.

(14) Bridge removal and bridge removal related activities, such as in channel work, disposal of materials and debris in accordance with applicable regulations, and transportation facility realignment.

(15) Preventative maintenance, including safety treatments, to culverts and channels within and adjacent to transportation right-of-way to prevent damage to the transportation facility and adjoining property, plus any necessary channel work, such as restoring, replacing, reconstructing, and rehabilitating culverts and drainage pipes; and, expanding existing culverts and drainage pipes.

(16) Localized geotechnical and other investigations to provide information for preliminary design and for environmental analyses and permitting purposes, such as drilling test bores for soil sampling; archeological investigations for archeology resources assessment or similar survey; and wetland surveys.

Category D Projects: The projects listed below may be CEs under 23 CFR § 771.118(d), known as d-list CEs. D-list CEs require additional documentation demonstrating that a CE is an appropriate classification, that the specific conditions or criteria for the CE are satisfied, and that significant environmental impacts will not occur as a result of the project. This is not an exhaustive list of all actions that may qualify as a d-list CE. Contact the FTA Region 8 EPS if your project does not fit under any one of these categories.

(1) Modernization of a highway by resurfacing, restoring, rehabilitating, or reconstructing shoulders or auxiliary lanes (e.g., lanes for parking, weaving, turning, climbing).

(2) Bridge replacement or the construction of grade separation to replace existing at-grade railroad crossings.

(3) Acquisition of land for hardship or protective purposes. Hardship and protective buying will be permitted only for a particular parcel or a limited number of parcels. These types of land acquisition qualify for a CE only where the acquisition will not limit the evaluation of alternatives, including shifts in alignment for planned construction projects, which may be required in the NEPA process. No project development on such land may proceed until the NEPA process has been completed.

(i) Hardship acquisition is early acquisition of property by the applicant at the property owner's request to alleviate particular hardship to the owner, in contrast to others, because of an inability to sell his property. This is justified when the property owner can document on the basis of health, safety or financial reasons that remaining in the property poses an undue hardship compared to others.

(ii) Protective acquisition is done to prevent imminent development of a parcel which may be needed for a proposed transportation corridor or site. Documentation must clearly demonstrate that development of the land would preclude future transportation use and that such development is imminent. Advance acquisition is not permitted for the sole purpose of reducing the cost of property for a proposed project.

(4) Acquisition of right-of-way. No project development on the acquired right-of-way may proceed until the NEPA process for such project development, including the consideration of alternatives, has been completed.

(5) [RESERVED]

(6) Facility modernization through construction or replacement of existing components.

(7) Minor transportation facility realignment for rail safety reasons, such as improving vertical and horizontal alignment of railroad crossings, and improving sight distance at railroad crossings.

(8) Modernization or minor expansions of transit structures and facilities outside existing right-of-way, such as bridges, stations, or rail yards.

PART III: ENVIRONMENTAL EVALUATION

While the list of topics for consideration in the CE Worksheet is extensive, the impacts resulting from a project that qualifies for a CE should be minimal. Some projects may be the type for which permanent environmental impacts would not result due to the nature of the project. The intent of Part III is to make sure that potential impacts to all resources are considered, especially if other environmental requirements apply (e.g., Section 106 of the National Historic Preservation Act). As discussed above, compliance with these other environmental requirements must be completed before FTA will make a final determination and approval under NEPA.

To guide you in your environmental review and to assist FTA in determining if a CE is an appropriate class of action for your project or if any unusual circumstances or significant environmental impacts exist, provide a response for items A through X on the CE Worksheet.

For additional resource information, visit FTA's [Environmental Resource Information](#) webpage or FHWA's [Environmental Review Toolkit](#) webpage.

A. LAND USE AND ZONING IMPACTS

Determine whether or not the proposed project is consistent with surrounding land use and zoning. Information on land use and zoning in the project area can be found through local city and/or county planning departments or assessor's office. This information is used to determine the probability of impact on existing and future land uses and zoning, sensitive receptors (such as schools, hospitals, parks, and residences), and protected resources (parks, wetlands, historic properties, etc.). Transportation must be a compatible land use within the project area. If the proposed project is consistent with surrounding land use and zoning briefly state this and provide a site map identifying the proposed project's location with the surrounding land use and zoning.

If the proposed project is incompatible or inconsistent with existing or future land use and/or zoning in the project area, briefly describe the existing and future land uses and zoning within the area. Describe any steps to be taken to address this. Attach a site map identifying the proposed project's location with the surrounding land uses and zoning.

B. TRAFFIC AND PARKING IMPACTS

If applicable to the proposed project, assess and describe any potential permanent traffic/parking impacts. This includes, but is not limited to ingress and egress, whether the existing roadways have adequate capacity to handle increased bus and other vehicular traffic, and if there is a permanent loss of parking. Identify if travel patterns or access would be affected or changed, and if additional capacity and/or traffic signaling are required. Describe connectivity to other transportation facilities and modes (including bicycles and pedestrians), and coordination with relevant agencies. If the proposed project will modify an existing roadway configuration include a map/diagram. You may provide a letter from the traffic engineer or other appropriate official verifying the traffic impacts. If parking is being reduced or eliminated, determine the number of parking spaces that would be affected and whether replacement parking spaces would be constructed at an alternate location (onsite or offsite).

C. VISUAL/AESTHETICS IMPACTS

Assess whether the proposed project substantially degrades the existing visual/aesthetic character or quality of the site, its surroundings, and/or recognized view sheds. Visual resources can be natural features, vistas, view sheds, community features, such as skylines, settings, monuments, architecture, historic properties or other visual characteristics that create a sense of place of an area. Consider whether the project creates a new source of light or glare that may affect day or nighttime views in the area. Some communities may have design or aesthetic guidelines or objectives that must be followed when designing facilities.

D. FARMLAND IMPACTS

Prime farmland, unique farmland and land of local or statewide importance are protected under the [Farmland Protection Policy Act](#). If any portion of the proposed project occurs on farmland, consultation with the Natural Resources Conservation Service (NRCS) should be conducted to determine if it is prime or unique. If the project results in an impact to farmland, and can't be avoided, contact the Region 8 EPS for additional guidance on coordination with the NRCS.

E. ENVIRONMENTAL JUSTICE (EJ) IMPACTS

US Census Bureau data, in particular [American Community Survey data](#) can be used to determine the presence of minority and/or low-income populations (business owners, landowners, and residents) within the vicinity of the proposed project. If there are EJ populations present, discuss whether the proposed project will have disproportionately high and adverse impacts. Generally speaking a project which qualifies for CE is unlikely to

have disproportionate adverse effects, but be aware of the potential for cumulative effects of multiple projects in a single community and address as needed. Common impacts to EJ populations include, but are not limited to, property acquisition and relocation, potential changes in ambient air quality and water quality, noise, vibration and construction. For more information on Environmental Justice see [Executive Order 12898](#) and [FTA Circular C 4703.1, "Environmental Justice Policy Guidance for FTA Recipients"](#). The [EPA's EJScreen](#) is also a useful tool.

F. FLOODPLAIN IMPACTS

[Executive Order 11988-Floodplain Management](#) recognizes the importance of floodplains and directs federal agencies to avoid conducting, allowing or supporting actions on a floodplain/floodway. It must be determined whether the proposed project is located within a floodplain or floodway. If the proposed project is located within the 100-year floodplain, provide the appropriate Federal Emergency Management Agency (FEMA) Flood Insurance Rate Map (FIRM) from [FEMA's Flood Map Service Center](#) with the project location identified to support the determination. If a FEMA FIRM is not available, contact the local flood control district or floodplain manager to determine if the project is located in a flood hazard area. Local jurisdictions may also have ordinances and regulations regarding construction within floodplains, in addition to federal and state laws and regulations. [US DOT Order 5650.2, Floodplain Management and Protection](#), provides information on how to conduct a detailed floodplain analysis. In addition to FEMA, the US Army Corps of Engineers (USACE) should be consulted on projects constructed within a floodplain.

G. AIR QUALITY IMPACTS

Proposed transit projects must meet the requirements of the Clean Air Act (42 USC 85). The Act addresses six criteria air pollutants established under the National Ambient Air Quality Standards (NAAQS). The Environmental Protection Agency (EPA) has the authority to designate nonattainment and maintenance areas where air pollution levels for criteria pollutants exceed or have exceeded in the past the NAAQS.

Project sponsors should indicate whether their proposed project is located in a nonattainment or maintenance area and for which criteria pollutant(s) (see [EPA Greenbook](#)). Nonattainment areas must adhere to emission control requirements identified in State Implementation Plans (SIPs) and are subject to the Transportation Conformity Rule ([40 CFR Part 93](#)). Typically, projects requiring analysis include those that are funded and/or approved by a federal agency, and are considered regionally significant by the state or metropolitan planning organization (MPO). Some types of projects are exempt from air quality conformity regardless of location ([40 CFR 93.126](#) and [93.127](#)). If a project is exempt from air quality conformity or outside of a nonattainment or maintenance area, air quality analysis is not required. Also, some types of projects are not considered a concern for air quality and do not require analysis even if located in a nonattainment or maintenance area. Project sponsors can contact their state DOT or MPO for information on air quality status and conformity analysis.

The primary transportation-related pollutants include carbon monoxide (CO), nitrogen dioxide (NO₂), ozone (O₃) and particulate matter (PM₁₀ and PM_{2.5}). These pollutants may be an issue at both the regional and local levels, and may require hot spot (project specific location such as an intersection) analysis ([40 CFR 93.116](#)), except for ozone. Ozone is a regional concern and is not analyzed at the local level and, therefore, no hot spot analysis is required. To determine if a hot spot analysis for carbon monoxide is required, see [40 CFR 93.123\(a\)](#) or if a project may be of concern for particulate matter, see [40 CFR 93.123\(b\)](#). Describe any potential impacts to air quality as a result of the proposed project.

For information on greenhouse gas emissions see FTA's [Greenhouse Gas Emissions from Transit Projects: Programmatic Assessment](#).

H. HAZARDOUS MATERIALS IMPACTS

Determine if there are hazardous materials in the project area by conducting a desktop survey, and/or reviewing public records and environmental databases. Hazardous materials may include lead/asbestos, above/underground storage tanks, or a history of industrial sites.

If no hazardous materials are present, briefly describe the analysis used to determine this. Was an Initial Site Assessment or Phase I Environmental Site Assessment (ESA) performed? If a Phase II ESA is recommended, was it performed? Valid ESAs are typically conducted by for-hire environmental contractors.

If hazardous materials are present, state how those materials will be treated and/or disposed. Discuss any mitigation and clean-up measures to be taken to remove hazardous materials. Identify what steps will be taken to ensure that the community in which the proposed project is located is protected from contamination during construction and operation of the proposed project. State the results of consultation with the appropriate state agency regarding the proposed remediation. Discuss process for unanticipated discoveries during construction.

If the project involves land acquisition, consult with the Region 8 EPS on conducting a Phase I ESA for the land to be acquired prior to completion of the CE, and following proper due diligence procedures. It may be necessary to demonstrate that real property previously acquired and currently owned by the project sponsor is not contaminated prior to construction and use of FTA funds at the site. Certain liability concerns and cleanup considerations may render a proposed project ineligible for FTA funds.

I. VIBRATION IMPACTS

Depending on the proposed project site and the surrounding land use, a vibration assessment may be needed. Please refer to the FTA's [Transit Noise and Vibration Impact Assessment](#) guidance. Typically, a rubber tire project does not have vibration impacts. If the proposed project is a rubber tire project and/or there are no vibration-sensitive receptors within the screening distance as outlined in the FTA guidance, no assessment is required.

If a vibration assessment is needed, follow the FTA guidance and describe potential impacts and provide a map identifying vibration-sensitive receptors such as vibration-sensitive research and manufacturing, hospitals, universities, etc. Discuss any proposed mitigation measures.

J. NOISE IMPACTS

If the proposed project is the type of project to cause noise impacts, identify any noise-sensitive receptors in the vicinity of the proposed project. If there are no noise-sensitive receptors within the applicable screening distance for the type of project, no assessment is required.

If there are noise-sensitive receptors within the screening distance, identify the noise-sensitive receptors such as schools, hospitals, parks, churches and residences. Conduct a general noise assessment following the procedures in FTA's [Transit Noise and Vibration Impact Assessment](#) guidance and attach. Describe any impacts, include a map of noise-sensitive receptors, discuss proposed mitigation measures, and any remaining impacts after mitigation.

K. WATER QUALITY IMPACTS

Water resources and quality are protected under the Clean Water Act. Water resources to consider include surface water (including Waters of the US), groundwater and/or drinking water supply sources, such as [EPA-designated sole source aquifers \(SSA\)](#). Impacts can occur to water resources used for drinking, agriculture, recreation and wildlife habitat, and can occur during construction, operation and maintenance. Determine if

there are any water resources present in the surrounding area and if the proposed project has the potential to affect water quality, including during construction. Indicate if there would be an increase in impervious surface area and how much. Describe best management practices (BMPs) to be implemented, if needed. Other considerations include, but are not limited to, stream/river modification, stream/river crossings, presence of sensitive/protected water resources, such as Gold Metal Trout Streams, sole source aquifers, [wild and scenic rivers](#), and impaired water bodies.

If there is stormwater and/or sediment runoff, or an increase in impervious surface area associated with the proposed project, including runoff during construction, which would not be controlled through use of BMPs and involves more than one acre of ground disturbance, a stormwater permit may be needed. Please indicate if a permit is needed and that it will be acquired prior to construction.

L. PROPERTY/LAND ACQUISITION, RELOCATION, LEASES AND EASEMENTS

If property/land is to be acquired for the proposed project, indicate whether acquisition will result in relocation of businesses or individuals. Provide the amount of acquisition in terms of acreage or square footage. Provide information on any residential or business relocations and how many. Indicate full or partial acquisitions, easements or leases.

All property/land acquisition and/or relocation must comply with the [Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970](#), as amended (42 USC Chapter 61).

Note: For more information see [49 CFR Part 24](#). Chapter IV of [FTA Circular 5010.1D](#) provides guidance on FTA requirements for real property, including relocation and appraisal requirements under the Uniform Act. For acquisitions over \$500,000, FTA concurrence in the property's valuation is also required. FTA final [Guidance on Corridor Preservation](#) also provides information on acquisition of right-of-way for corridor preservation.

M. WETLAND IMPACTS

Determine if there are any wetlands on or adjacent to the proposed project site through review of the USFWS National Wetlands Inventory (NWI), NRCS soil map (for hydric soil), and/or by conducting a site visit. This may include Waters of the US.

Show potential wetlands on or adjacent to the proposed project area. Describe potential temporary and/or permanent impacts, including any discharge of dredged or fill material. Attach correspondence with the US Army Corps of Engineers (USACE) and/or any 404 permit requirements, as well as minimization and mitigation efforts. For assistance with which USACE District covers your project and any impacts, contact the Region 8 EPS.

N. NATURAL RESOURCE IMPACTS

Identify if any natural areas (designated wildlife or waterfowl refuges, woodlands, prairies, and geological formations) are present on or near the proposed project area. Indicate whether the proposed project requires any mature tree removal. Tree removal and/or trimming may require consultation under the Migratory Bird Treaty Act (MBTA). If the proposed project has the potential to impact a publicly-owned wildlife or waterfowl refuge of national, state or local significance and open to the public, a Section 4(f) evaluation may be required. See [23 CFR Part 774](#) and the [FHWA Section 4\(f\) Policy Paper, July 2012](#).

O. HISTORIC, CULTURAL AND ARCHAEOLOGICAL RESOURCE IMPACTS

Conduct a database or archival search through your State Historic Preservation Office and/or local preservation office (local historical society) to determine the presence of any historic, cultural or archaeological resource(s), including any linear resources (e.g., canals, railroads, etc.) located on or in the immediate vicinity of the

proposed project. Describe any resources present and the potential for the proposed project to affect these resources. Determining the presence of these resources also may require coordination with the State Historic Preservation Officer, Tribes, and consulting parties. Discuss process for unanticipated discoveries during construction.

Contact the Region 8 EPS early in the project to determine the level of Section 106 review ([36 CFR Part 800](#)) required. If the proposed project has the potential to affect historic resources, the [Section 106](#) process must be followed. A Section 4(f) evaluation per joint FTA/FHWA regulations ([23 CFR Part 774](#)) also may be required. Please contact the Region 8 EPS for assistance. For additional information and guidance on the Section 4(f) requirements and process, see [FHWA's Section 4\(f\) Policy Paper, July 2012](#), which can also be used as a guide for FTA funded projects.

All relevant correspondence must be attached. All correspondence must come from FTA, though a draft should be prepared by the project sponsor for FTA review.

P. BIOLOGICAL RESOURCE IMPACTS

Identify any aquatic (fish) and/or terrestrial (wildlife) animal species of interest, biologically sensitive areas, designated critical habitat, wildlife corridors, essential fish habitat, or other sensitive habitat on or in the vicinity of the proposed project. Describe any impacts that would occur as a result of construction and implementation of the proposed project. Identify mitigation measures if applicable.

Q. THREATENED AND/OR ENDANGERED SPECIES IMPACTS

Identify any threatened and/or endangered species (plant or animal) and/or critical habitat present on or in the vicinity of the proposed project. A list of threatened and endangered species can be obtained from the US Fish and Wildlife Service ([USFWS](#)) and from a state department of natural resources for species within the state. Consult with federal and state agencies to identify any ecologically sensitive areas, federal and/or state listed species or their suitable habitat in the project area.

If there are any species or habitat present in the project area, determine if the proposed project would have an impact. State the results of consultation with the USFWS and state department of natural resources on the impacts to threatened and endangered fauna and flora or their habitat. Provide correspondence substantiating consultation and results. Identify mitigation measures if applicable. Contact the Region 8 EPS to initiate Section 7 interagency consultation with USFWS.

R. RECREATION AND PARK RESOURCE IMPACTS

Identify and describe any recreation areas and/or parks in the vicinity of the proposed project. This includes parks and recreation areas funded from the Land & Water Conservation Fund (LWCF) Act, as they are protected under Section 6(f), which prohibits the conversion of property acquired or developed with these grants to a non-recreational purpose without approval of the National Park Service. Publicly owned parks and recreation areas that are open to the general public, are protected under Section 4(f). If any are present in the proposed project area and/or the proposed project involves a potential "use" of the property, contact the Region 8 EPS for guidance.

S. SAFETY AND SECURITY

If required, describe all measures that would need to be taken to provide for the safe and secure operation of the proposed project after its construction (e.g., pedestrian safety, ADA facilities, lighting, signing, rail at-grade crossings, fencing, secured access, cameras, etc.).

T. CONSTRUCTION IMPACTS

Describe any impacts that would result during construction of the proposed project. This includes the construction plan and duration, impacts due to construction noise, utility disruption, debris dust, soil disposal, and staging areas. Address any air and water quality impacts, safety and security issues, disruptions to traffic (e.g., lane closures, detours) and access to property. Describe mitigation and BMPs to be followed. Describe any traffic management plans, if applicable.

U. UTILITY IMPACTS

Identify any existing and proposed utilities in the construction area for the proposed project. If utility impacts would occur (e.g., utility relocations, service disruption) due to the construction, describe the impacts and mitigation measures, as applicable.

V. CUMULATIVE AND INDIRECT IMPACTS

While very rare on a project that qualifies as a CE, there is the potential for cumulative and/or indirect impacts to environmental resources present in the vicinity of the project. The proposed project should be reviewed to determine whether the impacts resulting from its construction and operation would result in future impacts to a particular resource(s) or in conjunction with impacts from other activities, would result in the loss of a resource due to the additive effect of the impacts. Describe any potential for cumulative or indirect impacts as a result of the proposed project. Cumulative and indirect impacts are defined as follows:

- a) [Cumulative Impacts](#) result from the incremental impact of the action when added to other past, present, and reasonably foreseeable future actions regardless of what agency (Federal or non-Federal) or person undertakes such other actions. Cumulative impacts can result from individually minor but collectively significant actions taking place over a period of time.
- b) [Indirect impacts](#) are caused by the action and are later in time or farther removed in distance, but are still reasonably foreseeable. Indirect impacts may include growth inducing effects and other effects related to induced changes in the pattern of land use, population density or growth rate, and related effects on air, water and other natural systems, including ecosystems.

W. PUBLIC OUTREACH AND AGENCY COORDINATION

Briefly describe public outreach efforts and/or federal/state/local agency coordination undertaken for the proposed project. Indicate opportunities for public meetings, hearings, (e.g., board meetings, open houses, special hearings) and summarize public comments received. Indicate any significant concerns expressed by the public or agencies regarding the proposed project. Describe any notifications made locally; including if information available on a website. Note: FTA does not have standards for public notification for CE projects. Typically a c-list CE does not require public outreach, unless there is strong public interest and/or its required under another environmental law (e.g., Section 106).

X. STATE AND LOCAL PERMITS, POLICIES AND ORDINANCES

Identify any state and/or local policies, ordinance, permits, etc. that must be followed or obtained prior to construction. Indicate the timeframe for compliance.



608 E Boulevard Ave
 Bismarck, North Dakota 58505-0700

RELEASE OF CONTINUING CONTROL

The _____ (Agency Name) seeks to divest itself of a vehicle used in its Transportation Program purchased with a grant from the North Dakota Department of Transportation (NDDOT) using Federal Transit Administration (FTA) pass-through funding. As a condition of the grant agreement with NDDOT, the _____ (Agency Name) certifies that the vehicle has been used in the manner described in the grant agreement, and that this vehicle has exceeded its minimum useful life according to FTA useful life standards or has NDDOT disposition approval. Said vehicle is further described below:

VEHICLE DESCRIPTION: _____
 (Make, Model, and Year)

VEHICLE IDENTIFICATION NUMBER (VIN): _____

ODOMETER READING: _____ MILES

REASON FOR RELEASE: _____

CONDITION OF VEHICLE: GOOD FAIR POOR

After the service life of equipment is reached, equipment with a current market value exceeding \$5,000 per unit, or unused supplies with a total aggregate fair market value of more than \$5,000, may be retained or sold, with reimbursement to FTA of an amount calculated by multiplying the total aggregate fair market value at the time of disposition, or the net sale proceeds, by the percentage of FTA's participation in the original grant.

Equipment with a unit market value of \$5,000 or less, or supplies with a total aggregate market value of \$5,000 or less, may be retained, sold or otherwise disposed of with no obligation to reimburse FTA, providing useful service life requirements have been met. Records of this action must be retained.

With prior FTA approval, the grantee may elect to use the trade-in value or the sales proceeds to offset the cost to acquire a replacement vehicle, applying 100 percent of the net proceeds to acquisition of the replacement vehicle/s. (See 49 CFR, Part 18.32; and Federal Register pp. 39328/39329, dated August 28, 1992). Remaining cost differences, if more than the proceeds, are to be met by the grantee. Excess proceeds, if any, are returned to FTA minus a deduction for pro-rata local share.

With prior FTA approval, the grantee may sell equipment or supplies and use the proceeds to reduce the gross project cost of other FTA eligible capital transit projects. [49 U.S.C., 5334(h)(4)] The grantee is expected to record the receipt of the proceeds in the grantee's accounting system, showing that the funds are restricted for use in a subsequent capital project, and reduce the liability as the proceeds are applied to one or more FTA approved, capital projects. The subsequent capital grant application should contain information showing FTA that the gross project cost has been reduced with proceeds from the earlier transaction.

The FTA, through the North Dakota Department of Transportation, hereby releases any and all interest in the above listed vehicle with the understanding that said vehicle has met or exceeded its useful life or had NDDOT Transit disposal approval, and is thereby no longer bound to the terms and conditions set forth in the original grant agreement between NDDOT and _____ (Agency Name).

AGENCY

NDDOT TRANSIT PROGRAM

 Signature

 Signature

 Date of Request

 Date of Release

<https://www.dot.nd.gov/divisions/localgov/transit-operator-portal.htm>

PROCUREMENT MANUAL
FOR

Name of Transit Agency

DATE:

North Dakota Department Of Transportation



TITLE VI COMPLIANCE REVIEW

Transit Agency:

Reviewers:

Site Review Date:

File Review Date:

Table of Contents

Attendance Sheet	2
Notice to the Public	2
Complaint Form and Instructions	3
Title VI Complaints, Investigations and Lawsuits	3
Public Participation	4
Limited English Proficiency (LEP)	5
Planning & Advisory Boards	7
Subrecipients	7
Facility Location Equity Analysis	8
Fixed-Route System-wide Service Standards	8
Vehicle Load (Capacity) Standards	8
Vehicle Headway Standards	9
On-Time Performance Standards	9
Service Availability Standards	10
Fixed-Route System-Wide Policies	10
Reviewer Comments	Err
or! Bookmark not defined.	

1. Did you utilize the NDDOT template to create your Title VI Notice or develop your own?	Click here to enter text.	
2. Does the notice include all of the required information?	Click here to enter text.	
a. Statement identifying discrimination of race, color, and national origin	Click here to enter text.	
b. Agency name	Click here to enter text.	
c. Contact person	Click here to enter text.	
d. Phone number	Click here to enter text.	
e. Website, if applicable	Click here to enter text.	
3. Please describe where the notices are posted. Do public information materials such as signs on buses, schedule, brochures, and your agency's website notify beneficiaries of their protections under Title VI?	Click here to enter text.	
4. Are notices posed in all vehicles?	Click here to enter text.	

Complaint Form and Instructions

FTA requires each subrecipient to have form and instructions for the public to follow for the public to use when filing a Title VI complaint.

1. Did you utilize the NDDOT template to develop your complaint form and instructions or did you develop your own?	Click here to enter text.	
2. Has the complaint form been translated into other languages? If yes, what languages?	Click here to enter text.	
3. Do you have resources available to translate into other languages if requested?	Click here to enter text.	
4. Is the complaint form accessible to the public? If yes, how can the public access the form?.	Click here to enter text.	

Title VI Complaints, Investigations and Lawsuits

FTA requires that the Title VI program include a list of transit-related Title VI complaints, investigations and lawsuits. NDDOT must be informed whenever there is a Title VI complaint filed. Please note that Equal Employment Opportunity (EEO) and Americans with Disabilities Act (ADA) complaints are not

supported by FTA, so do not list complaints of those type on this form. If the agency is part of a city, county, or human service agency, only list Title VI complaints, investigations, or lawsuits related to transit services. NDDOT utilizes SFN: 60805 for reporting Title VI complaints.

1. Has your agency uploaded SFN: 60805 Transit Title VI – List of Investigations, Lawsuits, and Complaints form into Black Cat Grants System as part of the application process?	Click here to enter text.	
2. How does your transit agency track complaints and determine if they are related to Title VI or other non-discrimination directives?	Click here to enter text.	
3. Who investigates complaints?	Click here to enter text.	
4. Since submitting the last grant application, have you had any Title VI complaints, investigations, or lawsuits related to your transit agency?	Click here to enter text.	

Public Participation

FTA requires that the Title VI Program include a public participation plan that includes an outreach plan to engage minority and Limited English Proficient (LEP) populations. The plan may include other constituencies that are traditionally underserved, such as people with disabilities, low-income populations, and others. NDDOT applicants for FTA assistance are required to comply with several requirements to help meet this Title VI requirement. Requirements include the published notice of intent to apply to NDDOT for FTA assistance and 5310 applicants must participate in public transit-human services transportation coordinated plan development. Other public participation methods include open board/council meetings, council meetings of cities and counties that provide local funding, transit/client advisory committees, public involvement efforts for Transit Development Plans (TDPs), passenger surveys, marketing efforts such as booths at fairs, and presentations to service and other organizations.

1. Did you utilize the NDDOT template to create your Public Participation Plan or develop your own?	Click here to enter text.	
2. Did your board approve your Public Participation Plan?	Click here to enter text.	
3. Has your agency implemented substantial service or fare changes in the past 3 years? If yes, was the opportunity provided for a public hearing and public comment?	Click here to enter text.	
4. How are individual's provided opportunities to participate in the transit planning and decision-making	Click here to enter text.	

process without regard to race, color, and national origin?		
5. Has the need for transportation improvements been expressed? If yes, please describe.	Click here to enter text.	
6. What outreach efforts were undertaken to identify minority persons, low-income persons, the elderly, and persons with disabilities? What roles did they play in the planning process?	Click here to enter text.	
7. How does your transit agency assess service and interact with the public? (i.e. suggestion boxes, rider surveys, rides taken by board members or management staff, etc.)	Click here to enter text.	
8. Have any public hearings, for any reason, been held in the past 3 years?	Click here to enter text.	
9. Are board/council meetings open to the public?	Click here to enter text.	
10. How do you publicize the dates, times, and location of board/council meetings?	Click here to enter text.	
11. Where are the board/council meetings held?	Click here to enter text.	
12. Is the location accessible to persons with disabilities?	Click here to enter text.	
13. Is transit services available to the location and during the hours of the board/council meetings? If yes, please describe. If no, do you offer transportation to the meetings upon request?	Click here to enter text.	
14. What other efforts have been made to ensure that the transit riders or clients can attend board/council meetings?	Click here to enter text.	
15. Do you rely on any counties or cities for funding? If yes, please describe how interest parties can comment on your budget and services at city and county council meetings.	Click here to enter text.	

Limited English Proficiency (LEP)

FTA requires that the Title VI program include a plan for providing language assistance to LEP persons. An LEP person is someone “who speaks English less than very well”, as per US Census Bureau designation.

<p>1. Did you utilize the NDDOT template to create your LEP Plan or develop your own?</p>	<p>Click here to enter text.</p>	
<p>2. Was your LEP Plan approved by your board?</p>	<p>Click here to enter text.</p>	
<p>3. Do you provide services to areas with minorities and LEP populations?</p> <p>Is it the same level and quality of service that is provided in areas without minority or LEP populations?</p> <p>Please provide a copy of the materials used to promote your service to minority and LEP populations.</p>	<p>Click here to enter text.</p>	
<p>4. Has your transit agency assessed and addressed the ability of persons with LEP to use transit services?</p>	<p>Click here to enter text.</p>	
<p>5. What census data was used for the 4 Factor Analysis?</p>	<p>Click here to enter text.</p>	
<p>6. What is the frequency of contact with LEP persons and the languages spoken by these persons?</p>	<p>Click here to enter text.</p>	
<p>7. Provide description of service (type, days, and hours), and major activity centers served (communities, employers, park and ride lots, government and human service agencies, medical facilities, shopping centers, and recreation facilities).</p>	<p>Click here to enter text.</p>	
<p>8. Do any staff members speak languages other than English?</p> <p>If yes, what language?</p> <p>Does transit agency utilize staff members to translate?</p>	<p>Click here to enter text.</p>	
<p>9. Have you translated documents into Spanish or another language?</p> <p>If yes, list the documents and languages they are translated into.</p>	<p>Click here to enter text.</p>	
<p>10. What other language assistance efforts have you used? Such as, I Speak Cards, Google Translate, etc.</p>	<p>Click here to enter text.</p>	
<p>11. Has your agency made arrangements with other organizations to provide language assistance efforts?</p>	<p>Click here to enter text.</p>	

If yes, what organizations and what services?		
12. How are LEP persons notified of language assistance services?	Click here to enter text.	
13. Discuss outreach programs (travel training, school presentations, community presentations, etc.) efforts to potentially reach LEP persons.	Click here to enter text.	
14. How do you monitor and evaluate language assistance efforts?	Click here to enter text.	
15. What training has been provide to your employees for language assistance?	Click here to enter text.	
16. What is your annual estimated cost of language assistance efforts to the agency?.	Click here to enter text.	

Planning & Advisory Boards

FTA requires that the Title VI program present the racial make-up of all transit-related, non-elected planning boards, advisory councils or committees, or similar committees, the membership of which is selected by the subrecipient, and a description of the efforts to encourage the participation of minorities on such committees.

1. List all transit-related boards and committees and the purpose of each.	Click here to enter text.	
2. How are members selected?	Click here to enter text.	
3. What is the racial make-up of each board and committee?	Click here to enter text.	
4. What efforts are undertaken to encourage participation of minorities on these committees?	Click here to enter text.	

Subrecipients

FTA requires the Title VI program to include procedures for monitoring subrecipients for compliance with Title VI.

1. Does your transit agency provide any FTA funds to any other transit-related agency? If yes, they would be considered a subrecipient. Please list them.	Click here to enter text.	
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2. How does your transit agency monitor subrecipients for compliance with Title VI?	Click here to enter text.	
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Facility Location Equity Analysis

FTA requires the Title VI program to include procedures for ensuring an equity analysis of facility locations is conducted during the planning for a construction of a new facility. The NDDOT Transit Section ensures compliance with this requirement when providing FTA funding for a new facility.

The remaining questions only apply to operators of fixed-route service. Subrecipients that only provide demand-response service stop here.

Fixed-Route System-wide Service Standards

1. What types of fixed-route bus service to you provide?		
a. Local Fixed Route - Services provided on a repetitive, fixed schedule basis along a specific route with vehicles stopping to pick-up and deliver passengers to specific locations; each fixed route trip serves the same origins and destinations.	Click here to enter text.	
b. Deviated Fixed Route - Transit service that operates along a fixed alignment or path at generally fixed times, but may deviate from the route alignment to collect or drop off passengers who have requested the deviation.	Click here to enter text.	
c. Commuter - Fixed-route bus systems that are primarily connecting outlying areas with a central city through bus service that operates with at least five miles of continuous closed-door service. This service may operate motor coaches (aka over-the-road buses), and usually features peak scheduling multiple-trip tickets and limited stops in the central city.	Click here to enter text.	
d. School Tripper - Additional capacity that an agency adds to an existing public transit route to meet the demands of traveling students. Is the additional service is open to the general public?	Click here to enter text.	

Vehicle Load (Capacity) Standards

Vehicle load is best described as the ratio of passengers to the total number of seats on a vehicle. Transit providers that operate multiple modes of transit must describe the specific vehicle load standards for peak and off-peak times for each mode of fixed route transit service (i.e. bus, express, buss, bus rapid, etc. as applicable) as the standard may differ by mode.

1. Have you adopted vehicle capacity standards? If yes, what are they?	Click here to enter text.	
2. Do you allow standees on buses for each type of service provided? If no, please explain.	Click here to enter text.	
3. Are standees allowed on buses at all times of day (peak and off-peak)?	Click here to enter text.	
4. Have you adopted the manufacture's capacity standards for seating and standing passengers?	Click here to enter text.	
5. Do you regularly have standees on buses? If yes, do you have plans to increase the amount of services to reduce the number of standees?	Click here to enter text.	

Vehicle Headway Standards

Vehicle headway is the amount of time between two vehicles traveling in the same direction on a given line or combination of lines. A shorter headway corresponds to more frequent service. Vehicle headways are measured in minutes (e.g., every 15 minutes); service frequency is measured in vehicles per hour. Headways and frequency of service are general indications of the level of service provided along a route. Vehicle headway is one component of the amount of travel time expended by a passenger to reach his/her destination. A vehicle headway standard is generally expressed for peak and off-peak service as an increment of time (peak: every 15 minutes; and off-peak: every 30 minutes).

1. Have you adopted vehicle headway standards? If yes, what are they?	Click here to enter text.	
2. What are the headways for each type of fixed-route service?	Click here to enter text.	
3. Are the headways the same for peak and off-peak hours? If no, describe the differences.	Click here to enter text.	
4. What are the headways for evening service?	Click here to enter text.	
5. What are the headways for Saturday and Sunday service?	Click here to enter text.	
6. How do you set the headways?	Click here to enter text.	

On-Time Performance Standards

On-time performance is a measure of runs completed as scheduled. The provider must first define what is considered to be “on-time”. On-time performance can be measured against route origins and destinations only, or against origins and destinations as well as specified time points along the route. An

acceptable level of performance must be defined (expressed as a percentage). The percentage of runs completed system-wide or on a particular route or line within the standard must be calculated and measured against the level of performance for the system.

1. What is your on-time performance standard(s)?	Click here to enter text.	
2. Have you set a system-wide goal for on-time performance? If yes, what is the goal?	Click here to enter text.	
3. Do you have problems with on-time performance	Click here to enter text.	

Service Availability Standards

Service availability is a general measure of the distribution of routes within a transit provider’s service area. A standard might also indicate the maximum distance between stops between stations or stops. These measures related to coverage and stop/station distances might vary by population density.

1. What criteria are used to decide where to locate local fixed-route service?	Click here to enter text.	
2. Do you provide general public demand response service in areas serviced by fixed routes? If no, how far from the fixed-routes do you provide general public demand-response service?	Click here to enter text.	
3. Describe spacing of bus stops, if used.	Click here to enter text.	
4. Describe your policy regarding activity centers served (employers, shopping centers, hospitals, clinics, senior housing centers, city halls, etc.).	Click here to enter text.	

Fixed-Route System-Wide Policies

FTA requires operators of fixed-route service to set system-wide policies for each fixed-route mode of service provided and include the policies in the Title VI program. The policies must address distribution of service amenities, such as passenger shelters, and the assignment of buses to garages and routes.

1. Describe the passenger amenities, such as passenger shelters, benches, and waste receptacles and where they are located.	Click here to enter text.	
2. How do you determine where to place each type of passenger amenity?	Click here to enter text.	
3. How and where do you distribute route and schedule information?	Click here to enter text.	

4. What kind of route and schedule information, if any, is provided at the bus stops?	Click here to enter text.	
5. Discuss implementation or plans for electronic/passenger information for bus departures and arrivals, if any.	Click here to enter text.	
6. Discuss the number of bus garages/storage locations. How are buses allocated to the different locations? If only one location, respond "N/A".	Click here to enter text.	
7. How are buses assigned to routes?	Click here to enter text.	

Findings after Compliance Review:

_____ Transit Agency was In Compliance

Date letter was sent to Transit Agency _____

_____ Transit Agency was In Compliance Upon Modification/Attention and Follow Up is needed

Date letter was sent to Transit Agency _____

Date given to have findings returned to NDDOT _____

Date requested material was returned to NDDOT _____

_____ Non Compliance

Major items need immediate attention or risk loss of funding

Date letter was sent to Transit Agency _____

Date given to have findings returned to NDDOT _____

Date requested material was returned to NDDOT _____

Date was sent to Transit Agency notifying In Compliance status _____

NDDOT Transit Reviewer

Date

	TOTAL				0
C.	PAYMENTS ON ONGOING CONTRACTS	Total Number of Contacts	Total Dollars Paid	Total Number of Contracts with DBEs	Total Payments to DBE Firms
	Contracts currently in progress				
D.	TOTAL PAYMENTS ON CONTRACTS COMPLETED THIS REPORTING PERIOD	Number of Contracts Completed	Total Dollars on Contracts Completed		
	DBE				
	Non-DBE				
	TOTAL				

INSTRUCTIONS:

- Report only the type of work or products purchased with federal funds received from the NDDOT Transit Office at the federal split for the purchase. (i.e. Operating 50%; Administration 80%; and Capital 80%)*
1. *Report only the type of work or products purchased with federal funds received from the NDDOT Transit Office at the federal split for the purchase. (i.e. Operating 50%; Administration 80%; and Capital 80%)*
 2. *Verify DBE firm is current using the DBE Directory found at <https://dotnd.diversitycompliance.com/?TN=dotnd>.*
 3. *Enter the category that pertains to the purchase. If "Other" is used, specify the type of work or products purchased. If you need to add more lines in Section B., right click on a line within section and select "Insert". Add as many lines as you need for the reporting period.*
 4. *After you have created the DBE report in BlackCat, upload the spreadsheet under Support Documents prior to certifying and submitting report.*
 5. *report.*

ADDITIONAL INFORMATION FOR COMPLETING THE SECTIONS ABOVE:

Contracts awarded/committed would include all purchase orders/invoices issued during this contracting period. Purchase orders must include all FTA clauses that apply to the purchase. Only include the FTA amount of the contract (Operating 50%; Administration 80%; or

A. *Capital 80%)in the totals entered.*

Purchase orders issued and paid during the reporting period would also be included in Contacts Completed this reporting period

B. *Include all Contracts/POs/Invoices awarded and supporting information including date of award, Grant, Category, amount of award and DBE participation.*

C. *Include all payments made on ongoing contracts.*

Include all payments made on closed contracts. This would include all Pos/Invoices paid since they are considered a closed contract upon

D. *payment.*

**North Dakota Department of Transportation
Transit Section - Annual Compliance Review
Vehicle Inspection Checklist**

EXHIBIT I

Inspection Date:		Check If Re-Inspection		Region: 8	
Vehicle Year:	Vehicle Make:	Vehicle Type (check one) <input type="checkbox"/> Car <input type="checkbox"/> Van <input type="checkbox"/> Bus <input type="checkbox"/> Other			Vehicle unit #:
Vin #			Odometer Reading:		
Front License Plate #			Rear License Plate #		
Vehicle Color:					
Vehicle Owner:				Office Location:	
Driver License Info		Last Name:		First Name:	
Operator's License		Number:		License Class:	
				State:	

Mark With An X If Defective, Otherwise Mark With A ✓

LIGHTING

- | | | | |
|---|---|--|--|
| <input type="checkbox"/> RF Turn Signal | <input type="checkbox"/> R Headlight - High | <input type="checkbox"/> L Break Light | <input type="checkbox"/> LR Turn Signal |
| <input type="checkbox"/> LF Turn Signal | <input type="checkbox"/> L Headlight - High | <input type="checkbox"/> R Break Light | <input type="checkbox"/> RR Turn Signal |
| <input type="checkbox"/> RF Parking Light | <input type="checkbox"/> R Headlight - Dim | <input type="checkbox"/> RR Tail Lamp | <input type="checkbox"/> Emergency Flasher |
| <input type="checkbox"/> LF Parking Light | <input type="checkbox"/> L Headlight - Dim | <input type="checkbox"/> LR Tail Lamp | <input type="checkbox"/> Backup Lights |
| <input type="checkbox"/> Interior Light (passenger compartment) | | | |

GENERAL

- | | | | |
|---|---|---|---|
| <input type="checkbox"/> Tire Tread Depth | <input type="checkbox"/> Two Way Radio/Cell Phone | <input type="checkbox"/> Anti-Skid Floor | <input type="checkbox"/> Vehicle Exterior Clean |
| <input type="checkbox"/> L Exterior Rearview Mirror | <input type="checkbox"/> Horn | <input type="checkbox"/> Vehicle Registration | <input type="checkbox"/> Vehicle Interior Clean |
| <input type="checkbox"/> R Exterior Rearview Mirror | <input type="checkbox"/> AC/Heating | <input type="checkbox"/> Insurance Card | <input type="checkbox"/> Accident Procedures |
| <input type="checkbox"/> Rear View Mirror | <input type="checkbox"/> Windows | | |

SAFETY EQUIPMENT

- | | | | |
|--|--|--|--|
| <input type="checkbox"/> Seat Belts | <input type="checkbox"/> Seatbelts Required Sign | <input type="checkbox"/> First Aid Kit | <input type="checkbox"/> No Smoking or Eating Sign |
| <input type="checkbox"/> Seat Belt Extension | <input type="checkbox"/> Non-Slip Step Stool | <input type="checkbox"/> Spill Kit | <input type="checkbox"/> Fire Extinguisher |
| <input type="checkbox"/> Seat Belt Cutter | <input type="checkbox"/> Three Road Triangles | <input type="checkbox"/> Parking Brake | <input type="checkbox"/> Title VI Sign |

LIFT EQUIPPED VEHICLE REQUIREMENTS (vehicles 1992 or newer must meet ADA requirements below)

- | | |
|--|---|
| <input type="checkbox"/> Engine/Wheelchair Interlock System | <input type="checkbox"/> Platform Tilt of 1" or Less (loaded) |
| <input type="checkbox"/> Lift Capacity of at Least 600 Pounds | <input type="checkbox"/> Wheelchair Tie-Downs (less than 2" chair movement) |
| <input type="checkbox"/> Automatic Anti-Roll-Off Barrier | <input type="checkbox"/> Wheelchair Seatbelts (must be anchored to vehicle) |
| <input type="checkbox"/> Hand Rails 30-38 Inches Tall | <input type="checkbox"/> Wheelchair Operable Manually/Automatically |
| <input type="checkbox"/> Platform 30 Inches Wide By 48 Inches Long | |

Comments:

W/C Vehicles 22 Feet Or Less

- Floor to Ceiling Height Clearance of 56 Inches

W/C Vehicles Longer Than 22 Feet

- Floor to Ceiling Height Clearance of 68 Inches

VEHICLE: Meets Criteria Needs Repairs Must Be Pulled From Service Until Repairs Are Made

Inspection By:

Location of Inspection:

Title:

County Inspection Conducted:

Organization: NDDOT Transit

Revised 5/22/15

Building Inspection

Date:

Name:

City:

OUTSIDE OF BUILDING	YES	NO	COMMENTS
Concrete/Asphalt/Grounds			
<i>Seasonal/After Adverse Weather</i>			
Is sidewalk free of any cracks or heaves?			
Is sidewalk/steps to door free of any cracks or heaves?			
Is the curb free of any damage? Cracks/Chips/Crumbling?			
Is driveway free of any cracks/heaves/crumbling?			
Are exit doors clear of debris for safe exit?			
Is the landscaping free of any visible problems that may be of concern? Is the land free of holes/damage?			
Is the fence is good repair?			
Winter snow removal/ice removal plan is in place?			
Building			
<i>Inspect Monthly and After Adverse Weather</i>			
Is outside foundation free of any visible cracks?			
Is outside siding free of any visible problems?			
Are the flashing, fascia, vents, chimneys, soffits, gutters free of any visible problems?			
Do all of the downspouts appear to be in working order?			
Is the building in overall, general, good condition?			
Is air conditioning unit free of debris?			
Windows/Doors/Overhead Doors			
Are all the windows/screens free of cracks/chips/rips?			
Do all entrance doors open/close and seal properly?			
Do overhead doors open/close and seal properly? <i>Inspect quarterly, lubricate semi-annually</i>			
Is the ADA ramp, doors, access to building adequate?			

OUTSIDE OF BUILDING	YES	NO	COMMENTS
Plumbing/Electrical			
Do the water hookups work?	<input type="checkbox"/>	<input type="checkbox"/>	
Are outside water connects free of leaks/corrosion?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the outside lights work?	<input type="checkbox"/>	<input type="checkbox"/>	
INSIDE OF BUILDING	YES	NO	COMMENTS
Emergency/Fire/Safety			
Are all exits marked with illuminated exit signs?	<input type="checkbox"/>	<input type="checkbox"/>	
Are all exits free of locks or fastening devices that could prevent free escape?	<input type="checkbox"/>	<input type="checkbox"/>	
Are floor, aisles, and doorways clear and unobstructed for movement of employees?	<input type="checkbox"/>	<input type="checkbox"/>	
Are there smoke/fire detectors?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there a portable fully charged fire extinguisher readily accessible to employees?	<input type="checkbox"/>	<input type="checkbox"/>	Inspection date:
Are fire extinguishers kept in a designated place?	<input type="checkbox"/>	<input type="checkbox"/>	
Heating/Cooling			
Do all heating mechanisms work? (Blowers, radiate heat)	<input type="checkbox"/>	<input type="checkbox"/>	Inspect monthly, check filters, etc
Does the cooling/air conditioning work?	<input type="checkbox"/>	<input type="checkbox"/>	Inspect monthly, inspect outdoor unit monthly
Electrical			
Is the electrical panel free of obstruction and combustibles? 3 foot clearance around panel?	<input type="checkbox"/>	<input type="checkbox"/>	
Is there at least 3 feet in all directions between stored materials and heat producing/duct work/hot water units?	<input type="checkbox"/>	<input type="checkbox"/>	
Are the heat producing/duct work/hot water units clear of paper/cloth/debris?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the building free from an excess accumulation of paper or other flammable material?	<input type="checkbox"/>	<input type="checkbox"/>	
Check GFI outlets.	<input type="checkbox"/>	<input type="checkbox"/>	Test monthly
Electrical cords are in good repair?	<input type="checkbox"/>	<input type="checkbox"/>	
Does all inside lighting work?	<input type="checkbox"/>	<input type="checkbox"/>	

INSIDE OF BUILDING	YES	NO	COMMENTS
Plumbing/Drains			
<i>Inspect Often for Leaks/Corrosion/Blockage</i>			
Does the hot water heater appear to be working? <i>Inspect monthly</i>	<input type="checkbox"/>	<input type="checkbox"/>	
Are water connections free of any leaks/drips/corrosion?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the bathroom faucet work, hot/cold, no drips?	<input type="checkbox"/>	<input type="checkbox"/>	
Does the stool work, no prolonged running, drips?	<input type="checkbox"/>	<input type="checkbox"/>	
Are the sink and toilet free of any cracks or chips?	<input type="checkbox"/>	<input type="checkbox"/>	
Does both the hot and cold water work in every bay area?	<input type="checkbox"/>	<input type="checkbox"/>	
Are all floor drains clean of debris?	<input type="checkbox"/>	<input type="checkbox"/>	
Ceiling/Walls/Floors/Offices			
<i>Inspect Often</i>			
Is the ceiling free of stains or other signs of roof failure? <i>Inspect monthly</i>	<input type="checkbox"/>	<input type="checkbox"/>	
Is any of the floor free of cracks/heaves, trip hazards?	<input type="checkbox"/>	<input type="checkbox"/>	
Are all windows/screens free of cracks/chips/rips?	<input type="checkbox"/>	<input type="checkbox"/>	
Do the walls appear to be undamaged, no holes/marks?	<input type="checkbox"/>	<input type="checkbox"/>	
Is the flooring free from wear and tear, trip hazards?	<input type="checkbox"/>	<input type="checkbox"/>	
Shop/Vehicle/Storage Area			
Is the ventilation system working?	<input type="checkbox"/>	<input type="checkbox"/>	
Are chemicals stored safely and labeled?	<input type="checkbox"/>	<input type="checkbox"/>	
Free of tripping/slipping hazards?	<input type="checkbox"/>	<input type="checkbox"/>	
Is bus washing bay, water, etc., working properly?	<input type="checkbox"/>	<input type="checkbox"/>	
Air/Electric/Hand tools are properly stored?	<input type="checkbox"/>	<input type="checkbox"/>	
Parts/Tires/Equipment properly stored?	<input type="checkbox"/>	<input type="checkbox"/>	
Vehicle lifts/bus lifts work properly? <i>Inspect quarterly</i>	<input type="checkbox"/>	<input type="checkbox"/>	

SUPPLIES		YES	NO	COMMENTS
Bus Washing Supplies -- Inventory Monthly		<input type="checkbox"/>	<input type="checkbox"/>	
Garbage Bags		<input type="checkbox"/>	<input type="checkbox"/>	
Paper towels		<input type="checkbox"/>	<input type="checkbox"/>	
Cleaning Supplies- Glass cleaner, Lysol, etc.		<input type="checkbox"/>	<input type="checkbox"/>	
Paper supplies - Toilet paper, Kleenex, etc.		<input type="checkbox"/>	<input type="checkbox"/>	
Shovel		<input type="checkbox"/>	<input type="checkbox"/>	
Broom		<input type="checkbox"/>	<input type="checkbox"/>	
Squeegee		<input type="checkbox"/>	<input type="checkbox"/>	
PAPERWORK SUPPLIES		YES	NO	COMMENTS
Pre-Trip or Post-Trip Inspection Sheets		<input type="checkbox"/>	<input type="checkbox"/>	
Vehicle Reports		<input type="checkbox"/>	<input type="checkbox"/>	
Rider Sheets		<input type="checkbox"/>	<input type="checkbox"/>	
Medicaid Slips		<input type="checkbox"/>	<input type="checkbox"/>	
SDS Book		<input type="checkbox"/>	<input type="checkbox"/>	
MISCELLANEOUS		YES	NO	COMMENTS
Title VI signage -- visible		<input type="checkbox"/>	<input type="checkbox"/>	
ADA equipment/ramp		<input type="checkbox"/>	<input type="checkbox"/>	
Clean-up kit/first aid kit		<input type="checkbox"/>	<input type="checkbox"/>	
Surge protectors/extension cords		<input type="checkbox"/>	<input type="checkbox"/>	
<input type="checkbox"/> EXCELLENT	<input type="checkbox"/> GOOD	<input type="checkbox"/> MODERATE/ <input type="checkbox"/> ADEQUATE		<input type="checkbox"/> MARGINAL <input type="checkbox"/> POOR

North Dakota Department of Transportation

Federal Section 5310 Compliance and Good Practices Review

Transit Agency:

Location:

Reviewer(s):

Site Review Date:

Table of Contents

Purpose and Directions	3
Attendance Sheet	5
Administration and Management.....	6
Managerial Capacity	6
Financial Management	7
Satisfactory Continuing Control	7
Procurement	9
Debarment/Suspension	10
Lobbying.....	11
Equal Employment Opportunity (EEO)	11
Training and Ridership Services	12
Maintenance	14
Safety and Security	19
ADA	21
School Bus	27
Service Planning	28
Service Eligibility	28
Title VI and Nondiscrimination in the Delivery of Service	29
Public Participation	30
Fixed-Route Systemwide Service Standards (Only complete if your agency provides a Fixed-Route Service).....	31
Human Service Coordinated Plan	31

Purpose and Directions

The North Dakota Department of Transportation (NDDOT) conducts compliance and good practice reviews of state transit agencies to ensure they meet the conditions of receipt of Federal Transit Administration (FTA) assistance, NDDOT program requirements, promote good management practices among public transportation providers, and identify training and technical assistance needs.

NDDOT will conduct the reviews as follows:

NDDOT will email the review document to the Transit Agency. The Transit Agency will return the completed document, answering as many questions as possible and return it to NDDOT. If the question doesn't apply to the transit agency, put "NA" in the response box.

NDDOT will review the Transit Agency's responses, materials, and reports on file at the NDDOT office prior to the site visit. NDDOT will follow up on the responses during the site visit. The site visit presents an opportunity for NDDOT to observe the transit service and operations as well as address any questions the transit staff may have.

In addition to completing the questionnaire, NDDOT will review the following policies and updates. It will not be necessary to send copies of the documents below unless requested by the reviewer.

A compliance review will be conducted every other year with Transit Agencies receiving Section 5310 funds. This will include reviewing the form outlined below during an on-site visitation, and an inspection of the Transit Agencies' fleet and facilities purchased with federal 5310 funds passed through NDDOT. If any major deficiencies or noncompliance issues are identified via the review process, the NDDOT staff may conduct additional reviews as deemed necessary.

Documents to have available at the time of the site visit.

Governance

- 3 – 5+ year plan

Financial Management

- Local Match sources and amounts

Procurement

- Written procurement procedures
- List of items purchased over the \$2,500 threshold with their procurement process

EEO

- Sample job posting and advertisement
- Sample job application

Service Provision

- Service policy/operators' manual

- Proof of training provided (sample)
- Complaint/comment resolution procedures
- Passenger standards of conduct (handbook)

Maintenance

- Vehicle preventive maintenance plan/ TAM
- Vehicle pre-trip checklist
- Facility maintenance plan and inspection checklist

Safety

- Accident procedures and forms
- Safety\Operator policies

ADA

- Complaint process
- Securement\Assistance policies

Nondiscrimination in Delivery of Service

- Complaint procedures

Thank you for your cooperation and we look forward to a productive site visit.

NDDOT Transit Staff.

Attendance Sheet

Name	Title	Phone	Email

Administration and Management

Transit Agencies must have the legal capacity to receive federal and state grants. Transit Agencies must have a designated body legally responsible for the overall organization, management and operation of the transportation system.

Managerial Capacity

Transit Agencies must have the managerial capacity to implement the project, manage grants, and comply with federal and state requirements. To demonstrate managerial capacity, transit agencies must have an appropriate organizational structure; an adequate number of staff to implement the project; management staff with the requisite skills, education, training, and experience; adequate documentation of key policies; a systematic process for determining the number and size of vehicles for the fleet; the ability to submit timely, complete accurate reports, and collect and analyze key performance data.

1. Who is responsible for the day-to-day management of the transit program?	Click here to enter text.	
2. Do you have written procedures that address the following aspects of transportation program management? <i>Grantees should document their transportation policies.</i>	Click here to enter text.	
a) Maintenance plans/TAM plans (required)	Click here to enter text.	
b) Emergency procedures	Click here to enter text.	
c) Safety policies and procedures	Click here to enter text.	
d) Training program	Click here to enter text.	
e) Complaint resolution procedures	Click here to enter text.	
3. Who is responsible for purchasing vehicles? Is there a systematic process for determining the number and size of vehicles for the fleet? Are decisions for expanding the fleet based on ridership projections? If yes, how are the projections developed? <i>NDDOT requires each transit to have a 3 to 5+ year plan for vehicle and facility needs.</i>	Click here to enter text.	
4. Are all required reports submitted on time? Ridership, Claims for payment, Charter, 5310. If no, what are the reasons for the delay? <i>Reviewer – discuss any comments or issues with the reports.</i>	Click here to enter text.	
5. Do you contract with any private operators or other agencies? If yes, please identify. Who is responsible for managing the contract? What procedures are used to ensure that quality service is provided? <i>Transit Agencies must have procedures for managing service contractors to ensure that quality service is provided.</i>	Click here to enter text.	

<p>6. Please describe your staffing and the responsibilities of key staff. Does the number of staff appear appropriate for the number and complexity of tasks and the size of the program/ <i>NDDOT requires that grantees have the sufficient staff to implement the program.</i></p>		
--	--	--

Financial Management

Transit Agencies must have sufficient local resources to provide the required match to carry out a proposed project. Transit Agencies must also have the financial management systems to account for, and report on federal and state assistance. Transit Agencies must practice sound financial management practices.

Financial Capacity		
<p>1. What is your Transit Agency DUNS Number?</p>	<p>Click here to enter text.</p>	
<p>2. List sources and approximate amounts of local funding for operating, capital and operating bus expenses. Are the sources of local funding sufficient to operate the project and maintain transit’s assets? <i>Transit Agencies must have sufficient local resources to carry out the proposed project and maintain project equipment.</i></p>	<p>Click here to enter text.</p>	

Satisfactory Continuing Control

Transit Agencies must maintain control of FTA-funded equipment and facilities and use them for public transportation purposes. Transit Agencies must obtain prior written approval from NDDOT before purchasing a vehicle, or prior to selling, transferring, leasing, or disposing of vehicles that have not met the useful life benchmark and have been purchased with Section 5310 funds that have passed through the NDDOT. The fleet should be appropriate for the type of service, ridership volumes, and scheduling patterns. The vehicle spare ratio must be reasonable for the type of service, the size and age of the fleet, service demand, and current and projected ridership. Transit Agencies should have at minimum, a 3-5+ year fleet replacement plan.

<p>1. Total number of vehicles in your fleet? How many were funded with NDDOT assistance? How many vehicles are ADA accessible?</p>	<p>Click here to enter text.</p>	
<p>2. How often is the maximum number of vehicles required?</p>	<p>Click here to enter text.</p>	

3. Are the vehicles used appropriately for the type of service, ridership volumes, and scheduling patterns?	Click here to enter text.	
4. Do you anticipate additional ridership in the next 3 years? If yes, by how much?	Click here to enter text.	
5. Have “back-up” arrangements been made to deliver service when breakdowns occur or during peak service times?	Click here to enter text.	
6. What is the average age of the fleet?	Click here to enter text.	
7. What is the average mileage of the fleet?	Click here to enter text.	
8. Have you sold or disposed of any FTA-funded vehicles in the past year? If yes: Please list the vehicles. Did you obtain approval from NDDOT? <i>NDDOT requires that Transit Agencies obtain approval before selling or disposing of vehicles on which it holds federal interest.</i>	Click here to enter text.	
9. If any vehicles are leased did NDDOT approve the leases in writing?	Click here to enter text.	
Insurance		
10. Has an updated proof of insurance on each vehicle been provided to NDDOT? <i>NDDOT requires that Transit Agencies provide annual proof of insurance on FTA-funded equipment.</i>	Click here to enter text.	
11. Do you have a combined single limit of coverage of at least \$1 million? What general liability insurance coverage do you have on FTA-funded facilities? <i>NDDOT requires Transit Agencies to maintain a minimum of a combined single limit of coverage of \$1 million on vehicles.</i>	Click here to enter text.	
Inventory and Controls		
12. What procedures and practices are used to prevent loss, damage, or theft of property and inventory? Examples of procedures include insurance, locks on doors, controlled access to supplies, fencing, lighting, inventory and tagging of all equipment, and annual physical inventories that are reconciled to inventory lists. <i>Transit Agencies must have procedures to prevent loss, damage, or theft of property and inventory.</i>	Click here to enter text.	

<p>13. Is there a current, complete inventory of all assets purchased with FTA and State funds? <i>After September 1, 2017, NDDOT requires Transit Agencies to track assets, valued at \$5,000+, through the RouteMatch Transit Asset Management Plan (TAM).</i></p>	Click here to enter text.	
<p>14. Is a physical inventory of equipment taken at least annually and reconciled to the inventory records?</p>	Click here to enter text.	

Procurement

Transit Agencies must comply with the relevant sections of FTA C 4220.1F and ND State Procurement Office requirements. Transit Agencies must obtain prior state approval for federally funded purchases of equipment and transportation service contracts.

<p>1. Who is responsible for purchasing/leasing equipment and vehicles?</p>	Click here to enter text.	
<p>2. Are procurement procedures written and approved by the board and NDDOT? <i>Transit Agencies that are private nonprofit agencies must have written procurement procedures submitted by September 1, 2017.</i></p>	Click here to enter text.	
<p>3. Do policies and procedures adequately address such matter as: <i>Required</i></p>	Click here to enter text.	
<p>a. Need and use of formal advertising</p>	Click here to enter text.	
<p>b. Bidding</p>	Click here to enter text.	
<p>c. Negotiating</p>	Click here to enter text.	
<p>d. Use of sole source</p>	Click here to enter text.	
<p>e. Selection procedures</p>	Click here to enter text.	
<p>f. Required signatures</p>	Click here to enter text.	
<p>g. Review of procurement requests to avoid duplicative or unnecessary purchases</p>	Click here to enter text.	
<p>h. Award to responsible bidders/proposers</p>	Click here to enter text.	
<p>i. Protest procedures</p>	Click here to enter text.	
<p>j. Contract administration system</p>	Click here to enter text.	
<p>k. Settlement of contract issues and disputes</p>	Click here to enter text.	
<p>l. Documentation of procurement history</p>	Click here to enter text.	
<p>m. Inclusion of Federal and State Clauses</p>	Click here to enter text.	
<p>4. Are technical specifications prepared at the appropriate level of detail to accommodate competitive bidding and user requirements?</p>	Click here to enter text.	

<i>Required</i>		
5. Are qualified bidders lists and histories maintained for competitive bidding?	Click here to enter text.	
6. What is the dollar threshold for sealed bids?	Click here to enter text.	
7. What are the purchasing procedures for which sealed bids are not required?	Click here to enter text.	
8. Who reviews and approves purchases? What are the dollar thresholds?	Click here to enter text.	
9. Do the above procedures provide for full and open competition? <i>Procurement procedures must provide for free and open competition.</i>	Click here to enter text.	
10. Please list all procurements of \$2,500+ for which the Transit Agency requested state approval since the last site visit.		
Item	Amount	
Click here to enter text.	Click here to enter text.	
Click here to enter text.	Click here to enter text.	
Click here to enter text.	Click here to enter text.	
11. What purchases were made with FTA funds since the last site visit? What procedures were followed for each of the purchases? Were the procedures followed for full and open competition? Examples: fuel, maintenance services, vehicles, construction, professional services. <i>Reviewer, review a sample of procurement files to confirm that the Transit Agency provided for free and open competition.</i>	Click here to enter text.	
12. Was state approval obtained for federally funded equipment purchased directly? <i>NDDOT must approve all equipment purchases.</i>	Click here to enter text.	

Debarment/Suspension

Transit Agencies are prohibited from contracting for goods and services from individuals or organizations that have been suspended or debarred from receiving federally assisted contracts.

Answer these questions only if you received a grant that exceeds \$25,000, and have procured goods and services from sources other than ND State Bid.		
1. Have you become aware of any new information, following the award of a contract or subcontract, that an excluded party is involved in any covered transactions? If yes, did you	Click here to enter text.	

<p>promptly inform NDDOT in writing? <i>Transit Agencies must provide immediate written notice to NDDOT for reporting to FTA if they learn that their certification or the certification of any contractors is no longer valid.</i></p>			
<p>2. Was the required certification clause included in all procurements exceeding \$25,000? <i>The debarment and suspension certification clause must be included in all procurements exceeding the federal small purchase threshold, currently \$25,000.</i></p>	<p>Click here to enter text.</p>		
<p>3. Was the GSA website checked to ensure that the bidder was not debarred or suspended? <i>Transit Agencies must search the Excluded Parties Listing Service at http://www.sam.gov for contracts exceeding \$25,000 before entering into any third party contracts exceeding \$25,000.</i></p>	<p>Click here to enter text.</p>		

Lobbying

Recipients of grants and federal contracts exceeding \$100,000 must certify that they have not, and will not, use federal funds to pay for lobbying. Transit Agencies certify to NDDOT. Contractors certify to the Transit Agency.

<p>Answer these questions only if you received a grant that exceeded \$100,000.</p>		
<p>1. Are FTA funds used for lobbying? <i>Transit Agencies may not use federal funds for lobbying.</i></p>	<p>Click here to enter text.</p>	
<p>2. Have you obtain signed lobbying certifications with procurement solicitations exceeding \$100,000? <i>Transit Agencies must obtain signed lobbying certifications with bids for contracts exceeding \$100,000.</i></p>	<p>Click here to enter text.</p>	

Equal Employment Opportunity (EEO)

Transit Agencies may not discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, age, or physical or mental disability. An EEO program is required of all subrecipients that employ 50 or more transit-related employees AND receive capital or operating assistance in excess of \$1 million or planning assistance in excess of \$250,000 in the previous federal fiscal year.

1. Who is responsible for ensuring that EEO obligations are fulfilled?	Click here to enter text.	
2. Are EEO statements included on your job applications and employment notices? Reviewer - Sample <i>Job applications and employment notices should include an EEO statement.</i>	Click here to enter text.	
3. Does the subrecipient receive federal operating or capital funds in excess of \$1 million or planning assistance funds in excess of \$250,000 and employ 50 or more transit-related employees? <i>* If yes to both, the subrecipient is required to have an EEO program.</i>	Click here to enter text.	

Operation and Service Provisions

Training and Ridership Services

Transit Agencies should have effective procedures to ensure quality service is being delivered to the public. A comprehensive training program is a key component of a quality assurance program. Transit Agencies must have a training program for drivers and must track training that drivers have received. Transit Agencies must monitor service to ensure that drivers follow policy and procedures and provide quality service. While it is required that all drivers who drive 20+ hours per week complete the Passenger Service and Safety (PASS) driver certification program, NDDOT recommends all drivers complete PASS Training.

1. What kind of training do you provide operators/drivers? Schedulers/dispatchers? Is appropriate staff trained in the basics of transit? <i>Good practice</i>	Click here to enter text.	
2. Does the training provided to operators/drivers address:	Click here to enter text.	
a) Defensive driving	Click here to enter text.	
b) Passenger assistance and safety	Click here to enter text.	
c) Operation of lifts or other accessibility features	Click here to enter text.	
d) Correct use of securement devices	Click here to enter text.	
e) Agency policies	Click here to enter text.	
f) How to complete driver paperwork	Click here to enter text.	
g) Substance abuse awareness training	Click here to enter text.	
3. Are files maintained that document when training was received and when refresher training is needed? <i>Transit Agencies must track training received by operator.</i>	Click here to enter text.	

<p>4. For demand-response service, what are the procedures for scheduling and dispatching trips? Have any trips been denied? If yes, are they tracked and periodically reviewed by management?</p> <p><i>Good practice</i> Reviewer – please review passenger trip logs.</p>	Click here to enter text.	
<p>5. Are basic transit measurements reviewed? If yes, what key management decisions have been made with the data?</p> <p><i>Good practice</i></p>	Click here to enter text.	
a. Revenue miles	Click here to enter text.	
b. Revenue hours	Click here to enter text.	
c. Total passengers	Click here to enter text.	
d. Total seats available per hour and per mile	Click here to enter text.	
e. Total fares	Click here to enter text.	
f. Total cost	Click here to enter text.	
g. Cost per mile	Click here to enter text.	
h. Cost per hour	Click here to enter text.	
i. Average cost per passenger	Click here to enter text.	
<p>6. List the annual ridership figures for the past 3 years below. Please explain why ridership is increasing, decreasing, or staying the same.</p>	Click here to enter text.	
Year	Ridership	Elderly & Disabled Rides
Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.
Click here to enter text.	Click here to enter text.	Click here to enter text.
<p>7. How are passenger complaints logged and resolved? What is your Agency’s policy on the timeline to address complaints?</p> <p><i>Good practice</i></p>	Click here to enter text.	
<p>8. Do you have a Rider Handbook governing standards of behavior by passengers on buses and transit property?</p> <p><i>Good practice</i></p>	Click here to enter text.	

<p>9. Has there been any significant changes in service that has been implemented since the last compliance review? If yes, please describe.</p>	<p>Click here to enter text.</p>	
<p>10. Reviewer – address any ridership concerns.</p>	<p>Click here to enter text.</p>	

Maintenance

Transit Agencies must maintain FTA-funded equipment and facilities and must have a written maintenance plan. As of September 1, 2017 Transit Agencies must follow the State TAM Plan or a plan approved by the NDDOT. Transit Agencies must maintain equipment and facilities at a high level of cleanliness, safety, and mechanical soundness. Through the TAM Plan, Transit Agencies will have procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections in a timely manner. Transit Agencies must have a pre-trip inspection program that addresses vehicle condition, appearance, cleanliness, and safety. Deficiencies noted in a pre-trip inspection must be repaired in a timely manner, properly reviewed by management, and maintain in the TAM Plan.

Vehicle Maintenance		
<p>1. Reviewer – Review vehicle preventive maintenance in TAM prior to onsite visit. Note deficiencies for each file inspected.</p>	<p>Click here to enter text.</p>	
<p>2. Who is responsible for maintenance? Is the person qualified for the responsibility?</p>	<p>Click here to enter text.</p>	
<p>3. Do preventive maintenance schedules for each type of vehicle in the fleet meet the manufacturers’ minimum requirements? <i>Preventive maintenance schedule must meet manufacturers’ minimum requirements.</i></p>	<p>Click here to enter text.</p>	
<p>4. Is a preventive maintenance program in place for lifts and other accessibility features such as ramps, public announcement systems, and annunciators? <i>Transit Agencies must maintain all accessibility features and equipment in optimal operating condition.</i></p>	<p>Click here to enter text.</p>	

<p>5. What procedures are used to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections? <i>Transit Agencies must have procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance in a timely manner.</i></p>	<p>Click here to enter text.</p>	
<p>6. Reviewer - Review the files for the same vehicle(s) reviewed in question 1. Does the review of the maintenance records indicated that at least 80 percent of the inspections are performed on time? Allow a 10 percent variance, when deciding whether an inspection was performed on time. <i>NDDOT recommends that at least 80 percent of preventive maintenance inspections must be performed at the intervals required by the plan.</i></p>	<p>Click here to enter text.</p>	
<p>7. Are pre-trip inspections conducted prior to placing a vehicle in service? Reviewer – sample review <i>Pre-trip inspections must be conducted prior to placing a vehicle in service. The pre-trip inspection form must address safety; vehicle operation; appearance; cleanliness; and passenger comfort.</i></p>	<p>Click here to enter text.</p>	
<p>8. Are deficiencies noted in pre-trip inspections repaired in a timely manner and properly reviewed by management? How does the agency document maintenance activity performed to correct the reported defect?</p>	<p>Click here to enter text.</p>	
<p>9. Does the pre-trip inspection program address lifts and other accessibility features, such as ramps, public announcement systems, and tie-downs? <i>Transit Agencies must have a regular system of checks and inspections for lifts and other accessibility features.</i></p>	<p>Click here to enter text.</p>	

<p>10. When a lift is found to be inoperative, is the vehicle taken out of service by the beginning of the next service day and repaired before returning to service? What alternative arrangements are made for riders? <i>Transit Agencies must remove vehicles with inoperative lifts from service before the next day unless no spare is available and taking the vehicle out of service would reduce the level of service.</i></p>	<p>Click here to enter text.</p>	
<p>11. If a vehicle with an inoperable lift is kept in service, is it repaired within 5 days from the day which the lift is found to be inoperable? If no, why not? <i>Transit Agencies in areas of less than 50,000 must repair the lift within 5 days.</i></p>	<p>Click here to enter text.</p>	
<p>12. Are FTA-funded vehicles leased to providers? If yes, does the lease agreement require the lessee to adhere to NDDOT maintenance standards? <i>NDDOT requires Transit Agencies that lease FTA-funded vehicles to providers to require the lessee to adhere to NDDOT's maintenance standards.</i></p>	<p>Click here to enter text.</p>	
<p>13. Are work orders or histories maintained that document the work performed, parts used, time spent, mileage, and date? <i>After September 1, 2017 this must be documented in the TAM Plan.</i> <i>Good practice</i></p>	<p>Click here to enter text.</p>	
<p>14. Is there a system for identifying and pursuing warranty claims effectively and promptly to conclusion? <i>Good practice</i></p>	<p>Click here to enter text.</p>	
<p>15. Is there a system for responding to recalls? <i>Good practice</i></p>	<p>Click here to enter text.</p>	
<p>16. Is the preventive maintenance program reviewed for costs and effectiveness? <i>Good practice</i></p>	<p>Click here to enter text.</p>	
<p>17. Are there indicators of repetitive occurrences of a particular type of problem in any one make of rolling stock? <i>Good practice</i></p>	<p>Click here to enter text.</p>	
<p>18. Are maintenance histories for the fleet reviewed to uncover trends or problems?</p>	<p>Click here to enter text.</p>	

<p>19. Has a maintenance quality control or assurance program been implemented to verify the execution and quality of repairs, examine the quality of new and used parts used in repairs, and ensure that repairs are fully documented?</p>	<p>Click here to enter text.</p>	
<p>20. Where are transit vehicles stored?</p>	<p>Click here to enter text.</p>	
<p>Facility and Equipment Maintenance 21. <i>The following questions are for Transit Agencies that operate out of an FTA-funded facility.</i></p>	<p>Click here to enter text.</p>	
<p>22. Is there a written facility and equipment maintenance plan and inspection checklist? <i>After September 1, 2017 Transit Agencies must have a written TAM facility and equipment maintenance plan for FTA-funded facilities and facility-related equipment.</i></p>	<p>Click here to enter text.</p>	
<p>23. Are the facilities inspected at least once a year to determine what repairs and/or maintenance are needed to the equipment or building? What was the date of the last inspection? <i>After September 1, 2017 this must be recorded in the TAM Preventive Maintenance Plan?</i></p>	<p>Click here to enter text.</p>	
<p>24. Is there a written facility and equipment maintenance plan and inspection checklist? <i>*After September 1, 2017 Transit Agencies must have a written TAM facility and equipment maintenance plan for FTA-funded facilities and facility-related equipment.</i></p>	<p>Click here to enter text.</p>	

<p>25. Does the written TAM Plan and inspection checklist address equipment such as hydraulic lifts, bus washers, roofing systems, and HVAC systems? Are the facilities inspected at least once a year to determine what repairs and/or maintenance are needed to the equipment or building? What was the date of the last inspection? <i>After September 1, 2017 this must be recorded in the TAM Preventive Maintenance Plan?</i></p>	<p>Click here to enter text.</p>	
<p>26. Do preventive maintenance checklists follow the minimum requirements determined by the manufacturer, supplier or builder? Does the written TAM Plan and inspection checklist address equipment such as hydraulic lifts, bus washers, roofing systems, and HVAC systems?</p>	<p>Click here to enter text.</p>	
<p>27. Are files maintained on maintenance of facilities and related equipment? <i>After September 1, 2017 these files must be recorded in TAM.</i> Do preventive maintenance checklists follow the minimum requirements determined by the manufacturer, supplier or builder?</p>	<p>Click here to enter text.</p>	
<p>28. Do the files indicate that preventive maintenance inspections of facilities and related equipment are conducted at the intervals required by the plan? Reviewer - sample maintenance records. Are files maintained on maintenance of facilities and related equipment? <i>After September 1, 2017 these files must be recorded in TAM.</i></p>	<p>Click here to enter text.</p>	
<p>29. Are any features of facilities or related equipment under warranty? If yes, please list.</p>	<p>Click here to enter text.</p>	

<p>30. Are warranty claims pursued? Do the files indicate that preventive maintenance inspections of facilities and related equipment are conducted at the intervals required by the plan? Reviewer - sample maintenance records</p>	<p>Click here to enter text.</p>	
<p>31. Reviewer - are the facilities clean and well maintained? Are there any visible defects? Does the facility need to be painted? If yes, when is this scheduled?</p>	<p>Click here to enter text.</p>	
<p>32. Are any features of facilities or related equipment under warranty? If yes, please list. Are warranty claims pursued?</p>	<p>Click here to enter text.</p>	

Safety and Security

Transit Agencies must document that drivers have a valid operator’s license and have a safe driving record. All safety devices must be maintained in operative condition. All vehicles must be outfitted with a blood-borne pathogens kit, first-aid kit, fire extinguisher, bi-directional reflective triangles, and web cutters. Drivers and front seat passengers must wear seat belts. Requiring passengers in the rear seats to wear seatbelts must be addressed in each agency’s policy handbook. **Smoking is prohibited in all vehicles.** Drivers must focus on driving and limit distractions when vehicles are in motion.

<p>1. Is documentation maintained which verifies that all drivers , including volunteer drivers, of vehicles (owned, leased, loaned): <i>Good practice</i></p>	<p>Click here to enter text.</p>	
<p>a. Have a valid operator’s license (and current US DOT physical if driver is a CDL holder)</p>	<p>Click here to enter text.</p>	
<p>b. Have a safe driving record acceptable for insurance coverage</p>	<p>Click here to enter text.</p>	
<p>c. Received first aid training</p>		
<p>d. Received training in defensive driving</p>	<p>Click here to enter text.</p>	
<p>e. Received training in passenger assistance and safety</p>	<p>Click here to enter text.</p>	
<p>f. Received training in operation of lifts and other accessibility equipment</p>	<p>Click here to enter text.</p>	
<p>g. Received substance abuse training</p>	<p>Click here to enter text.</p>	

<p>2. Does the pre-trip inspection address the following required safety equipment:</p> <ul style="list-style-type: none"> • Blood-borne pathogen kit • First-aid kit (full) • Fire extinguisher (charge and inspection date) • Bi-directional reflective triangles • Seatbelt cutters <p><i>All vehicles must be outfitted with a blood-borne pathogens kit, first-aid kit, fire extinguisher, bi-directional reflective triangles, and web cutters.</i></p>	<p>Click here to enter text.</p>	
<p>3. Are all required safety devices or systems installed and functioning properly on vehicles? Are fire extinguishers secure, accessible, of the correct type, tagged and inspected annually?</p> <p><i>All safety devices must be maintained in optimal condition. Fire extinguishers must be secured, accessible, tagged and inspected annually...</i></p>	<p>Click here to enter text.</p>	
<p>4. Describe your procedure to handle accidents and medical emergencies? Are these procedures and accident forms kept on board the vehicles?</p> <p><i>Good Practice - to have a written procedure for handling accidents and medical emergencies.</i></p>	<p>Click here to enter text.</p>	
<p>5. Are passengers required to wear a seat belt?</p> <p><i>If yes, it must be stated in the passenger policy handbook.</i></p>	<p>Click here to enter text.</p>	
<p>6. Is smoking prohibited signage on vehicles?</p> <p><i>Smoking is prohibited on all vehicles.</i></p>	<p>Click here to enter text.</p>	
<p>7. Are drivers allowed to use a cell phone while the bus is in motion?</p> <p><i>Good Practice – follow the State of ND laws regarding distracted driving and sending and receiving text messages while in operation.</i></p>	<p>Click here to enter text.</p>	
<p>8. Are all carry-on items properly stowed before moving vehicle?</p> <p><i>NDDOT requires that all carry-on items be properly secured before moving a vehicle.</i></p>	<p>Click here to enter text.</p>	
<p>9. Have there been any incidents or fatalities since the last review?</p> <p><i>Required to be reported to NDDOT within 24 hours.</i></p>	<p>Click here to enter text.</p>	

ADA

Titles II and III of the Americans with Disabilities Act of 1990 (ADA) provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility. Public entities operating a fixed-route system must provide paratransit or other special service that is comparable to the level of service provided to individuals without disabilities who use the fixed-route system.

<p>1. What types of services (fixed route, deviated fixed route, commuter, university, and/or demand response) do you provide?</p>	<p>Click here to enter text.</p>	
<p>2. Have any complaints of discrimination due to disability been received from riders or employees? If yes, please describe the complaints. What is the process to resolve the complaints? How long do you maintain the complaints on file? <i>USDOT regulations (49 CFR 27.13) require ADA complaints to be maintained on file for at least a year and a log of ADA complaints at least five years.</i></p>	<p>Click here to enter text.</p>	
<p>3. Are facilities accessible?</p>	<p>Click here to enter text.</p>	
<p>4. When planning new or rehabilitated facilities, what steps are taken to ensure that the facilities comply with ADA?</p>	<p>Click here to enter text.</p>	
<p>5. If you have non-accessible vehicles in your fleet, how do you ensure that equivalent service is provided? <i>ADA requires that service to individuals with disabilities to be equivalent to the service provided other individuals with respect to response time, fares, geographic service area, hours and days of service, and capacity.</i></p>	<p>Click here to enter text.</p>	
<p>6. Are system brochures, application forms, rider handbooks, and occasional bulletins available in alternative formats upon request? What formats? <i>ADA requires public information to be made available in alternative formats upon request. Examples of alternative formats include large type, audio-tapes, and Braille.</i></p>	<p>Click here to enter text.</p>	
<p>7. Is your system’s TDD number printed on all public materials where your voice telephone number appears? <i>The TDD number should be listed wherever the voice telephone number appears.</i></p>	<p>Click here to enter text.</p>	

<p>8. What is the process to request a reasonable modification? How is the public informed on how to make requests for reasonable modifications?</p> <p><i>USDOT ADA regulations (49 CFR 37.169) require a process for requesting reasonable modification to policies and practices to accommodate a person with a disability. Information on the reasonable modification process must be readily available to the public, and must be accessible. Advance notice can be required, but flexibility is also needed to handle requests that are only practicable on the spot. Individuals requesting modifications are not required to use the term "reasonable modification."</i></p>	<p>Click here to enter text.</p>	
<p>9. Do all accessible vehicles have a securement system for wheelchairs? <i>ADA requires that all accessible vehicles have a securement system for wheelchairs.</i></p>	<p>Click here to enter text.</p>	
<p>10. What is your policy for providing service if a mobility device cannot be secured? <i>ADA requires that service must be provided even when a mobility device cannot be secured.</i></p>	<p>Click here to enter text.</p>	
<p>11. Do drivers provide assistance to passengers as necessary and upon request with ramps, lifts, and securement devices? <i>ADA requires drivers and other personnel to provide assistance as necessary and upon request.</i></p>	<p>Click here to enter text.</p>	
<p>12. Do you permit individuals that do not use wheelchairs to use lifts? <i>ADA requires operators to deploy lifts for standees upon request.</i></p>	<p>Click here to enter text.</p>	
<p>13. What is your policy regarding service animals? <i>ADA requires that operators permit service animals to travel with riders.</i></p>	<p>Click here to enter text.</p>	
<p>14. Do you provide service to persons using respirators or portable oxygen? <i>ADA requires operators to provide service to persons using respirators or portable oxygen.</i></p>	<p>Click here to enter text.</p>	
<p>15. How are policies governing providing service to passengers covered under the ADA conveyed to drivers?</p>	<p>Click here to enter text.</p>	

<p>16. Are drivers trained in passenger assistance and sensitivity (PASS)? How soon after being hired does the training occur? <i>ADA requires that drivers receive training in passenger assistance and sensitivity.</i></p>	<p>Click here to enter text.</p>	
<p>17. Are drivers trained in use of accessibility equipment? How soon after being hired does the training occur? <i>ADA requires that drivers receive training in the use of accessibility equipment.</i></p>	<p>Click here to enter text.</p>	
<p>18. Reasonable Modification Policy: a. Does your agency have a policy in place for reasonable modification requests?</p>	<p>Click here to enter text.</p>	
<p>b. How are individuals with a disability informed of their right to request a reasonable modification (i.e. Rider Handbooks, brochures, website, etc.)?</p>	<p>Click here to enter text.</p>	
<p>c. How are personnel notified and trained to make a determination if a reasonable modification is requested?</p>	<p>Click here to enter text.</p>	
<p>The following questions 21-27 are for providers of deviated fixed routes. If doesn't apply, answer "NA" in each response.</p>		
<p>19. Do you provide deviated fixed-route service? If yes, do public materials and bus schedules clearly state eligibility requirements and procedures for requesting deviated fixed-route service?</p>	<p>Click here to enter text.</p>	
<p>20. Do you have a policy governing stop announcements? Does it meet ADA requirements? <i>For fixed route and deviated fixed route service, ADA requires drivers to announce stops at transfer points with other fixed routes, major intersections and destination points, upon request, and at intervals along a route sufficient to permit individuals with visual impairments or other disabilities to be oriented to their location.</i></p>	<p>Click here to enter text.</p>	
<p>21. When multiple routes serve the same stop, what mechanism is in place to alert individuals with visual impairments or other disabilities to the route number and destination? <i>ADA requires that operators have such a mechanism.</i></p>	<p>Click here to enter text.</p>	

<p>22. Are lifts/ramps deployed at any stop? <i>ADA requires that operators permit a passenger who uses a lift or ramp to board or disembark from a vehicle at any designated stop, unless the lift or ramp cannot be deployed, the lift will be damaged if it is deployed or temporary conditions preclude the safe use of the stop by all passengers (i.e. the stop is “closed” for the duration of such conditions).</i></p>	<p>Click here to enter text.</p>	
<p>23. Are operators required to report lift failures promptly? <i>Operators must report immediately any in-service lift and ramp failures.</i></p>	<p>Click here to enter text.</p>	
<p>24. Is alternative service provided to persons stranded for more than 30 minutes due to failures? <i>If a lift or ramp failure occurs on a route where the headway is greater than 30 minutes and the passenger cannot be served, the Transit Agency is required to provide alternative service promptly.</i></p>	<p>Click here to enter text.</p>	
<p>25. Are persons sitting in priority seats requested to vacate those seats when a person with a disability needs to use them? <i>When an individual with a disability needs to sit in a seat or occupy a wheelchair securement location, the Transit Agency shall ask the passenger to move in order to allow the individual with a disability to occupy the seat or securement location.</i></p>	<p>Click here to enter text.</p>	
<p>The following questions 28-43 are for providers of fixed-route service (excluding commuter and university service). If doesn't apply, answer “NA” in each response.</p>		
<p>26. Describe the eligibility process. How do you ensure that only those who are unable to use the fix route system are certified as eligible? <i>Eligibility is to be strictly limited to certain categories of individuals:</i></p> <ul style="list-style-type: none"> • <i>Any person with a disability who is unable to board, ride, or disembark from an accessible vehicle without the assistance of another person (except for the operator of a lift or other boarding device)</i> • <i>Any person with a disability who could ride an accessible vehicle but the route is not accessible or the lift does not meet ADA standards.</i> 	<p>Click here to enter text.</p>	

<ul style="list-style-type: none"> • <i>Any person with a disability who has a specific impairment related condition that prevents the person from traveling to or from a boarding/ disembarking location.</i> 		
<p>27. Are ADA complementary paratransit eligibility decisions made within 21 days of receipt of a complete application? If no, is presumptive eligibility granted? <i>Eligibility decisions must be made within 21 days of receipt of an application; if not then presumptive eligibility must be granted until an eligibility decision is made.</i></p>	<p>Click here to enter text.</p>	
<p>28. Are persons who are denied eligibility given notice of their right of appeal? Is presumptive eligibility granted if the appeal is not decided within 30 days until eligibility is denied? <i>Persons denied eligibility must be given notice of the right of appeal. If the appeal is not decided within 30 days, presumptive eligibility must be granted until the appeal is decided.</i></p>	<p>Click here to enter text.</p>	
<p>29. Do you provide complementary paratransit service to ADA eligible individuals and their personal care attendants (PCA)? Do you charge the PCA a fare? <i>ADA requires that you provide complementary paratransit service to a PCA and prohibits charging the PCA a fare.</i></p>	<p>Click here to enter text.</p>	
<p>30. Do you provide complementary paratransit service to ADA eligible individuals and at least one companion? Additional companions if space permits? <i>ADA requires the provision of service to at least one companion and additional companions if space permits.</i></p>	<p>Click here to enter text.</p>	
<p>31. Do you provide complementary paratransit service to ADA-eligible visitors for up to 21 days over a year's period? <i>ADA requires service to be provided to ADA-eligible visitors for up to 21 days over a year's period.</i></p>	<p>Click here to enter text.</p>	
<p>32. Do you provide service within ¼ miles of fixed routes and the core service area? <i>Complementary paratransit service must be provided with ¼ miles of fixed routes and the core service area.</i></p>	<p>Click here to enter text.</p>	

<p>33. At a minimum, do you provide curb-to-curb service? Origin-to-destination when necessary? <i>At a minimum, complementary paratransit service must be curb-to-curb service but must be origin-to-destination when needed.</i></p>	<p>Click here to enter text.</p>	
<p>34. Is service provided the same days and hours as fixed-route service? <i>Complementary paratransit must be provided the same days and hours as fixed-route service.</i></p>	<p>Click here to enter text.</p>	
<p>35. Are the fares no more than twice the fares for fixed-route service? <i>Fares for complementary paratransit service cannot be more than twice the fares for fixed-route service.</i></p>	<p>Click here to enter text.</p>	
<p>36. Do you place restrictions or priorities based on trip purpose? <i>Providers may not place restrictions or priorities based on trip purpose.</i></p>	<p>Click here to enter text.</p>	
<p>37. Is next day service provided? If yes, what percent of reservations are made for the next day? <i>At a minimum, next day service must be provided.</i></p>	<p>Click here to enter text.</p>	
<p>38. Are requests for reservations accepted during normal business hours on all days prior to days of service, even if the administrative office is closed? How are reservations accepted when the administrative office is closed? <i>Requests for reservations must be accepted during normal business hours on all days prior to days of service, even if the administrative office is closed. Answering machines can be used to take reservations.</i></p>	<p>Click here to enter text.</p>	
<p>39. Are trips scheduled within one hour of requested trip time? <i>Trips must be scheduled within one hour of the requested trip time.</i></p>	<p>Click here to enter text.</p>	
<p>40. Is a no-show suspension/late cancellation suspension policy used? If yes: <i>ADA allows providers to temporarily suspend service for a pattern or practice of no-shows. Only no-shows that are under the rider's normal control should be counted against the rider.</i></p>	<p>Click here to enter text.</p>	
<p>a. What is the suspension policy for no-shows?</p>	<p>Click here to enter text.</p>	

b. How does the state or subrecipient determine whether or not no-shows are under the rider's control?	Click here to enter text.	
c. Are no-shows caused by operator error counted against the rider?	Click here to enter text.	
d. What are the thresholds for a cancellation before it is considered a no-show?	Click here to enter text.	
e. Are only riders who have demonstrated a true pattern or practice of no-shows suspended?	Click here to enter text.	
f. Are financial penalties assessed for no-shows? <i>Systems may not impose a financial penalty as part of a no-show policy, including charging for fare for the no-show trip.</i>	Click here to enter text.	
g. Are riders allowed to contest no-shows?	Choose an item.	
h. Is there an appeals process for suspensions? <i>The policy should allow riders to contest no-shows and there must be an appeals process for suspension.</i>	Click here to enter text.	
The purpose of the following questions 44-51 is to determine if there is a capacity constraint. Transit Agencies may not restrict capacity to limit the number of complementary paratransit trips.		
41. For next day service, at what time of day are reservations cut off?	Click here to enter text.	
42. What percent of requests are denied? How do you monitor trip denials?	Click here to enter text.	
43. What do you consider an on-time trip? How do you monitor on-time performance? What is your on-time performance rate?	Click here to enter text.	
44. How do you monitor missed trips? What percent of trips are missed?	Click here to enter text.	
45. <i>Reviewer: Do the answers to the above questions indicate that a capacity constraint exists?</i>	Click here to enter text.	

School Bus

Transit Agencies are prohibited from providing exclusive bus service unless the service qualifies under an allowable exemption and is approved by the FTA Administrator. In no case can federally funded equipment or facilities be used to provide exclusive school bus service. Head Start transportation is considered human service transportation, not school bus service.

<p>1. Is exclusive school bus service operated? If yes, Has the FTA administrator approved the service? Is it operated only with non-federally funded equipment and from non-federally funded facilities?</p> <p><i>Transit Agencies are prohibited from providing exclusive school bus service unless the service qualifies under and allowable exemption and is approved by the FTA administrator. In no case can federally funded equipment or facilities be used to provide exclusive school bus service.</i></p>	<p>Click here to enter text.</p>	
<p>2. Are you a fixed-route operator that provides school “tripper” service? A tripper is an extra bus that is added to a route to provide capacity or service that cannot be accommodated by the buses already in service. If yes, does the tripper service meet the criteria to be considered public transit service?</p> <p><i>If not, the service does not qualify as public transit service and cannot be provided with FTA-funded equipment or out of FTA-funded facilities.</i></p>	<p>Click here to enter text.</p>	

Service Planning

Service Eligibility

Section 5311 funds must be used for public transportation projects and intercity projects in non-urbanized areas. **Section 5310 funds must be used to support the special transportation needs of elderly individuals and individuals with disabilities.**

<p>1. What types of contract and subscription service do you provide? With whom? Do the contacts and subscription service interfere with the provision of public transit? Have you had to deny public transit trips because the contracts and subscription service utilized all available capacity? If yes, how often?</p>	<p>Click here to enter text.</p>	
<p>2. Do you provide service to the general public while providing contract and subscription services?</p> <p><i>Section 5311 service must be provided to the general public and be available during normal commute times.</i></p>	<p>Click here to enter text.</p>	
<p>3. Do you rank trips by purpose? If yes, please provide the order of priority. Does the ranking of trips discourage the</p>	<p>Click here to enter text.</p>	

<p>general public from using the service? Have you denied service because a trip with a lower-ranked purpose could not be accommodated? If yes, how often?</p>		
<p>4. Are vehicles clearly identified as general public transit service? Is the phone number to call for a ride on the vehicles? <i>Vehicles must be clearly identified as general public service.</i></p>	Click here to enter text.	
<p>5. Are the vehicles marked in any way that represents exclusive use for a specific organization or clientele? <i>Vehicles may not display markings that imply exclusive use for a specific organization or clientele.</i></p>	Click here to enter text.	
<p>6. Are any of your trips sponsored by Medicaid or a Veteran's grant?</p>	Click here to enter text.	
<p>7. Does the agency answer the phone in such a way that the general public knows they contacted a public transit provider? Do you have a direct line for transportation or do all transportation calls go through the general receptionist?</p>	Click here to enter text.	
<p>8. How are you listed in the phonebook, on your website, and Facebook?</p>	Click here to enter text.	

Title VI and Nondiscrimination in the Delivery of Service

FTA and NDDOT prohibit discrimination on the grounds of race, color, or national origin and on the grounds of low-income status in accordance with Title VI of the Civil Rights Act of 1964. There are other Federal statutes, regulations, Executive Orders, and laws that prohibit discrimination on the basis of gender, age, religion, and disability. Transit Agencies must notify the public of its protection under Title VI, how to obtain additional information on nondiscrimination obligations, and how to file a complaint. The notification may not be limited to a notice on the Transit Agency's website.

<p>1. Does your Title VI notices include all the required information?</p> <ul style="list-style-type: none"> a. Statement identifying discrimination of race, color, and national origin b. Agency name c. Contact person d. Phone number e. Website if applicable 	Click here to enter text.	
<p>2. Describe where the notices are posted.</p>	Click here to enter text.	
<p>3. Is the Title VI plaque posted in all vehicles?</p>	Click here to enter text.	

4. Has your transit agency developed a Title VI complaint form and instructions? Who investigates complaints? <i>NDDOT title VI forms can be found at: https://www.dot.nd.gov/divisions/localgov/transit-operator-portal.htm</i>	Click here to enter text.	
5. Has your complaint form been translated into other languages? If yes, what languages?	Click here to enter text.	
6. Are your complaint form and instructions accessible to the public? If yes, where can the public access it?	Click here to enter text.	
7. Has SFN: 60805 Transit Title VI – List of Investigations, Lawsuits, and Complaints been uploaded into Black Cat Grants system as part of the application process?	Click here to enter text.	
8. Have any complaints concerning discrimination in the delivery of service been received since the last review? If yes, how were the complaints tracked, identified and resolved? <i>Title VI complaints must be reported to NDDOT within 24 hours of receipt of the complaint.</i>	Click here to enter text.	
9. Have you implemented substantial service or fare changes in the past 3 years? If yes, was an opportunity provided for a public hearing and public comment?	Click here to enter text.	
10. How are individuals provided opportunities to participate in the transit planning and decision-making process without regard to race, color, or national origin? Has a need for transportation improvements been expressed? If yes, please describe.	Click here to enter text.	
11. How are limited English proficiency (LEP) persons notified of language assistance? Please provide a copy of the materials used to promote your service to minority and LEP populations.	Click here to enter text.	
12. What is the frequency of contact with LEP persons? What languages were spoken? Do you have any translation services available?	Click here to enter text.	
13. Have you translated documents into Spanish or another language? If yes, list the documents and languages they are translated into.	Click here to enter text.	
14. What other language assistance efforts have you used? (I Speak Cards, etc.)	Click here to enter text.	
15. How does your Transit Agency provide training to employees on free language assistance for LEP users?	Click here to enter text.	

Public Participation

The federal Government mandates public involvement prior to raising fares, implementing major reductions in service, or applying for grants to finance transportation improvement projects.

1. Has your Transit Agency implemented substantial service or fare changes?	Click here to enter text.	
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Was an opportunity provided for a public hearing?		
2. Have any public hearings for any reason been held in the last 3 years?	Click here to enter text.	
3. How are individuals provided opportunities to participate in the transit planning and decision-making process without regard to race, color, or national origin?	Click here to enter text.	
4. How does your transit agency assess service and interact with the public? (suggestion boxes, rider surveys, rides taken by board members or management staff, etc.)	Click here to enter text.	
5. Are board/council meetings open to the public? How do you publicize dates, times, and location of board/council meetings?	Click here to enter text.	

Fixed-Route Systemwide Service Standards (Only complete if your agency provides a Fixed-Route Service)

1. Has your Transit Agency established fixed-route system-wide standards? If yes, describe the types of routes you provide?	Click here to enter text.	
2. Has your Transit Agency adopted vehicle capacity standards? If yes, please describe?	Click here to enter text.	
3. Has your Transit Agency adopted vehicle headway standards? If yes, please describe.	Click here to enter text.	
4. What is your on-time performance standard(s)?	Click here to enter text.	
5. Has your Transit Agency set system-wide policies for each fixed-route mode of service?	Click here to enter text.	

Human Service Coordinated Plan

FTA requires that Transit Agencies applying for funding under the Section 5310 program submit a locally developed, coordinated public transit-human series transportation plan and that the plan be developed through a process that includes public, private, and non-profit transportation and human services providers and participation by members of the public. These plans are used to identify the transportation needs of individuals with disabilities, older adults, and people with low income. Transit Agencies located in the planning area of a metropolitan planning organization (MPO) must ensure that their program of projects is included in a Transportation Improvement Program (TIP) for the area.

1. Has an annual human service coordination plan been submitted and approved by NDDOT? <i>Required for 5310 application for funds.</i>		Click here to enter text.			
2. Since submitting your plan\update, have any additional efforts been made to coordinate service? If yes, please describe.		Click here to enter text.			
3. Are there more opportunities for coordination?		Click here to enter text.			
4. Do you have a current list of all providers of passenger transportation in your service area?		Click here to enter text.			
5. Which of the following coordination activities occur? a. Consolidated purchase of service b. Central information center c. Centralized dispatch d. Planning e. Maintenance f. Purchasing (vehicles, parts, fuel) g. Training h. Management (information systems, billing) i. Marketing j. Other (please describe)		Click here to enter text.			
6. Please List below all Section 5310 and 5311 Transit Agencies that operate in your service area, how many vehicles they operate, the days and hours of operation, and the number of trips they provide. Please list your efforts to coordinate with each agency and the reasons for now coordinating with each agency.					
Section 5310/11 Transit Agency	Number of Vehicles	Days and Hours of Service*	No. of Trips	Coordination Efforts/Reasons for not Coordinating	
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	
Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	Click here to enter text.	
7. What groups are represented on the local transportation advisory committee (TAC)? Are private-for-profit and private-nonprofit transportation providers represented on the TAC?		Click here to enter text.			
8. Have you submitted your grant application to the TAC for review and comment?		Click here to enter text.			
9. Did you provide reasonable notice to transportation providers when you submitted your application?		Click here to enter text.			

Comments

Findings after Compliance Review

_____ Transit Agency was In Compliance
Date letter was sent to Transit Agency _____

_____ Transit Agency was In Compliance upon Modification/Attention and Follow Up is needed
Date letter was sent to Transit Agency _____
Date given to have findings returned to NDDOT _____
Date requested material was returned to NDDOT _____

_____ Non Compliance
Major items need immediate attention or risk loss of funding
Date letter was sent to Transit Agency _____
Date given to have findings returned to NDDOT _____
Date requested material was returned to NDDOT _____
Date was sent to Transit Agency notifying In Compliance status _____

NDDOT Transit Reviewer

Date

North Dakota Department Of Transportation



Federal Sections 5311, 5310, 5339 and State Aid
Compliance and Good Practices Review

Transit Agency:

Reviewers:

Site Review Date:

File Review Date:

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Table of Contents

Purpose and Directions	5
Attendance Sheet	7
Administration and Management	8
Governance	8
Managerial Capacity	9
Financial Management	10
Technology and Information Systems	13
Satisfactory Continuing Control	14
Procurement.....	16
Debarment/Suspension.....	17
Lobbying	18
Disadvantaged Business Enterprise (DBE).....	18
Personnel.....	19
Equal Employment Opportunity (EEO)	20
Operation and Service Provisions	20
Training.....	20
Maintenance.....	22
Safety and Security	26
ADA.....	27
Drug and Alcohol Program	34
Charter Bus	39
School Bus.....	40
Service Planning.....	41
Service Eligibility.....	41
Title VI and Nondiscrimination in the Delivery of Service.....	42
Public Participation.....	44
Fixed-Route Systemwide Service Standards (Only complete if your agency provides a Fixed-Route Service)	45
Marketing	45
Human Service Coordinated Plan.....	46

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Purpose and Directions

The North Dakota Department of Transportation (NDDOT) conducts compliance and good practice reviews of state Transit Agencies to ensure they meet the conditions of receipt of Federal Transit Administration (FTA) assistance, NDDOT program requirements, promote good management practices among public transportation providers, and identify training and technical assistance needs.

NDDOT will conduct the reviews as follows:

NDDOT will email the review document to the Transit Agency. The Transit Agency must return the completed document, answering as many questions as possible and return it to NDDOT. If the question doesn't apply to the transit agency, put "NA" in the response box.

NDDOT will review the Transit Agency's responses, materials, and reports on file at the NDDOT office prior to the site visit. NDDOT will follow up on the responses during the site visit. The site visit presents an opportunity for NDDOT to observe the transit service and operations as well as address any questions the transit staff may have.

In addition to completing the questionnaire, NDDOT will review the following policies and updates. It will not be necessary to send copies of the documents below unless requested by the reviewer.

A compliance review will be conducted annually with each Transit Agency. One year the review form outlined below will be reviewed during an on-site visitation, and the following year, an inspection of the Transit Agencies' complete fleet and facilities will be completed. If any major deficiencies or noncompliance issues are identified via the review process, the NDDOT staff may conduct additional reviews as deemed necessary.

Documents to have available at the time of the site visit.

Governance

- Articles of Incorporation
- Bylaws
- Records/minutes of board meetings
- 3 – 5 year plan

Financial Management

- Samples of time sheet and corresponding payroll records
- Local match sources and amounts
- Budget approved by the board
- Receipts from most recent quarterly budget report

Accounting Systems and Policies

- Accounting policy and procedure manual
- Travel policies
- Financial audit

Procurement

- Written procurement procedures
- List of items purchased over the \$2,500 threshold with their procurement process

EEO

- Sample job application, posting and advertisement

Service Provision

- Service policy/operators' manual
- Proof of training provided
- Complaint/comment resolution procedures
- Passenger standards of conduct (handbook)

Maintenance

- Vehicle preventive maintenance plan/ TAM
- Vehicle Pre/Post-trip checklist
- Facility and equipment maintenance plan and inspection checklist

Safety

- Accident procedures and forms
- Safety\Operator Policies

ADA and Nondiscrimination in Delivery of Service

- Securement\Assistance Policies
- Complaint procedures
- Reasonable Modification Statement and Policies

Drug and Alcohol Program

- Drug and alcohol policy

Marketing

- Sample of marketing plan materials (schedules, brochures, newspaper ads, etc.)
- Sample customer survey and most recent results

Please Note: When new or revised plans are uploaded to BlackCat please email the NDDOT staff than you have done so.

Thank you for your cooperation and we look forward to a productive site visit.

NDDOT Transit Staff

Attendance Sheet

Name	Title	Phone	Email

Administration and Management

Governance

Transit Agencies must have the legal capacity to receive federal and state grants. Transit Agencies must have a designated body legally responsible for the overall organization, management and operation of the transportation system. The Board should be both representative of the community to provide management with community advice, and bring management and other expertise from which transit management can draw. The Board should meet regularly and must conduct business in an open and transparent manner. The Board should set policy, goals, and objectives for the system while not involving itself in day-to-day operations.

1. What is the name of the designated body legally responsible for the overall organization, management, and operation of the transit system?	Click here to enter text.	
2. Do the articles of incorporation specifically mention public transportation or coordination of transportation?	Click here to enter text.	
3. What are the board bylaws for its governance which include:	Click here to enter text.	
a. Duties and Transit responsibilities	Click here to enter text.	
b. Method of member selection	Click here to enter text.	
c. Terms of office	Click here to enter text.	
d. Frequency and notification of meetings	Click here to enter text.	
e. Avoiding conflict of interest in: Selection of board members	Click here to enter text.	
4. Are the board member's names and addresses current in the BlackCat System?	Click here to enter text.	
a. # Members: Total	Click here to enter text.	
b. # Members: Elected officials	Click here to enter text.	
c. # Members: Minorities	Click here to enter text.	
d. # Members: Male	Click here to enter text.	
e. # Members: Female	Click here to enter text.	
f. # Members: Disabled	Click here to enter text.	
g. Current board Vacancies	Click here to enter text.	
5. Does the sample of board records indicate that board minutes are complete and signed by the elected or appointed secretary? <i>Required</i>	Click here to enter text.	
6. Are board members encouraged to ride the service? <i>Good practice</i>	Click here to enter text.	

7. Do a majority of board members regularly attend meetings? <i>Good practice</i>	Click here to enter text.	
8. Are financial reports submitted to the board for its review and action? How often? <i>Good practice</i>	Click here to enter text.	
9. How often does the board review, and if needed, revise goals, objectives, and targets? Is the agency's 3 – 5 year plan reviewed and approved by the board? <i>Good practice</i>	Click here to enter text.	
10. Does the board involve itself in day-to-day operations? <i>The board should not involve itself in day-to-day operations.</i>	Click here to enter text.	
11. Does the board formally review the performance of the transit director at least annually? <i>Good practice</i>	Click here to enter text.	
12. If you are a non-profit agency that administers several programs or part of a city or county, is there a transit committee to advise the Board on transit policy? <i>Good practice</i>	Click here to enter text.	

Managerial Capacity

Transit Agencies must have the managerial capacity to implement the project, manage grants, and comply with federal and state requirements. To demonstrate managerial capacity, transit agencies must have an appropriate organizational structure; an adequate number of staff to implement the project; management staff with the requisite skills, education, training, and experience; adequate documentation of key policies; a systematic process for determining the number and size of vehicles for the fleet; the ability to submit timely, complete accurate reports, and collect and analyze key performance data.

1. Who is responsible for the day-to-day management of the transit program?	Click here to enter text.	
2. Do you have written procedures that address the following aspects of transportation program management?	Click here to enter text.	
a. Maintenance plans/TAM plans <i>Required</i>	Click here to enter text.	
b. Emergency procedures	Click here to enter text.	
c. Safety policies and procedures	Click here to enter text.	
d. Training program	Click here to enter text.	
e. Complaint resolution procedures	Click here to enter text.	

<p>3. Who is responsible for purchasing vehicles? Is there a systematic process for determining the number and size of vehicles for the fleet? Are decisions for expanding the fleet based on ridership projections? If yes, how are the projections developed? <i>NDDOT requires each transit to have a 3 to 5 year plan for vehicle and facility needs.</i></p>	<p>Click here to enter text.</p>	
<p>4. Are all required reports submitted on time? MIS Drug & Alcohol, NTD, DBE, Ridership, Budget, Charter, 5310. If no, what are the reasons for the delay? <i>Reviewer – discuss any comments or issues with the reports.</i></p>	<p>Click here to enter text.</p>	
<p>5. Do you contract with any private operators or other agencies? If yes, please identify. Who is responsible for managing the contract? What procedures are used to ensure that quality service is provided? <i>Transit Agencies must have procedures for managing service contractors to ensure that quality service is provided.</i></p>	<p>Click here to enter text.</p>	

Financial Management

Transit Agencies must have sufficient local resources to provide the required match to carry out a proposed project. Transit Agencies must also have the financial management systems to account for, and report on federal and state assistance. Transit Agencies must practice sound financial management practices.

Financial Capacity		
<p>1. What is your Transit Agency DUNS Number?</p>	<p>Click here to enter text.</p>	
<p>2. List sources and approximate amounts of local funding for operating, capital and operating bus expenses. Are the sources of local funding sufficient to operate the project and maintain transit’s assets? <i>Transit Agencies must have sufficient local resources to carry out the proposed project and maintain project equipment.</i></p>	<p>Click here to enter text.</p>	

3. Describe internal controls for fare collection (include process for deposit, approvals, frequency, etc.). Are fares verified with the passenger logs?	Click here to enter text.	
4. Describe internal controls and process of payment of local invoices.	Click here to enter text.	
Accounting Systems and Policies		
5. What are the accounting policies for the following:	Click here to enter text.	
a. The retention of records <i>Transit Agencies records retention must, at a minimum, meet State of ND transit requirements; 10 yrs. if pertaining to Civil Rights; 6 yrs. beyond closure of a grant; 3 yrs. beyond a revision or termination of Drug & Alcohol and Audit matters.</i>	Click here to enter text.	
b. Requirements and schedules for audits	Click here to enter text.	
6. What are the written travel policies for staff and board members which detail at a minimum:	Click here to enter text.	
a. Use of per diem rate or actual expenses, basis of reimbursement, and reasonable dollar limits		
b. Requirements for receipts for lodging and meals when reimbursement is made for actual cost	Click here to enter text.	
c. Requirements for approval of travel requests	Click here to enter text.	
7. Are timesheets approved by an official who is not responsible for their preparation? Reviewer – Compare time sheets to payroll sample <i>Good practice</i>	Click here to enter text.	
Audits		
8. If more than \$750,000 in federal funds were expended during the last fiscal year, was a single audit conducted in accordance with 2 CFR 200, Subpart F: Audit Requirements? <i>2 CFR 200, Subpart F requires that any Transit Agency that expends more than \$750,000 in federal funds in a</i>	Click here to enter text.	

<i>year must have an independent single audit conducted.</i>			
9. Since the last review, have audit findings been submitted that relate to the transit program? If not, why not? <i>Transit Agencies must submit audit findings that relate to the transit program to NDDOT.</i>		Click here to enter text.	
10. What is the status of the following findings from the audit? <i>Transit Agencies must resolve audit findings in a timely manner.</i>			
Finding	Response	Status	
Click here to enter text.	Click here to enter text.	Click here to enter text.	
Click here to enter text.	Click here to enter text.	Click here to enter text.	
Click here to enter text.	Click here to enter text.	Click here to enter text.	
11. Have you submitted your Single Audit Certification Form SFN: 60639? <i>NDDOT requirement</i>		Click here to enter text.	
Indirect Costs			
12. Are indirect costs charged to grants? If yes: <i>Per Office of Management and Budget (OMB) Circular A-87, indirect costs are costs that are incurred for a common or joint purpose that benefit more than one cost objective and are not readily assignable to the cost objectives specifically benefitted without effort disproportionate to the results achieved. Examples of indirect costs are accounting and personnel services. Transit Agencies that charge indirect costs to grants must do so in accordance with an approved cost allocation plan that was developed in accordance with OMB Circular A-87 of A-122. The plan must be submitted for approval if the Transit Agency changes the cost allocation plan/indirect cost rate proposal methodology.</i>		Click here to enter text.	
a. Has the cost allocation plan to support indirect administration costs been submitted to, and approved by the state? <i>The plan must be submitted to NDDOT.</i>		Click here to enter text.	
b. Have procedures been established to ensure that costs are classified		Click here to enter text.	

as either direct or indirect (but not both)?		
c. Has the plan been followed?	Click here to enter text.	
d. Is the rate and methodology been reviewed annually? <i>In addition to the initial approval by the cognizant agency, the rate must be updated annually.</i>	Click here to enter text.	
Budgeting		
13. Please describe the process used to develop the budget. Who is responsible for developing the budget?	Click here to enter text.	
14. Does the board review and approve the budget and budget revisions?	Click here to enter text.	
15. Are 3-5+ year financial needs defined during the annual budget process reviewed? Is population trend considered when creating the budget?	Click here to enter text.	
16. Are anticipated fare box revenue, contributions, grants, contracts, and other program income projected in the budget?	Click here to enter text.	
17. Are actual expenditures compared with budgeted expenditures to prevent budget overruns? How often?	Click here to enter text.	
18. Are revenues from federal, state, and local government sources, service contracts, and fares compared with the projections in the budget? How often?	Click here to enter text.	
19. Reviewer – Please select random line expenses from most recent quarterly budget report and verify receipts against submitted expenses.		

Technology and Information Systems

Transit Agencies should use information technology to improve productivity and provide needed financial and performance information. Computers funded with FTA funds must be used to support the transit program and should have procedures in place to protect hardware and software.

1. Do you have access to the Internet?	Click here to enter text.	
2. Have you used the Internet to access FTA regulations and circulars? <i>Good practice</i>	Click here to enter text.	

3. Do you have a website? What is the address? Who maintains it? How often is it reviewed and updated? <i>NDDOT strongly encourages a transit website.</i>	Click here to enter text.	
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Satisfactory Continuing Control

Transit Agencies must maintain control of FTA-funded equipment and facilities and use them to provide public transportation. Transit Agencies must obtain prior written approval from NDDOT before purchasing a vehicle, or prior to selling, transferring, leasing, or disposing of vehicles that have not met the useful life benchmark. The fleet should be appropriate for the type of service, ridership volumes, and scheduling patterns. The vehicle spare ratio must be reasonable for the type of service, the size and age of the fleet, service demand, and current and projected ridership. Transit Agencies should have at minimum, a 3-5 year fleet replacement plan.

1. Total number of vehicles in your fleet? How many vehicles are ADA accessible?	Click here to enter text.	
2. What is the number of spare vehicles?	Click here to enter text.	
3. How often is the maximum number of vehicles required?	Click here to enter text.	
4. Does the spare ratio appear reasonable given the size and age of the fleet, the frequency of peak service demand, and the projected ridership growth? Does the spare ratio indicate a need for additional vehicles? <i>NDDOT considers a spare ratio of approximately 20 percent reasonable.</i>	Click here to enter text.	
5. Are the vehicles used appropriately for the type of service, ridership volumes, and scheduling patterns?	Click here to enter text.	
6. Do you anticipate additional ridership in the next 3 years? If yes, by how much?	Click here to enter text.	
7. Have “back-up” arrangements been made to deliver service when breakdowns occur or during peak service times?	Click here to enter text.	
8. What is the average age of the fleet?	Click here to enter text.	
9. What is the average mileage of the fleet?	Click here to enter text.	
10. Is there a fleet replacement plan? If yes, how often is it updated?	Click here to enter text.	

<i>NDDOT requires each transit to have a 3 to 5 year plan for vehicle and facility needs.</i>		
11. Have you sold or disposed of any FTA-funded vehicles in the past year? If yes: Please list the vehicles. Did you obtain approval from NDDOT? <i>NDDOT requires that Transit Agencies obtain approval before selling or disposing of vehicles on which it holds federal interest.</i>	Click here to enter text.	
12. If any vehicles are leased did NDDOT approve the leases in writing?	Click here to enter text.	
Insurance		
13. Has an updated proof of insurance on each vehicle been provided to NDDOT? <i>NDDOT requires that Transit Agencies provide annual proof of insurance on FTA-funded equipment.</i>	Click here to enter text.	
14. Do you have a combined single limit of coverage of at least \$1 million? What general liability insurance coverage do you have on FTA-funded facilities? <i>NDDOT requires Transit Agencies to maintain a minimum of a combined single limit of coverage of \$1 million on vehicles.</i>	Click here to enter text.	
Inventory and Controls		
15. What procedures and practices are used to prevent loss, damage, or theft of property and inventory? Examples of procedures include insurance, locks on doors, controlled access to supplies, fencing, lighting, inventory and tagging of all equipment, and annual physical inventories that are reconciled to inventory lists. <i>Transit Agencies should have procedures to prevent loss, damage, or theft of property and inventory.</i>	Click here to enter text.	
16. Is there a current, complete inventory of all assets purchased with FTA and State funds? <i>After January 1, 2017, NDDOT requires Transit Agencies to track assets, valued at \$5,000+, through the RouteMatch Transit Asset Management Plan (TAM).</i>	Click here to enter text.	

17. Is a physical inventory of equipment taken at least annually and reconciled to the inventory records?	Click here to enter text.	
18. Are facility uses or lease agreements current for all facilities?	Click here to enter text.	

Procurement

Transit Agencies must comply with the relevant sections of FTA C 4220.1F and ND State Procurement Office requirements. Transit Agencies must obtain prior state approval for federally funded purchases of equipment and transportation service contracts.

1. Who is responsible for purchasing/leasing equipment and vehicles?	Click here to enter text.	
2. Are procurement procedures written and approved by the board and NDDOT? <i>Transit Agencies that are private nonprofit agencies must have written procurement procedures submitted by September 1, 2017.</i>	Click here to enter text.	
3. Do policies and procedures adequately address such matter as: <i>Required</i>	Click here to enter text.	
a. Need and use of formal advertising	Click here to enter text.	
b. Bidding	Click here to enter text.	
c. Negotiating	Click here to enter text.	
d. Use of sole source	Click here to enter text.	
e. Selection procedures	Click here to enter text.	
f. Required signatures	Click here to enter text.	
g. Review of procurement requests to avoid duplicative or unnecessary purchases	Click here to enter text.	
h. Award to responsible bidders/proposers	Click here to enter text.	
i. Protest procedures	Click here to enter text.	
j. Contract administration system	Click here to enter text.	
k. Settlement of contract issues and disputes	Click here to enter text.	
l. Documentation of procurement history	Click here to enter text.	
m. Inclusion of Federal and State Clauses	Click here to enter text.	
4. Are technical specifications prepared at the appropriate level of detail to accommodate competitive bidding and user requirements?	Click here to enter text.	

<i>Required</i>		
5. Are qualified bidders lists and histories maintained for competitive bidding?	Click here to enter text.	
6. What is the dollar threshold for sealed bids?	Click here to enter text.	
7. What are the purchasing procedures for which sealed bids are not required?	Click here to enter text.	
8. Who reviews and approves purchases? What are the dollar thresholds?	Click here to enter text.	
9. Do the above procedures provide for full and open competition? <i>Procurement procedures must provide for free and open competition.</i>	Click here to enter text.	
10. Please list all procurements of \$2,500+ for which the Transit Agency requested state approval since the last site visit.		
Item	Amount	
Click here to enter text.	Click here to enter text.	
Click here to enter text.	Click here to enter text.	
Click here to enter text.	Click here to enter text.	
11. What purchases were made with FTA funds since the last site visit? What procedures were followed for each of the purchases? Were the procedures followed for full and open competition? Examples: fuel, maintenance services, vehicles, construction, professional services. <i>Reviewer, review a sample of procurement files to confirm that the Transit Agency provided for free and open competition.</i>	Click here to enter text.	
12. Was state approval obtained for federally funded equipment purchased directly? <i>NDDOT must approve all equipment purchases.</i>	Click here to enter text.	

Debarment/Suspension

Transit Agencies are prohibited from contracting for goods and services from individuals or organizations that have been suspended or debarred from receiving federally assisted contracts.

Answer these questions only if you received a grant that exceeds \$25,000, and have procured goods and services from sources other than ND State Bid.		
1. Have you become aware of any new information, following the award of a	Click here to enter text.	

<p>contract or subcontract, that an excluded party is involved in any covered transactions? If yes, did you promptly inform NDDOT in writing? <i>Transit Agencies must provide immediate written notice to NDDOT for reporting to FTA if they learn that their certification or the certification of any contractors is no longer valid.</i></p>		
<p>2. Was the required certification clause included in all procurements exceeding \$25,000? <i>The debarment and suspension certification clause must be included in all procurements exceeding the federal small purchase threshold, currently \$25,000.</i></p>	Click here to enter text.	
<p>3. Was the GSA website checked to ensure that the bidder was not debarred or suspended? <i>Transit Agencies must search the Excluded Parties Listing Service at http://www.sam.gov for contracts exceeding \$25,000 before entering into any third party contracts exceeding \$25,000.</i></p>	Click here to enter text.	

Lobbying

Recipients of grants and federal contracts exceeding \$100,000 must certify that they have not, and will not, use federal funds to pay for lobbying. Transit Agencies certify to NDDOT. Contractors certify to the Transit Agency.

Answer these questions only if you received a grant that exceeded \$100,000.		
<p>1. Are FTA funds used for lobbying? <i>Transit Agencies may not use federal funds for lobbying.</i></p>	Click here to enter text.	
<p>2. Have you obtain signed lobbying certifications with procurement solicitations exceeding \$100,000? <i>Transit Agencies must obtain signed lobbying certifications with bids for contracts exceeding \$100,000.</i></p>	Click here to enter text.	

Disadvantaged Business Enterprise (DBE)

The DBE program is designed to enable small businesses owned and controlled by socially and economically disadvantaged individuals to compete for federally-funded contracts let by State and local transportation agencies that receive funds from the DOT. Transit Agencies must provide disadvantaged business enterprises (DBEs) the maximum opportunity to compete for, and perform contracts and subcontracts financed in whole or in part with federal funds.

1. Did the Transit Agency report on DBE activity in the biannual reports? <i>Transit Agency must submit biannual DBE activity reports.</i>	Click here to enter text.	
2. Do the reports indicate that the Transit Agency has been successful in contracting with DBEs?	Click here to enter text.	
3. What good faith efforts have been taken to ensure that DBEs have the maximum opportunity to compete for, and perform contracts and subcontracts financed in whole or in part with FTA funds? <i>Transit Agency must take good faith efforts to ensure that DBEs have the maximum opportunity to compete for, and perform contracts and subcontracts financed in whole or in part with FTA funds. Examples of good faith efforts include advertising in newspapers that serve minority communities, maintaining a list of minority vendors, and contacting other agencies for potential DBE contractors.</i>	Click here to enter text.	
4. Do you have a current NDDOT list of certified DBE firms? <i>NDDOT provides all Transit Agencies a listing of certified DBE firms at https://dotnd.diversitycompliance.com</i>	Click here to enter text.	
5. Were any DBE complaints received since the last review? If yes, describe the complaint and how it was resolved. What is the process for handling and resolving such complaints?	Click here to enter text.	

Personnel

1. Who is responsible for personnel management?	Click here to enter text.	
2. Are personnel policies written and approved by the board? Policies should address benefits, overtime, vacation, and pensions. <i>Good practice</i>	Click here to enter text.	
3. Are time and attendance records kept for, and signed by all employees, including part-time?	Click here to enter text.	
4. Number of transit employees?	Click here to enter text.	

5. Are all required labor posters posted? http://www.dol.gov/oasam/boc/osdbu/sbrefa/poster/matrix.htm	Click here to enter text.	
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Equal Employment Opportunity (EEO)

Transit Agencies may not discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, age, or physical or mental disability.

1. Who is responsible for ensuring that EEO obligations are fulfilled?	Click here to enter text.	
2. Are EEO statements included on your job applications and employment notices? Reviewer – View sample <i>Job applications and employment notices should include an EEO statement.</i>	Click here to enter text.	

Operation and Service Provisions

Training and Ridership Service

Transit Agencies should have effective procedures to ensure quality service is being delivered to the public. A comprehensive training program is a key component of a quality assurance program. Transit Agencies must have a training program for drivers and must track training that drivers have received. Transit Agencies must monitor service to ensure that drivers follow policy and procedures and provide quality service. While it is required that all drivers who drive 20+ hours per week complete the Passenger Service and Safety (PASS) driver certification program, NDDOT recommends all drivers complete PASS Training.

1. What kind of training do you provide operators/drivers? Schedulers/dispatchers? Is appropriate staff trained in the basics of transit? <i>Good practice</i>	Click here to enter text.	
2. Does the training provided to operators/drivers address: a. Defensive driving	Click here to enter text.	
b. Passenger assistance and safety	Click here to enter text.	
c. Operation of lifts or other accessibility features	Click here to enter text.	
d. Correct use of securement devices	Click here to enter text.	
e. Agency policies	Click here to enter text.	
f. How to complete driver paperwork	Click here to enter text.	
g. Substance abuse awareness training	Click here to enter text.	
h. What to do in case of an accident or emergency	Click here to enter text.	

3. Are files maintained that document when training was received and when refresher training is needed? <i>Transit Agencies must track training received by operator.</i>	Click here to enter text.	
4. For demand-response service, what are the procedures for scheduling and dispatching trips? Have any trips been denied? If yes, are they tracked and periodically reviewed by management? <i>Good practice</i> Reviewer – please review passenger trip logs.	Click here to enter text.	
5. Are basic transit measurements reviewed? If yes, what key management decisions have been made with the data? <i>Good practice</i>	Click here to enter text.	
a. Revenue miles	Click here to enter text.	
b. Revenue hours	Click here to enter text.	
c. Total passengers	Click here to enter text.	
d. Total seats available per hour and per mile	Click here to enter text.	
e. Total fares	Click here to enter text.	
f. Total cost	Click here to enter text.	
g. Cost per mile	Click here to enter text.	
h. Cost per hour	Click here to enter text.	
i. Average cost per passenger	Click here to enter text.	
j. Fare box recovery ratio	Click here to enter text.	
6. List the annual ridership figures for the past 3 years below. Please explain why ridership is increasing, decreasing, or staying the same.	Click here to enter text.	
Year	Ridership	
Click here to enter text.	Click here to enter text.	
Click here to enter text.	Click here to enter text.	
Click here to enter text.	Click here to enter text.	
7. How are passenger complaints logged and resolved? What is your Agency’s policy regarding the timeline to address complaints? How are service and personnel compliments recognized? <i>Good practice</i>	Click here to enter text.	

8. Do you have a Rider Handbook governing standards of behavior by passengers on buses and transit property? <i>Good practice</i>	Click here to enter text.	
9. What is your policy regarding passengers cancelling trips? Estimate what percent of your scheduled trips are cancelled annually?	Click here to enter text.	
10. Has there been any significant changes in service that has been implemented since the last compliance review? If yes, please describe.	Click here to enter text.	
11. Reviewer – address any ridership concerns.		

Maintenance

Transit Agencies must maintain FTA-funded equipment and facilities and must have a written maintenance plan. As of January 1, 2017 Transit Agencies must follow the State TAM Plan or a plan approved by the NDDOT. Transit Agencies must maintain equipment and facilities at a high level of cleanliness, safety, and mechanical soundness. Through the TAM Plan, Transit Agencies will have procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections in a timely manner. Transit Agencies must have a pre-trip or post-trip inspection program that addresses vehicle condition, appearance, cleanliness, and safety. Deficiencies noted in a pre-trip inspection must be repaired in a timely manner, properly reviewed by management, and maintain in the TAM Plan.

Vehicle Maintenance		
1. Reviewer – Review vehicle preventive maintenance in TAM prior to onsite visit. Note deficiencies for each file inspected.		
2. Who is responsible for maintenance?	Click here to enter text.	
3. Do preventive maintenance schedules for each type of vehicle in the fleet meet the manufacturers' minimum requirements? <i>Preventive maintenance schedule must meet manufacturers' minimum requirements.</i>	Click here to enter text.	
4. Is a preventive maintenance program in place for lifts and other accessibility features such as ramps, public announcement systems, and annunciators?	Click here to enter text.	

<p><i>Transit Agencies must maintain all accessibility features and equipment in optimal operating condition.</i></p>		
<p>5. What procedures are used to track when preventive maintenance inspections are due and to schedule preventive maintenance inspections? <i>Transit Agencies must have procedures to track when preventive maintenance inspections are due and to schedule preventive maintenance in a timely manner.</i></p>	<p>Click here to enter text.</p>	
<p>6. Reviewer - Review the files for the same vehicle(s) reviewed in question 1. Does the review of the maintenance records indicated that at least 80 percent of the inspections are performed on time? Allow a 10 percent or 500-mile variance, whichever is greater, when deciding whether an inspection was performed on time. <i>NDDOT recommends that at least 80 percent of preventive maintenance inspections must be performed at the intervals required by the plan.</i></p>		
<p>7. Are pre/post-trip inspections conducted prior to placing a vehicle in service? Reviewer – sample review <i>Pre-trip inspections must be conducted prior to placing a vehicle in service. The pre-trip inspection form must address safety; vehicle operation; appearance; cleanliness; and passenger comfort.</i></p>	<p>Click here to enter text.</p>	
<p>8. Are deficiencies noted in pre-trip inspections repaired in a timely manner and properly reviewed by management?</p>	<p>Click here to enter text.</p>	
<p>9. Does the pre-trip inspection program address lifts and other accessibility features, such as ramps, public announcement systems, and tie-downs? <i>Transit Agencies must have a regular system of checks and inspections for lifts and other accessibility features.</i></p>	<p>Click here to enter text.</p>	

<p>10. When a lift is found to be inoperative, is the vehicle taken out of service by the beginning of the next service day and repaired before returning to service? What alternative arrangements are made for riders? <i>Transit Agencies must remove vehicles with inoperative lifts from service before the next day unless no spare is available and taking the vehicle out of service would reduce the level of service.</i></p>	<p>Click here to enter text.</p>	
<p>11. If a vehicle with an inoperable lift is kept in service, is it repaired within 5 days from the day which the lift is found to be inoperable? If no, why not? <i>Transit Agencies in areas of less than 50,000 must repair the lift within 5 days.</i></p>	<p>Click here to enter text.</p>	
<p>12. Are FTA-funded vehicles leased to providers? If yes, does the lease agreement require the lessee to adhere to NDDOT maintenance standards? <i>NDDOT requires Transit Agencies that lease FTA-funded vehicles to providers to require the lessee to adhere to NDDOT's maintenance standards.</i></p>	<p>Click here to enter text.</p>	
<p>13. Are work orders or histories maintained that document the work performed, parts used, time spent, mileage, and date? <i>After January 1, 2017 this must be documented in the TAM Plan.</i> <i>Good practice</i></p>	<p>Click here to enter text.</p>	
<p>14. Is there a system for identifying and pursuing warranty claims effectively and promptly to conclusion? <i>Good practice</i></p>	<p>Click here to enter text.</p>	
<p>15. Is there a system for responding to recalls? <i>Good practice</i></p>	<p>Click here to enter text.</p>	
<p>16. Is the preventive maintenance program reviewed for costs and effectiveness? <i>Good practice</i></p>	<p>Click here to enter text.</p>	
<p>17. Are there indicators of repetitive occurrences of a particular type of problem in any one make of rolling stock?</p>	<p>Click here to enter text.</p>	

<i>Good practice</i>		
18. Where are transit vehicles stored?	Click here to enter text.	
Facility and Equipment Maintenance		
<i>The following questions are for Transit Agencies that operate out of an FTA-funded facility.</i>		
19. Is there a written facility and equipment maintenance plan and inspection checklist? <i>After January 1, 2017, Transit Agencies must have a written TAM facility and equipment maintenance plan for FTA-funded facilities and facility-related equipment.</i>	Click here to enter text.	
20. Are the facilities inspected at least once a year to determine what repairs and/or maintenance are needed to the equipment or building? What was the date of the last inspection? <i>After January 1, 2017, this must be recorded in the TAM Preventive Maintenance Plan?</i>	Click here to enter text.	
21. Does the written TAM Plan and inspection checklist address equipment such as hydraulic lifts, bus washers, roofing systems, and HVAC systems?	Click here to enter text.	
22. Do preventive maintenance checklists follow the minimum requirements determined by the manufacturer, supplier or builder?	Click here to enter text.	
23. Are files maintained on maintenance of facilities and related equipment? <i>After January 1, 2017, these files must be recorded in TAM.</i>	Click here to enter text.	
24. Do the files indicate that preventive maintenance inspections of facilities and related equipment are conducted at the intervals required by the plan? Reviewer - sample maintenance records.	Click here to enter text.	
25. Are any features of facilities or related equipment under warranty? If yes, please list. Are warranty claims pursued?	Click here to enter text.	
26. Reviewer - are the facilities clean and well maintained? Are there any visible defects? Does the facility need to be painted? If yes, when is this scheduled?		

27. What documentation does the Transit Agency maintain to ensure compliance with applicable safety and environmental regulations (OSHA, fire prevention, insurance standards, etc.)?	Click here to enter text.	
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Safety and Security

Transit Agencies must document that drivers have a valid operator’s license and have a safe driving record. All safety devices must be maintained in operative condition. All vehicles must be outfitted with a blood-borne pathogens kit, first-aid kit, fire extinguisher, bi-directional reflective triangles, and web cutters. Drivers and front seat passengers must wear seat belts. Requiring passengers in the rear seats to wear seatbelts must be addressed in each agency’s policy handbook. **Smoking is prohibited in all vehicles.** Drivers must focus on driving and limit distractions when vehicles are in motion.

1. Is documentation maintained which verifies that all drivers (including volunteer drivers) of vehicles (owned, leased, loaned): <i>Good practice</i>		
a. Have a valid operator’s license (and current US DOT physical if driver is a CDL holder)	Click here to enter text.	
b. Have a safe driving record acceptable for insurance coverage	Click here to enter text.	
c. Received first aid training		
d. Received training in defensive driving	Click here to enter text.	
e. Received training in passenger assistance and safety	Click here to enter text.	
f. Received training in operation of lifts and other accessibility equipment	Click here to enter text.	
g. Received direction on incident reporting		
h. Received substance abuse training	Click here to enter text.	
2. Does the pre-trip inspection address the following required safety equipment: <ul style="list-style-type: none"> • Blood-borne pathogen kit • First-aid kit (full) • Fire extinguisher (charge and inspection date) • Bi-directional reflective triangles • Seatbelt cutters <i>All vehicles must be outfitted with a blood-borne pathogens kit, first-aid kit,</i>	Click here to enter text.	

<i>fire extinguisher, bi-directional reflective triangles, and web cutters.</i>		
3. Are all required safety devices or systems installed and functioning properly on vehicles? Are fire extinguishers secure, accessible, of the correct type, tagged and inspected annually? <i>All safety devices must be maintained in optimal condition. Fire extinguishers must be secured, accessible, tagged and inspected annually...</i>	Click here to enter text.	
4. Describe your procedure to handle accidents and medical emergencies? Are these procedures and accident forms kept on board the vehicles? <i>Transit Agencies must have a written procedure for handling accidents and medical emergencies.</i>	Click here to enter text.	
5. Are passengers required to wear a seat belt? <i>If yes, it must be stated in the passenger policy handbook.</i>	Click here to enter text.	
6. Is smoking prohibited signage on vehicles? <i>Smoking is prohibited on all vehicles.</i>	Click here to enter text.	
7. Are drivers allowed to use a cell phone while the bus is in motion? <i>NDDOT prohibits sending and receiving text messages while in operation.</i>	Click here to enter text.	
8. Are all carry-on items properly stowed before moving vehicle? <i>NDDOT requires that all carry-on items be properly secured before moving a vehicle.</i>	Click here to enter text.	
9. Have there been any incidents or fatalities since the last review? <i>Required to be reported to NDDOT within 24 hours.</i>	Click here to enter text.	

ADA

Titles II and III of the Americans with Disabilities Act of 1990 (ADA) provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility. Entities operating a fixed-route system must provide paratransit or other special service that is comparable to the level of service provided to individuals without disabilities who use the fixed-route system.

1. What types of services (fixed route, deviated fixed route, commuter,	Click here to enter text.	
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<p>university, and/or demand response) do you provide?</p>		
<p>2. Since last review, have any complaints of discrimination due to disability been received from riders or employees? If yes, please describe the complaints. What is the process to resolve the complaints?</p>	<p>Click here to enter text.</p>	
<p>3. Are facilities accessible?</p>	<p>Click here to enter text.</p>	
<p>4. If you have non-accessible vehicles in your fleet, how do you ensure that equivalent service is provided? <i>ADA requires that service to individuals with disabilities to be equivalent to the service provided other individuals with respect to response time, fares, geographic service area, hours and days of service, and capacity.</i></p>	<p>Click here to enter text.</p>	
<p>5. Are system brochures, application forms, rider handbooks, and occasional bulletins available in alternative formats upon request? What formats? <i>ADA requires public information to be made available in alternative formats upon request. Examples of alternative formats include large type, audio-tapes, and Braille.</i></p>	<p>Click here to enter text.</p>	
<p>6. Is your system’s TDD number printed on all public materials where your voice telephone number appears? <i>The TDD number should be listed wherever the voice telephone number appears.</i></p>	<p>Click here to enter text.</p>	
<p>7. Do all accessible vehicles have a securement system for wheelchairs? <i>ADA requires that all accessible vehicles have a securement system for wheelchairs.</i></p>	<p>Click here to enter text.</p>	
<p>8. What is your policy for providing service if a mobility device cannot be secured? <i>ADA requires that service must be provided even when a mobility device cannot be secured.</i></p>	<p>Click here to enter text.</p>	
<p>9. Do drivers provide assistance to passengers as necessary and upon request with ramps, lifts, and securement devices?</p>	<p>Click here to enter text.</p>	

<i>ADA requires drivers and other personnel to provide assistance as necessary and upon request.</i>		
10. Reasonable Modification of Policy:	Click here to enter text.	
a. Does your agency have a policy in place for reasonable modification requests?	Click here to enter text.	
b. How are individuals with a disability informed of their right to request a reasonable modification (i.e. Rider handbook, brochures, website, etc.)?	Click here to enter text.	
c. How are personnel notified and trained to make a determination if a reasonable modification is requested?	Click here to enter text.	
11. Do you permit individuals that do not use wheelchairs to use lifts? <i>ADA requires operators to deploy lifts for standees upon request.</i>	Click here to enter text.	
12. What is your policy regarding service animals? <i>ADA requires that operators permit service animals to travel with riders.</i>	Click here to enter text.	
13. Do you provide service to persons using respirators or portable oxygen? <i>ADA requires operators to provide service to persons using respirators or portable oxygen.</i>	Click here to enter text.	
14. How are policies governing providing service to passengers covered under the ADA conveyed to drivers?	Click here to enter text.	
15. Are drivers trained in passenger assistance and sensitivity (PASS)? How soon after being hired does the training occur? <i>ADA requires that drivers receive training in passenger assistance and sensitivity.</i>	Click here to enter text.	
16. Are drivers trained in use of accessibility equipment? How soon after being hired does the training occur? <i>ADA requires that drivers receive training in the use of accessibility equipment.</i>	Click here to enter text.	
The following questions 17-23 are for providers of deviated fixed routes. If doesn't apply, answer "NA" in each response.		
17. Do you provide deviated fixed-route service? If yes, do public materials	Click here to enter text.	

<p>and bus schedules clearly state eligibility requirements and procedures for requesting deviated fixed-route service?</p>		
<p>18. Do you have a policy governing stop announcements? Does it meet ADA requirements? <i>For fixed route and deviated fixed route service, ADA requires drivers to announce stops at transfer points with other fixed routes, major intersections and destination points, upon request, and at intervals along a route sufficient to permit individuals with visual impairments or other disabilities to be oriented to their location.</i></p>	<p>Click here to enter text.</p>	
<p>19. When multiple routes serve the same stop, what mechanism is in place to alert individuals with visual impairments or other disabilities to the route number and destination? <i>ADA requires that operators have such a mechanism.</i></p>	<p>Click here to enter text.</p>	
<p>20. Are lifts/ramps deployed at any stop? <i>ADA requires that operators permit a passenger who uses a lift or ramp to board or disembark from a vehicle at any designated stop, unless the lift or ramp cannot be deployed, the lift will be damaged if it is deployed or temporary conditions preclude the safe use of the stop by all passengers (i.e. the stop is "closed" for the duration of such conditions).</i></p>	<p>Click here to enter text.</p>	
<p>21. Are operators required to report lift failures promptly? <i>Operators must report immediately any in-service lift and ramp failures.</i></p>	<p>Click here to enter text.</p>	
<p>22. Is alternative service provided to persons stranded for more than 30 minutes due to failures? <i>If a lift or ramp failure occurs on a route where the headway is greater than 30 minutes and the passenger cannot be served, the Transit Agency is required to provide alternative service promptly.</i></p>	<p>Click here to enter text.</p>	
<p>23. Are persons sitting in priority seats requested to vacate those seats when a person with a disability needs to use them?</p>	<p>Click here to enter text.</p>	

<p><i>When an individual with a disability needs to sit in a seat or occupy a wheelchair securement location, the Transit Agency shall ask the passenger to move in order to allow the individual with a disability to occupy the seat or securement location.</i></p>		
<p>The following questions 24-43 are for providers of fixed-route service (excluding commuter and university service). If doesn't apply, answer "NA" in each response.</p>		
<p>24. Describe the eligibility process. How do you ensure that only those who are unable to use the fix route system are certified as eligible? <i>Eligibility is to be strictly limited to certain categories of individuals:</i></p> <ul style="list-style-type: none"> • <i>Any person with a disability who is unable to board, ride, or disembark from an accessible vehicle without the assistance of another person (except for the operator of a lift or other boarding device)</i> • <i>Any person with a disability who could ride an accessible vehicle but the route is not accessible or the lift does not meet ADA standards.</i> • <i>Any person with a disability who has a specific impairment related condition that prevents the person from traveling to or from a boarding/ disembarking location.</i> 	<p>Click here to enter text.</p>	
<p>25. Are ADA complementary paratransit eligibility decisions made within 21 days of receipt of a complete application? If no, is presumptive eligibility granted? <i>Eligibility decisions must be made within 21 days of receipt of an application; if not then presumptive eligibility must be granted until an eligibility decision is made.</i></p>	<p>Click here to enter text.</p>	
<p>26. Are persons who are denied eligibility given notice of their right of appeal? Is presumptive eligibility granted if the appeal is not decided within 30 days until eligibility is denied? <i>Persons denied eligibility must be given notice of the right of appeal. If the appeal is not decided within 30 days, presumptive eligibility must be granted until the appeal is decided.</i></p>	<p>Click here to enter text.</p>	

<p>27. Do you provide complementary paratransit service to ADA eligible individuals and their personal care attendants (PCA)? Do you charge the PCA a fare? <i>ADA requires that you provide complementary paratransit service to a PCA and prohibits charging the PCA a fare.</i></p>	<p>Click here to enter text.</p>	
<p>28. Do you provide complementary paratransit service to ADA eligible individuals and at least one companion? Additional companions if space permits? <i>ADA requires the provision of service to at least one companion and additional companions if space permits.</i></p>	<p>Click here to enter text.</p>	
<p>29. Do you provide complementary paratransit service to ADA-eligible visitors for up to 21 days over a year's period? <i>ADA requires service to be provided to ADA-eligible visitors for up to 21 days over a year's period.</i></p>	<p>Click here to enter text.</p>	
<p>30. Do you provide service within ¾ miles of fixed routes and the core service area? <i>Complementary paratransit service must be provided with ¾ miles of fixed routes and the core service area.</i></p>	<p>Click here to enter text.</p>	
<p>31. At a minimum, do you provide curb-to-curb service? Origin-to-destination when necessary? <i>At a minimum, complementary paratransit service must be curb-to-curb service but must be origin-to-destination when needed.</i></p>	<p>Click here to enter text.</p>	
<p>32. Is service provided the same days and hours as fixed-route service? <i>Complementary paratransit must be provided the same days and hours as fixed-route service.</i></p>	<p>Click here to enter text.</p>	
<p>33. Are the fares no more than twice the fares for fixed-route service? <i>Fares for complementary paratransit service cannot be more than twice the fares for fixed-route service.</i></p>	<p>Click here to enter text.</p>	
<p>34. Do you place restrictions or priorities based on trip purpose?</p>	<p>Click here to enter text.</p>	

<i>Providers may not place restrictions or priorities based on trip purpose.</i>		
35. Is next day service provided? If yes, what percent of reservations are made for the next day? <i>At a minimum, next day service must be provided.</i>	Click here to enter text.	
36. Are requests for reservations accepted during normal business hours on all days prior to days of service, even if the administrative office is closed? How are reservations accepted when the administrative office is closed? <i>Requests for reservations must be accepted during normal business hours on all days prior to days of service, even if the administrative office is closed. Answering machines can be used to take reservations.</i>	Click here to enter text.	
37. Are trips scheduled within one hour of requested trip time? <i>Trips must be scheduled within one hour of the requested trip time.</i>	Click here to enter text.	
38. Is a no-show suspension/late cancellation suspension policy used? If yes: <i>ADA allows providers to temporarily suspend service for a pattern or practice of no-shows. Only no-shows that are under the rider's normal control should be counted against the rider.</i>	Click here to enter text.	
a. What is the suspension policy for no-shows?	Click here to enter text.	
b. How does the state or subrecipient determine whether or not no-shows are under the rider's control?	Click here to enter text.	
c. Are no-shows caused by operator error counted against the rider?	Click here to enter text.	
d. What are the thresholds for a cancellation before it is considered a no-show?	Click here to enter text.	
e. Are only riders who have demonstrated a true pattern or practice of no-shows suspended?	Click here to enter text.	
f. Are financial penalties assessed for no-shows? <i>Systems may not impose a financial penalty as part of a no-show policy,</i>	Click here to enter text.	

<i>including charging for fare for the no-show trip.</i>		
g. Are riders allowed to contest no-shows?	Choose an item.	
h. Is there an appeals process for suspensions? <i>The policy should allow riders to contest no-shows and there must be an appeals process for suspension.</i>	Click here to enter text.	
The purpose of the following questions 39-44 is to determine if there is a capacity constraint. Transit Agencies may not restrict capacity to limit the number of complementary paratransit trips.		
39. For next day service, at what time of day are reservations cut off?	Click here to enter text.	
40. What percent of requests are denied? How do you monitor trip denials?	Click here to enter text.	
41. What do you consider an on-time trip? How do you monitor on-time performance? What is your on-time performance rate?	Click here to enter text.	
42. How do you monitor missed trips?	Click here to enter text.	
43. What percent of trips are missed?	Click here to enter text.	
44. <i>Reviewer: Do the answers to the above questions indicate that a capacity constraint exists?</i>		

Drug and Alcohol Program

Transit Agencies must have a drug and alcohol-testing in place for all safety-sensitive employees.

1. Who is the person assigned to run the drug and alcohol program for your agency? Is a notice posted informing safety sensitive employees who to contact if they have any questions regarding the drug and alcohol policy or the federal regulations?	Click here to enter text.	
2. Who is the consortium/third party administrator (TPA)? <i>The consortium/TPA draws the random sample, contacts the medical review officer (MRO), and usually contacts the collection site.</i>	Click here to enter text.	

<p>3. What is the name of the drug testing lab? Is the lab certified by the US Department of Health and Human Services (DHHS)? <i>The drug testing lab must be DHHS-certified.</i></p>	<p>Click here to enter text.</p>	
<p>4. Who your medical review officer (MRO)? <i>The MRO reviews the results of all positive drug tests to confirm that they are truly positive and provides a quality assurance review of the drug testing process. The MRO must be a licensed physician with appropriate medical training and knowledge of substance-abuse disorders.</i></p>	<p>Click here to enter text.</p>	
<p>5. Who provides the breath alcohol technicians (BAT) or the non-evidentiary alcohol-screening testing technicians (STT)? <i>The BAT and STT work for the collection site. The BAT conducts DOT breath alcohol screening and confirmation tests while the STT conducts saliva alcohol screening tests.</i></p>	<p>Click here to enter text.</p>	
<p>6. Who is the substance abuse professional (SAP)? <i>When an employee or applicant fails a drug or alcohol test, you must refer him or her to the SAP. The SAP conducts a clinical assessment and evaluation of employees that test positive for drugs or alcohol and recommends a treatment program. The SAP must be a licensed professional with knowledge of and clinical experience in the diagnosis and treatment of drug and alcohol-related disorders. If you do not have a SAP directly under contract, contact your third party administrator for his or her qualifications.</i></p>	<p>Click here to enter text.</p>	
<p>7. Do you have an updated drug and alcohol policy approved by your Governing Board and NDDOT?</p>	<p>Click here to enter text.</p>	
<p>8. What positions are in the testing pool? Are all positions safety-sensitive?</p>	<p>Click here to enter text.</p>	
<p>9. Were annual MIS drug and alcohol reports submitted on time? Were the tests conducted at a random rate of 25 percent for drugs and 10 percent for alcohol?</p>	<p>Click here to enter text.</p>	

<p>10. Who selects employees for random testing? Are random selections available for the past two years? How often are the names received for random testing from the third party administrator? Do the reports indicate that the Transit Agency conducts random testing?</p>	<p>Click here to enter text.</p>	
<p>11. Are the date and time of notification and collection documented? <i>Random tests must be spread throughout the year, the draw period, and the hours of service. The date and time of notification and collection must be documented.</i></p>	<p>Click here to enter text.</p>	
<p>12. Do you ensure that a completed testing form is sent to the collection site when employees are sent for testing?</p>	<p>Click here to enter text.</p>	
<p>13. Do you make proper post-accident determinations in regard to testing? <i>Fatal accident: Employers must test all surviving covered employees on duty in the vehicle at the time of the accident and any other covered employee whose performance may have contributed to the accident.</i> <i>Nonfatal accidents: Employers must test all covered employees on duty in the vehicle at the time of the accident and any other covered employee whose performance may have contributed to the accident unless the employer determines that an employee's performance did not contribute to the accident. The employer must document the decision on whom to test and not to test.</i></p>	<p>Click here to enter text.</p>	
<p>14. Who maintains the drug and alcohol-testing program records? Where are they maintained in a secure location with controlled access? <i>Transit Agencies must maintain drug and alcohol-testing records in a secure location with controlled access.</i></p>	<p>Click here to enter text.</p>	
<p>15. Are the following records maintained for at least 1 year: a. Alcohol test results less than 0.02 b. Verified negative drug test results</p>	<p>Click here to enter text.</p>	
<p>16. Are the following records maintained for at least 2 years:</p>	<p>Click here to enter text.</p>	

<ul style="list-style-type: none"> a. Collection process for alcohol-testing except calibration of evidentiary breath testing devices b. Collection process for drug testing c. Alcohol education and training records d. Drug education and training records 		
<p>17. Are the records from previous employers kept at least 3 years?</p>	<p>Click here to enter text.</p>	
<p>18. Are the following records maintained for at least 5 years:</p> <ul style="list-style-type: none"> a. Alcohol test records with alcohol readings of 0.02 or greater b. Drug-test records with verified positive results c. Calibration documentation of evidentiary breath-testing devices d. SAP evaluations and referrals of employees for alcohol misuse e. Employee compliance with recommendations of the SAP for drug use and/or alcohol misuse, including results of return-to-duty and follow-up testing f. SAP evaluation and referrals of employees for drug use g. MIS reports h. Refusals 	<p>Click here to enter text.</p>	
<p>19. Is an employee's permission obtained before releasing drug and alcohol-testing records (<i>except to the MRO, SAP, or program manager</i>)? <i>An employee's permission must be obtained before releasing drug and alcohol-testing records to someone other than the MRO, SAP, or program manager.</i></p>	<p>Click here to enter text.</p>	
<p>20. Are the following types of drug and alcohol tests conducted?</p> <ul style="list-style-type: none"> a. Pre-Employment (drugs only) b. Random c. Post-Accident d. Reasonable Suspicion e. Return to Duty f. Follow-up 	<p>Click here to enter text.</p>	
<p>21. Are the following substances tested for:</p> <ul style="list-style-type: none"> a. Marijuana 	<p>Click here to enter text.</p>	

<ul style="list-style-type: none"> b. Cocaine c. Opiates d. Phencyclidine e. Amphetamines f. Alcohol 		
<p>22. Are employees and applicants for safety-sensitive positions who have verified positive drug-test results or a breath-alcohol concentration of 0.04 or greater referred to a SAP for evaluation even if they are to be terminated?</p> <p><i>Employees and applicants who have a verified positive drug-test result or a breath-alcohol concentration of 0.04 or greater must be referred to a SAP for evaluation even if they are to be terminated.</i></p>	<p>Click here to enter text.</p>	
<p>23. Has documentation been uploaded into the BlackCat Grant System that all safety-sensitive employees receive 60 minutes of training on the effects and consequence of prohibited drug use? When do you provide the training to new hires?</p>	<p>Click here to enter text.</p>	
<p>24. Has documentation been uploaded into the BlackCat Grant System that supervisors who are designated to determine whether reasonable suspicion exists to require a safety-sensitive employee to undergo alcohol and-or drug-testing been provided the following training?</p> <ul style="list-style-type: none"> a. At least 60 minutes of training on the physical, behavioral, speech, and performance indicators of probable alcohol misuse. b. At least 60 minutes of training on the physical, behavioral, and performance indicators of probable drug use. 	<p>Click here to enter text.</p>	
<p>25. Do you obtain and review for completeness and accuracy the employer copies of the custody and control forms and alcohol testing forms?</p> <p>If you find a problem with a form, do you follow up with the collection site</p>	<p>Click here to enter text.</p>	

in writing and ask for documentation of the corrective action?		
26. Is Drug Free Workplace signage posted visible to employees? Is educational material on effects and consequences of substance abuse displayed? Are community service hotline numbers displayed?	Click here to enter text.	

Charter Bus

Transit Agencies are prohibited from using federally funded equipment and facilities to provide charter service except in accordance with allowable exemptions or exceptions.

<p>1. Do you operate charter service? If yes, describe the charter service provided. How many requests do you receive for charter service in an average year?</p> <p><i>Charter service is defined as: Transportation provided at the request of a third party for the exclusive use of a bus or van for a negotiated price; or transportation provided to the public for events or functions that occur on an irregular basis or for a limited duration and:</i></p> <ul style="list-style-type: none"> • <i>A premium fare is charged that is greater than the usual or customary fixed route fare; or</i> • <i>The service is paid for in whole or in part by a third party.</i> 	Click here to enter text.	
<p>2. Under what exceptions is the charter service operated? (Did you follow the procedures required by the exception? Have you ever advertised charter service?)</p> <p>Reviewer – review paperwork documenting the trip.</p>	Click here to enter text.	
<p>3. Have you completed and submitted the Charter Service Reporting Form for each charter trip?</p> <p><i>Quarterly Charter Report required by NDDOT for service provided under the exception for Gov't Officials, Qualified Human Service Organizations, Leasing, and When no registered charter provider responds to a notice.</i></p>	Click here to enter text.	
<p>4. Do you maintain charter records for at least three years? Are these procedures documented?</p>	Click here to enter text.	

<p>5. Have any complaints been filed alleging that the charters are in violation of the FTA regulations? <i>Any charter companies filing a complaint that their company was not offered an opportunity to provide service must be reported to the NDDOT Transit office.</i></p>	<p>Click here to enter text.</p>	
<p>6. What willing and able charter operators are in your area and have you ever done charter service with them?</p>	<p>Click here to enter text.</p>	

School Bus

Transit Agencies are prohibited from providing exclusive bus service unless the service qualifies under an allowable exemption and is approved by the FTA Administrator. In no case can federally funded equipment or facilities be used to provide exclusive school bus service. Head Start transportation is considered human service transportation, not school bus service.

<p>1. Is exclusive school bus service operated? If yes, has the FTA administrator approved the service? Is it operated only with non-federally funded equipment and from non-federally funded facilities? <i>Transit Agencies are prohibited from providing exclusive school bus service unless the service qualifies under and allowable exemption and is approved by the FTA administrator. In no case can federally funded equipment or facilities be used to provide exclusive school bus service.</i></p>	<p>Click here to enter text.</p>	
<p>2. Are you a fixed-route operator that provides school “tripper” service? A tripper is an extra bus that is added to a route to provide capacity or service that cannot be accommodated by the buses already in service. If yes, does the tripper service meet the following criteria to be considered public transit service? a. Regulatory scheduled mass transportation service? b. Buses are clearly marked as open to the public?</p>	<p>Click here to enter text.</p>	

<p>c. Service has been modified to meet needs of students/school personnel?</p> <p>d. Service uses various fare collection systems or subsidies?</p> <p>e. Buses have no special designations (e.g., school bus, school special)?</p> <p>f. Buses use regular bus stops?</p> <p>g. Service is noted on published schedules?</p> <p><i>If not, the service does not qualify as public transit service and cannot be provided with FTA-funded equipment or out of FTA-funded facilities.</i></p>		
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Service Planning

Service Eligibility

Section 5311 funds must be used for public transportation projects and intercity projects in non-urbanized areas. Section 5310 funds must be used to support the special transportation needs of elderly individuals and individuals with disabilities.

<p>1. What types of contract and subscription service do you provide? With whom? Do the contacts and subscription service interfere with the provision of public transit? Have you had to deny public transit trips because the contracts and subscription service utilized all available capacity? If yes, how often?</p>	<p>Click here to enter text.</p>	
<p>2. Do you provide service to the general public while providing contract and subscription services? <i>Section 5311 service must be provided to the general public and be available during normal commute times.</i></p>	<p>Click here to enter text.</p>	
<p>3. Do you rank trips by purpose? If yes, please provide the order of priority. Does the ranking of trips discourage the general public from using the service? Have you denied service because a trip with a lower-ranked purpose could not be accommodated? If yes, how often?</p>	<p>Click here to enter text.</p>	
<p>4. Are vehicles clearly identified as general public transit service? Is the</p>	<p>Click here to enter text.</p>	

<p>phone number to call for a ride on the vehicles? <i>Vehicles must be clearly identified as general public service.</i></p>		
<p>5. Are the vehicles marked in any way that represents exclusive use for a specific organization or clientele? <i>Vehicles may not display markings that imply exclusive use for a specific organization or clientele.</i></p>	Click here to enter text.	
<p>6. Are any of your trips sponsored by Medicaid? Are any of your trips sponsored by ND Veterans Services?</p>	Click here to enter text.	
<p>7. Does the agency answer the phone in such a way that the general public knows they contacted a public transit provider? Do you have a direct line for transportation or do all transportation calls go through the general receptionist?</p>	Click here to enter text.	
<p>8. How are you listed in the phonebook, on your website, and Facebook?</p>	Click here to enter text.	
<p>9. Do you provide meal delivery or other incidental services? If yes, how many meals or other incidental services do you deliver? At what times of the day? Do the services interfere with the provision of transit service? Do the incidental services bear the costs of the service? <i>Transit Agencies may provide incidental service with FTA-funded vehicles but the service must not interfere with the provision of transit service and must bear the costs of providing the service.</i></p>	Click here to enter text.	

Title VI and Nondiscrimination in the Delivery of Service

FTA prohibits discrimination on the grounds of race, color, or national origin and on the grounds of low-income status in accordance with Title VI of the Civil Rights Act of 1964. There are other Federal statutes, regulations, Executive Orders, and laws that prohibit discrimination on the basis of gender, age, religion, and disability. Transit Agencies must notify the public of its protection under Title VI, how to obtain additional information on nondiscrimination obligations, and how to file a complaint. The notification may not be limited to a notice on the Transit Agency’s website.

<p>1. Does your Title VI notices include all the required information?</p>	Click here to enter text.	
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<p>a. Statement identifying discrimination of race, color, and national origin</p> <p>b. Agency name</p> <p>c. Contact person</p> <p>d. Phone number</p> <p>e. Website if applicable</p>		
<p>2. Describe where the notices are posted.</p>	<p>Click here to enter text.</p>	
<p>Click here to enter text.</p>	<p>Click here to enter text.</p>	<p>Click here to enter text.</p>
<p>Click here to enter text.</p>	<p>Click here to enter text.</p>	<p>Click here to enter text.</p>
<p>Click here to enter text.</p>	<p>Click here to enter text.</p>	<p>Click here to enter text.</p>
<p>3. Is the Title VI plaque posted in all vehicles?</p>	<p>Click here to enter text.</p>	
<p>4. Has your transit agency developed a Title VI complaint form and instructions? Who investigates complaints? If the director, who investigates complaints involving the director?</p> <p><i>NDDOT title VI forms can be found at:</i> https://www.dot.nd.gov/divisions/localgov/transit-operator-portal.htm</p>	<p>Click here to enter text.</p>	
<p>5. Has your complaint form been translated into other languages? If yes, what languages?</p>	<p>Click here to enter text.</p>	
<p>6. Are your complaint form and instructions accessible to the public? If yes, where can the public access it?</p>	<p>Click here to enter text.</p>	
<p>7. Has SFN: 60805 Transit Title VI – List of Investigations, Lawsuits, and Complaints been uploaded into BlackCat?</p> <p><i>If your agency did not have any please indicate with "None" in each section.</i></p>	<p>Click here to enter text.</p>	
<p>8. Have any complaints concerning discrimination in the delivery of service been received since the last review?</p> <p>If yes, how were the complaints tracked, identified and resolved?</p> <p><i>Title VI complaints must be reported to NDDOT within 24 hours of receipt of the complaint.</i></p>	<p>Click here to enter text.</p>	

9. Have you implemented substantial service or fare changes in the past 3 years? If yes, was an opportunity provided for a public hearing and public comment?	Click here to enter text.	
10. How are individuals provided opportunities to participate in the transit planning and decision-making process without regard to race, color, or national origin? Has a need for transportation improvements been expressed? If yes, please describe.	Click here to enter text.	
11. How are limited English proficiency (LEP) persons notified of language assistance? Please provide a copy of the materials used to promote your service to minority and LEP populations.	Click here to enter text.	
12. What is the frequency of contact with LEP persons? What languages were spoken? Do you have any translation services available?	Click here to enter text.	
13. Have you translated documents into Spanish or another language? If yes, list the documents and languages they are translated into.	Click here to enter text.	
14. What other language assistance efforts have you used? (I Speak Cards, Google Translate, etc.)	Click here to enter text.	
15. How does your Transit Agency provide training to employees on free language assistance for LEP users?	Click here to enter text.	

Public Participation

The federal Government mandates public involvement prior to raising fares, implementing major reductions in service, or applying for grants to finance transportation improvement projects.

1. Has your Transit Agency implemented substantial service or fare changes? Was an opportunity provided for a public hearing?	Click here to enter text.	
2. Have any public hearings for any reason been held in the last 3 years?	Click here to enter text.	
3. How are individuals provided opportunities to participate in the transit planning and decision-making	Click here to enter text.	

process without regard to race, color, or national origin?		
4. How does your transit agency assess service and interact with the public? (suggestion boxes, rider surveys, rides taken by board members or management staff, etc.)	Click here to enter text.	
5. Are board meetings open to the public? How do you publicize dates, times, and location of board/council meetings?	Click here to enter text.	

Fixed-Route System-wide Service Standards (Only complete if your agency provides a Fixed-Route Service)

1. Has your Transit Agency established fixed-route system-wide standards? If yes, describe the types of routes you provide?	Click here to enter text.	
2. Has your Transit Agency adopted vehicle capacity standards? If yes, please describe?	Click here to enter text.	
3. Has your Transit Agency adopted vehicle headway standards? If yes, please describe.	Click here to enter text.	
4. What is your on-time performance standard(s)?	Click here to enter text.	
5. Has your Transit Agency set system-wide policies for each fixed-route mode of service?	Click here to enter text.	

Marketing

1. How do you advertise your transit service? What media are used and how often?	Click here to enter text.	
2. Do you conduct rider satisfaction surveys? How often? When was the last survey? What were the results from the survey and how were the results implemented into the Transit Agency's service? <i>Good practice</i>	Click here to enter text.	
3. Please describe your fare structure.	Click here to enter text.	
4. Is the fare policy formally adopted by the board based on financial and socio-economic considerations?	Click here to enter text.	

<i>Good practice</i>		
5. Is the fare policy reviewed annually? <i>Good practice</i>	Click here to enter text.	
6. When was the last fare increase?	Click here to enter text.	
7. Are the public information systems complete, easy to understand and available in alternative formats?	Click here to enter text.	
a. Schedules and time tables	Click here to enter text.	
b. Route maps	Click here to enter text.	
c. Signage and other user aides	Click here to enter text.	
d. How-to-ride information	Click here to enter text.	
e. Telephone information system (including a dedicated number for general public service)	Click here to enter text.	
8. How and where are marketing materials (brochures, schedules. etc.) distributed? Are they displayed at key public locations such as city halls, libraries, community centers, shopping malls, etc.?	Click here to enter text.	
9. Do you have a website? If yes, does the website provide information on:	Click here to enter text.	
a. Hours and days of service?	Click here to enter text.	
b. Types of service?	Click here to enter text.	
c. How to plan a trip?	Click here to enter text.	
d. Bus schedules and maps?	Click here to enter text.	
e. Public meetings and hearings?	Click here to enter text.	
f. Route and schedule changes?	Click here to enter text.	
g. Transit advisory committee participation and meetings?	Click here to enter text.	
h. Customer service number?	Click here to enter text.	
i. Links to other transit system websites?	Click here to enter text.	
j. TDD number?	Click here to enter text.	
k. Sign up for an email information list?	Click here to enter text.	
l. Protection under Title VI?	Click here to enter text.	
m. How to file a compliment, complaint, or suggestion, including a Title VI complaint?	Click here to enter text.	
n. ADA complementary paratransit	Click here to enter text.	

Human Service Coordinated Plan

FTA requires that Transit Agencies applying for funding under the Section 5310 program submit a locally developed, coordinated public transit-human series transportation plan and that the plan be developed through a process that includes public, private, and non-profit transportation and human services providers and participation by members of the public. These plans are used to identify the

transportation needs of individuals with disabilities, older adults, and people with low income. Transit Agencies located in the planning area of a metropolitan planning organization (MPO) must ensure that their program of projects is included in a Transportation Improvement Program (TIP) for the area.

<p>1. Has an annual human service coordination plan been submitted and approved by NDDOT? <i>Required for 5310 application for funds.</i></p>	<p>Click here to enter text.</p>	
<p>2. Since submitting your plan\update, have any additional efforts been made to coordinate service? If yes, please describe.</p>	<p>Click here to enter text.</p>	
<p>3. Are there more opportunities for coordination?</p>	<p>Click here to enter text.</p>	
<p>4. Do you have a current list of all providers of passenger transportation in your service area?</p>	<p>Click here to enter text.</p>	
<p>5. Have you invited school districts to participate or be included in your transportation coordination efforts?</p>	<p>Click here to enter text.</p>	
<p>6. Describe any coordination activities between your agency, other transportation partners, and human services providers. Examples might include</p> <ul style="list-style-type: none"> a. Consolidated purchase of service b. Central information center c. Centralized dispatch d. Planning e. Maintenance f. Purchasing (vehicles, parts, fuel) g. Training h. Management (information systems, billing) i. Marketing j. Other (please describe) 	<p>Click here to enter text.</p>	
<p>7. Describe all Section 5310 and 5311 Transit Agencies that operate in your service area, how many vehicles they operate, the days and hours of operation, and the number of trips they provide.</p>	<p>Click here to enter text.</p>	

Comments

Findings after Compliance Review

_____ Transit Agency was In Compliance
Date letter was sent to Transit Agency _____

_____ Transit Agency was In Compliance upon Modification/Attention and Follow Up is needed
Date letter was sent to Transit Agency _____
Date given to have findings returned to NDDOT _____
Date requested material was returned to NDDOT _____

_____ Non Compliance
Major items need immediate attention or risk loss of funding
Date letter was sent to Transit Agency _____
Date given to have findings returned to NDDOT _____
Date requested material was returned to NDDOT _____
Date was sent to Transit Agency notifying In Compliance status _____

NDDOT Transit Reviewer

Date

Certification for Contracts, Grants, Loans, and Cooperative Agreements

(To be submitted with each bid or offer exceeding \$100,000)

The undersigned [Contractor] certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form--LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions [as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, et seq.)]

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

[Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to

a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The Contractor, _____, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31 U.S.C. A 3801, et seq., apply to this certification and disclosure, if any.

Signature of Contractor's Authorized Official

Name and Title of Contractor's Authorized Official

Date