

FTA

FEDERAL TRANSIT ADMINISTRATION

Tribal Transit Technical Assistance Assessment Workshop

NTTC – Anaheim, CA
October 5, 2016



U.S. Department of Transportation
Federal Transit Administration

Agenda

- Welcome
- Overview on Tribal Transit Program
- TTP Technical Assistance Assessments
 - Discuss FTA requirements for TTP Grants
 - Share how to prepare for an Assessment
- Questions and Discussion

TTP Technical Assistance Assessments

- FTA began conducting TTP Technical Assistance Assessments in FY 2015
- In FY 2015 and FY 2016 FTA conducted 30 on-site TTP Assessments
- FTA will conduct additional TTP Technical Assistance Assessments in FY 2017

TTP Technical Assistance Assessments

- Up to 15 Tribes will receive TA assessments each year
- Tribes may have the opportunity for this TA every three years
- Tribes are identified by FTA Regional Tribal Liaisons for on-site technical assistance

Areas Most in Need of Technical Assistance

- Finance (next)
- Maintenance (Today at 9:25 am)
- Procurement (Today at 10:30 am)
- Drug and Alcohol Programs (Today at 11:25 am)
- Grants/TrAMS (Today from 1:30 pm – 5:10 pm)
- NTD (Thursday at 8:30 am)

Financial Management

What: Assure that tribes are able to manage FTA grant funds, cover operating deficits, and conduct annual audits.

Financial Management

Topics to be Discussed:

- Documenting the current year's transit operating and capital budgets
- Maintaining a financial management system with proper internal controls, including segregation of duties
- Tracking and documenting grant expenditures

Financial Management

Topics to be Discussed (cont.):

- Conducting annual Single Audits and responding to findings

Who:

- Transit Manager
- Finance and accounting staff
- TEAM and ECHO staff

Financial Management

Documents to Have Available:

- Single Audits for the past three years, if FTA findings
- Operating and capital budgets – current and 3-5 year projections
- Indirect cost rate approval letter from Interior
- ECHO supporting documentation
- NTD reports for the past 3 years

Financial Management

How to Prepare:

- Develop a 3-5 year financial plan showing total expenses for the transit system and sources of revenue (FTA, FHWA, other)
- Review Single Audits for findings related to the transit program <http://harvester.census.gov/sac>

Financial Management

How to Prepare (cont.):

- Check most recent indirect cost rate approval letter to see if you are charging the current rate to FTA grants.
- Let your accounting staff know that there will be an on-site review of your ECHO backup documentation for several requests.

Financial Management

How to Prepare (cont.):

- ECHO supporting documents include:
 - Invoices
 - Cancelled checks
 - Proof of payment dates
 - Timesheets
 - Approval signatures
 - Local match calculations, if applicable

Asset Management

What: Assure that tribes are maintaining control over facilities, buses and other equipment.

Assure that tribes keep FTA funded equipment and facilities in good operating order.

Asset Management

Topics to be Discussed:

- Procedures for keeping records of FTA-funded facilities and equipment.
- Frequency and results of biennial inventories
- Insurance to protect FTA-funded assets

Asset Management

Topics to be Discussed (cont.):

- Disposition of FTA-funded assets
- Written maintenance plans for facilities
- Preventive maintenance (PM) records for equipment

Asset Management

Who:

- Transit Manager
- Maintenance staff
- Inventory control staff

Asset Management

Documents to Have Available:

- Records and Inventory of FTA-funded equipment
- Procedures to prevent theft
- List of equipment removed from service
- Written maintenance procedures
- Maintenance records

Asset Management

How to Prepare (cont.):

- Develop an inventory of all equipment and facilities that have an FTA interest, to include:
 - ID #, acquisition date, purchase price, grant #, federal share, location, condition, disposition, useful life, and vested title
- Confirm if FTA approved any mixed use or incidental use of FTA facility

Asset Management

How to Prepare (cont.):

- Develop a list of FTA-funded assets disposed of in past three years. Did any items have remaining useful life?
- Review vehicle recommended maintenance schedules. Are mechanics following the schedules?
- Review written maintenance plans for FTA-funded facilities.

Asset Management

How to Prepare (cont.):

- Check PM records for equipment and facilities:
 - Are PM inspections conducted at the intervals in the PM schedule at least 80% of the time?
- Check to see if repairs to equipment or facilities under warranty are paid for or performed by vendors.

Procurement and Buy America

What: Assure that tribes understand FTA's procurement procedures and that there is full and open competition for all procurements.

Assure that FTA-funded procurements meet Buy America requirements.

Procurement and Buy America

Topics to be Discussed:

- Procurement policies and procedures
- Solicitation and contract terms and conditions
- Piggybacking arrangements
- Rolling stock purchases

Procurement and Buy America

Topics to be Discussed (cont.):

- FTA-funded procurements must:
 - Prohibit geographic preference (tribal preference is allowed)
 - Include applicable FTA clauses
 - Meet Buy America requirements
 - Not be awarded to entities or individuals debarred or suspended by the Federal government.

<https://www.sam.gov/portal/SAM/#I>

Procurement and Buy America

Who:

- Purchasing staff
- Contract administration staff

Procurement and Buy America

Documents to Have Available:

- Written procurement procedures
- List of all FTA-funded procurements
- Procurement files, upon request
- Bidder protest, if any

Procurement and Buy America

How to Prepare:

- Compare your procurement procedures to FTA C. 4220 I.F <http://www.fta.dot.gov/about/13054.html>
- Maintain an ongoing list of FTA-funded procurements, to include:
 - Date, type (e.g. RFP or IFB), description of goods or services and the amount of award.
- Maintain a written record of procurements

Procurement and Buy America

How to Prepare (cont.):

- Review solicitation documents and contracts for FTA-required clauses
- Check procurements of steel, iron, and manufactured products and rolling stock over \$150,000 for Buy America clauses.
 - Tribes do not need to perform Buy America audits or certifications for TTP-funded procurements

Procurement and Buy America

How to Prepare (cont.):

- Carefully scrutinize “piggy back” purchases
- Use National RTAP’s ProcurementPro:
 - <http://webbuilder.nationalrtap.org/supportcenter/PROApps/ProcurementPRO.aspx>

Drug and Alcohol Testing

What: Assure that tribes have a drug and alcohol testing program for all safety-sensitive employees.

Drug and Alcohol Testing Program

Topics to be Discussed:

- Policy statement
- Tribe and contractor governing body approval
- Inclusion of most recent updates to program
- Types of tests

Drug and Alcohol Testing Program

- **Topics to be Discussed:**
 - Rate of random testing
 - Post-accident determinations
 - New hire data
 - Monitoring of program vendors

Drug and Alcohol Testing Program

How to Prepare:

- Confirm that your FTA policy is for “safety-sensitive” employees only
- Check to see if policy has been approved by tribal council or other governing body
- Does the policy identify a contact person?

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Drug and Alcohol Testing Program

Who:

- Human resources
- Safety staff

Drug and Alcohol Testing Program

Documents to Have Available:

- Tribe's drug and alcohol program
- Training records for safety sensitive employees
- Location of testing records
- List of staff trained to make reasonable determination or post accident decisions
- Drug and Alcohol MIS (DAMIS) reports for past 3 years

Drug and Alcohol Testing Program

How to Prepare:

- Determine if FTA requirements apply to you
- Check your policy and that of any contractors to make sure it is current
- Check to see if your policy was approved by governing body
- Check FTA's website at: <http://transit-safety.fta.dot.gov/DrugAndAlcohol/Default.aspx>

Drug-Free Workplace Act

What: Assure that tribes maintain a drug-free workplace for all employees.

Drug-Free Workplace Act

Topics to be Discussed:

- Drug-Free Workplace Policy for ALL tribal employees
- On-going Drug-Free Workplace Program

Drug-Free Workplace Act

Who:

- Human resource staff

Documents to Have Available:

- DFWA Policy
- Notification to employees
- On-going awareness program materials

Drug-Free Workplace Act

- **How to Prepare:**

- DFWA Policy must state:

- *The workplace is drug-free*
 - *The unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in the workplace is prohibited*
 - *Employees must abide by the terms of the policy statement as a condition of employment*
 - *If convicted of a drug statute violation that occurred in the workplace, employees are to report it to the employer in writing no later than five calendar days after such a conviction*

Next Steps

- Review “checklist” in How To...Guide
- Attend other training, e.g., NTD, Drug and Alcohol, Procurement, State Transit Association Conferences, etc.
- Use resources found at:
 - www.Nationalrtap.org
 - www.fta.dot.gov

Next Steps

- Consult with your FTA Regional Tribal Liaison, as needed
- Continue to report to the National Transit Database

Contact Info

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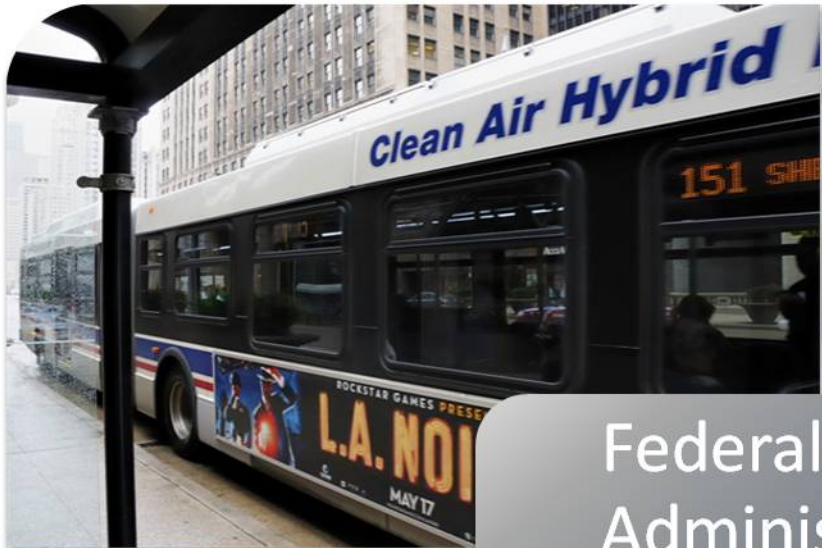
202-366-3800

TTP Webpage:

http://www.fta.dot.gov/grants/15926_3553.html

Discussion/ Questions?





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