



# Policy Manual

Office of Public Transportation

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*Each section of this document starts on a new page (if printed double-sided). Feel free to use blank pages in this document to keep notes, important phone numbers, etc. that you find beneficial to your program.*

This Policy Manual was released for public review and comment on our website from March 1 through 31, 2018. Additionally, an email was distributed to current program providers and CTD Administrators to seek their input directly. We received three comments and have incorporated them all into this Policy Manual update.





# Summary of Changes

A brief synopsis of changes made in this current version of our Policy Manual are listed below. Additionally, typographical and grammatical changes were made, but do not appear on this list.

Page	Topic	Summary
10	Funding Sources	Added listing and descriptions of the various funding programs KDOT administers
12	Phone book advertisement	Requirement maintained
17	Driver's physical	Clarified which drivers in a 5310 program must go through the DOT driver's physical
17	Reimbursements	Updated reporting process to include online reports through Black Cat grants management software
17	Reports for DBE, ridership, Charter service	Added frequency of reporting for each
18	5310 reimbursement schedule	Clarified when 5310 programs can request funds
18	Travel expenses	Clarified requirement for out-of-state travel to be approved for reimbursement
18	<i>de minimis</i> costs	Updated policies
21	NTD reportable events	Added chart
23	Transit system policies	Updated policy on service animals
24	Reimbursement for drug testing	Clarified KDOT policy on reimbursement
26	Fixed route requirements	Clarified requirements of fixed route (source: National RTAP toolkit)
27	ADA Paratransit Service Criteria	Clarified service criteria (source: National RTAP toolkit)
29	Civil Rights	Updated timeframe to 180 days
31	NTD data	Clarified requirements of agencies and Designated Recipients in Kansas
31	Child seats	Clarified that both a child safety seat and a booster seat are required; Added integrated seats as allowable in our program.
32	Sale of released vehicles	Added clarification on FTA/KDOT process for recovering funds on the sale of vehicles
32	Referring to wheelchairs	Clarified that the term 'common wheelchair' must be removed from all media, websites, and agency documents and updated with simply 'wheelchair'
33	Charter service	Added definition
36	Announcements	Added ways that KDOT will advertise a call for projects

36	Certifications & Assurances	Clarified requirement of annual submittal
38	MPO and TIP	Changed guidance so that the MPOs will receive notice directly from KDOT; MPOs will program awards in their respective TIP after they have received complete documentation on total awards, as provided for in their TIP respective processes. Agencies do not have to get letter of concurrence before applying
40	Approved Trainer Program	Added section to cover this updated program and its requirements
42	Vehicles on training days	Clarified that transit program vehicles are not to be driven to training sites without a prior request from the KU-RTAP trainer to KDOT and written approval of the KDOT Public Transit Manager
45	Tax on vehicles	Clarified that the agency is responsible for 100% of the taxes on each vehicle – it is not a reimbursable expense
48	Annual KDOT Inspection	Clarified inspection responsibility, FTA requirements, and what happens if the annual inspection and resulting repairs are not completed
48	Maintenance requirements	Covered non-compliance and gross negligence policies
50	Inspections	Added new Pre-shift change-post-weekly inspection form
53	Warranty repairs	Added warranty claim guidance
53	Technology and communications	Added base requirement for every vehicle in the KDOT fleet
53	Bicycle Racks and Policies	Added section on bicycle racks being an eligible expense as well as the agency's responsibility to develop bicycle policies
58	CTD Meeting requirements	Clarified requirements the purpose and effects of the letter of good standing
66	Single Audit review	Clarified that the KDOT Public Transportation Manager is responsible for reviewing all audits
68	Record retention	Clarified timeframes for record retention as well as policy for retaining Event/Incident/Accident reports and associated agency documentation
70	Triennial Reviews	Added link to the Triennial Review questionnaire
72	Mobility Management	Added entire section (new to our Policy Manual)

# Funding Sources

## Federal Programs

KDOT manages various federal funding sources for transportation projects in Kansas. The following list elaborates on what each program is designed to accomplish.

### 5307 – Formula Grants for Urbanized Areas

*The Urbanized Area Formula Funding program (49 U.S.C. 5307) makes federal resources available to urbanized areas and to governors for transit capital and operating assistance in urbanized areas and for transportation-related planning. An urbanized area is an incorporated area with a population of 50,000 or more that is designated as such by the U.S. Department of Commerce, Bureau of the Census.*

### 5310 – Enhanced mobility for Seniors and Persons with Disabilities

*This program (49 U.S.C. 5310) provides formula funding to states for the purpose of assisting private nonprofit groups in meeting the transportation needs of older adults and people with disabilities when the transportation service provided is unavailable, insufficient, or inappropriate to meeting these needs. Funds are apportioned based on each state's share of the population for these two groups. Formula funds are apportioned to direct recipients; for rural and small urban areas, this is the state Department of Transportation, while in large urban areas, a designated recipient is chosen by the governor.*

### 5311 – Formula Grants for Rural Areas

*The Formula Grants for Rural Areas program provides capital, planning, and operating assistance to states to support public transportation in rural areas with populations of less than 50,000, where many residents often rely on public transit to reach their destinations. The program also provides funding for state and national training and technical assistance through the Rural Transportation Assistance Program.*

### 5339 – Bus and Bus Facilities Infrastructure and Investment Program

*The Bus & Bus Facilities Infrastructure Investment Program (49 U.S.C. 5339) makes federal resources available to states and direct recipients to replace, rehabilitate and purchase buses and related equipment and to construct bus-related facilities including technological changes or innovations to modify low or no emission vehicles or facilities. Funding is provided through formula allocations and competitive grants. A sub-program, the Low- or No-Emission Vehicle Program, provides competitive grants for bus and bus facility projects that support low and zero-emission vehicles.*

As new federal funding programs are developed and announced, we will update this list to include those additions.

## State programs

KDOT also has access to state dollars that have been legislatively allocated to support public transit and paratransit programs. This source of funding is used in concert with federal and/or local dollars to provide greater resources to the almost 150 operators providing transit and paratransit services in the state. These funds are allocated on either a formulaic or discretionary basis as defined by each program to support proposals that clearly advance the goals and objectives outlined in our Coordinate Public Transit-Human Services Transportation Plan (Coordinated Plan), our KDOT Regional Transit Business Model Implementation Plan (Business Model), and/or our Transit Asset Management (TAM) Plan.



# General Requirements

## Advertising

*NOTE: 5310 grant recipients are not required, but are encouraged, to advertise transit services.*

Advertising of the public transportation services program is a requirement of the Federal Transit Administration. Advertising is an allowable expense under the operating grant of each transit provider. A line item is included in the annual budget.

KDOT requires all 5311 and/or 5339 programs to advertise the public transportation services program monthly in the local newspaper that has a distribution to the general public in their service area. Advertising cannot be strictly in a senior citizens' newsletter or only in the senior citizens' section of the newspaper. If there are several locations within the provider's service area, the provider must advertise in all local newspapers.

Examples of advertising (should be pre-approved by KDOT to assure reimbursement):

- Brochures, Posters, or Flyers
- Public Service Announcements
- Radio, TV, or Social Media Commercials (YouTube, Facebook, etc.)
- Cable TV Local Access Channel
- Exterior Signs/Billboards
- Small marketing give-a-ways such as pens, pencils, notepads, etc.

Additionally, advertising in regional and/or local phone book yellow pages under the category General Public Transportation is required and must specify that it is General Public Transportation. We understand that technology is changing, but many of our customers still use these directories as a resource and so, we will maintain this requirement. Copies of all advertising should be retained by the provider agency for a period of 5 years.

Advertising must be a block ad at least 2"x3" in size. The ads cannot be placed in the classified section of the newspaper.

All advertising must indicate the local transit service runs on a first come, first served basis with no special designations for priority trips such as medical or other appointments. Advertisements must include the statement "This project funded in part by the KDOT Public Transportation Program".

### General Public Transportation

**We provide door-to-door transportation as well as many additional services to residents of Douglas County including people living with disabilities.**

Call to schedule a ride: **843-5576**  
Monday-Friday  
8:00 am - 5 pm  
Last Ride at 4 pm

Funded in part by KDOT  
Public Transit Program

Even if you don't have a disability and live outside the Lawrence area, we can help.

Local transit service runs on a "first come, first serve" basis with no special designations for priority trips such as medical or other appointments.

**independence inc.**  
for people with disabilities

**advocacy, peer support, training, transportation, community education**

**[www.independenceinc.org](http://www.independenceinc.org)**

## **Submittal**

Proof of advertising for the 5311 program is required to be submitted to KDOT in the annual grant application, (due in November each year). Additional proof is also required to be submitted to KDOT by May 15<sup>th</sup> of each year. Proof of advertising includes a copy of the ad or ads ran and a tear sheet or copy of the bill confirming publication. If a provider runs the same ad in several different newspapers they only need to send in one copy of the ad with proof of publication. Proof of advertising is also confirmed during the on-site triennial review.

If a provider fails to send in the proof of advertising, a letter or e-mail will be sent from KDOT requesting the information. The provider agency will have 14 calendar days from when the letter or e-mail is dated to respond to KDOT. The response must be in writing and should include copies of the advertising and the proof of publication. If the agency fails to submit the required information, KDOT may withhold payment of operating reimbursements until the required information is submitted.

## **Ads on program vehicles**

Advertising on the outside of all transit vehicles is allowed by KDOT as an additional way to generate program funds. In general, advertisements on the outside of transit vehicles shall conform to commercial speech standards and not conflict with any state or federal law. Advertising must not contain fraudulent, deceptive, or offensive material and must clearly identify the advertiser. All proposed advertising must be approved by the agency's executive officer or the organization's president and KDOT. Advertising may not alter the appearance of required labeling. The arrangements, costs, expectations and specifications for the advertising will be established within a signed contract between the transit provider and the advertiser before the advertisement can be applied to a KDOT vehicle. A separate accounting report is required to be maintained by the provider agency to verify the income generated by the advertising on the vehicle. A policy on exterior vehicle advertising should be included in the provider agency transit services policies.

## **Attendance**

Meetings or trainings that are determined to be mandatory by KDOT should be attended by the program manager or other appropriate staff person. If the provider agency fails to send a representative to a mandatory KDOT meeting or training KDOT will record the agency as a "no-show" & the agency may be subject to a loss of administrative funding in the following fiscal year.

Additionally, attendance at CTD meetings is also mandatory as outlined by each CTD's written bylaws. Failure to attend the prescribed number of CTD meetings will result in the agency not getting a Letter of Good Standing for the next year's application process. This does not mean that the agency is automatically removed from the KDOT program. Agencies in this situation are encouraged to continue to attend their region's meetings to restore their good standing.

## Procurement

KDOT requires all transit services providers to follow the federal or KDOT procurement requirements (whichever is more stringent) to ensure competitive procurement. Local procurement policies or regulations may also be used if they meet or exceed federal or state requirements.





# **Administration**

## **Correspondence with KDOT**

All written correspondence regarding compliance with the KDOT transit programs must be on agency letterhead. Handwritten correspondence will not be accepted. All transit services providers are required to notify KDOT immediately when the agency address changes, staff positions change due to retirement or terminations, or when e-mail or telephone numbers change.

## **Vehicle Insurance**

Full coverage vehicle insurance is required on all transit vehicles that are awarded by KDOT. Full coverage insurance policies are full coverage for comprehensive, collision & liability. There is no specific requirement for the deductible level.

## **Timesheets**

Employee timesheets (paper or electronic) are required to be used for all paid and volunteer positions within the agency that are a part of the transit services program. The timesheet must document the number of hours worked per day/week and must have a line for the employee signature and the supervisor's signature. Volunteers should always be treated the same as paid staff and their work time must be documented.

## **Home Offices & Vehicle Labeling Telephone Numbers**

KDOT no longer allows provider agencies to keep a transportation services office in their home. Records must be retained in a secure location at a Senior Center, City or County office or other public location. Office expenses are an allowable expense under the operating administration grant or the Coordinated Transit District administrative grant. The telephone number that is included on the vehicle labeling cannot be a personal or home telephone number. The transit services office telephone must be answered "General Public Transportation" unless otherwise approved by KDOT.

## **Passenger Manifest**

Passenger manifest forms are a part of the transportation services program and should be kept on file by the provider agency. Transit services should document the passenger's names, pick-up address, drop off location, special needs requirements and any other pertinent information for emergency or litigation purposes. Regional transportation services or other KDOT approved providers that use dispatching software will have a passenger manifest that is generated by the software program. Other transportation services providers may design their own passenger manifest forms. The passenger manifest form is a part of the program records and should be retained by each agency (the timeframe to keep records is 5 years).

## **Personnel Requirements**

Grant recipients must have job descriptions and personnel policies in place for the transit services program. The deduction of payroll taxes from the employee's paycheck and the

completion of all required Federal or State employer reporting requirements will be verified when KDOT staff completes the triennial on-site review.

## **New Driver Physicals**

New drivers will be required to have a pre-employment DOT driver's physical showing that the driver is in appropriate physical condition to operate a transit vehicle. Agencies that participate in the 5311 and/or 5339 programs must conduct the pre-employment drug screening before a prospective employee can take a DOT driver's physical. The DOT driver physical is to be performed by a physician that can administer this type of driver's physical. Proof of this physical must be retained in the driver's personnel file.

Agencies in the 5310 Program will not be required by KDOT to require DOT driver's physicals unless they also operate 5311 and/or 5339 programs and use the drivers for both programs. If the agency requires paid or volunteer drivers to take a driver's physical as a part of their pre-employment requirements; the record verifying the driver is in good physical condition to operate a transit vehicle should be retained at the agency office.

Agencies that contract with 3<sup>rd</sup> party contractors to provide drivers for their agency should verify that the contracting agency requires DOT driver's physicals as a part of the annual contract.

'Return to work' driver physical requirements are an agency decision but must also be documented if required. Provider agencies should contact their area KDOT shops for information on local physicians that can perform DOT physicals. All agencies are required to keep the driver physical information and forms on file in their office. KDOT will verify that the driver's physical has been completed and that the employee is current in meeting all DOT physical requirements when the triennial on site review is conducted.

## **Reimbursement of eligible expenses**

Most of our required reporting is now done through our Grants Management Program, Black Cat. Other uncommon KDOT program information and forms are still available on the KDOT website at <http://www.ksdot.org/burTransPlan/pubtrans/index.asp>. The public transportation page has all the information on it for the transit services programs.

Please contact KDOT if you need assistance with the Black Cat system or have questions on how to properly complete the report forms.

This is a mandatory monthly requirement and is to be submitted by the 15<sup>th</sup> of the following month. (If the 15<sup>th</sup> of the month falls on a Saturday or Sunday, providers are expected to complete the Black Cat data report prior to the 15<sup>th</sup> of the month). Failure to submit your required reports by the monthly deadline may result in an agency's not being reimbursed for operating expenses until the submissions are completed. This may result in an agency having to wait a month for reimbursement.

Other reports, such as DBE reports, ridership reports, and charter services reports are also due monthly. We use these figures to report monthly to our federal planning partners so we advise agencies to file them monthly with the reimbursement requests to keep everything together.

Agencies should never hold on to multiple months of reporting and submit in bulk. If, for example, you don't have any charter service for a given month, simply submit the report and write "No contract rides given for the month of \_\_\_\_" on it.

Transit service providers that do not complete the Black Cat reporting requirements will be considered out of compliance with KDOT program policies. KDOT staff is not required to make phone calls or send reminder e-mails to providers to enter Black Cat data, nor are they required to enter the data for the provider. Providers are encouraged to print a copy of the data for their files once they have entered it in the Black Cat reporting system.

### 5310 Reimbursement Requests

Agencies requesting reimbursement for 5310 programs must claim their entire \$5,000 (for agencies with less than 10 vehicles) or \$10,000 (for agencies with 10 or more vehicles) in one lump sum. The timetable in which we will accept pay requests for these funds are as follows:

Amount of 5310 claimed	When allowed
Entire award amount	Any month of the year
Partial award amount	December and July only

### Travel Expenses

The State of Kansas mileage and meal rates will be used when a provider is requesting reimbursement for attending training. These rates change annually and mirror the federal rates, so the provider must contact KDOT for prior approval on allowable hotel rates, meal per diem, and mileage reimbursement. Out-of-state travel is eligible for reimbursement, so long as it relates directly to transit services and has been allocated in the agency's annual budget. Any out-of-state travel being submitted for reimbursement must be approved before the travel happens. Non-approved out-of-state travel will not be reimbursed.

The travel expense form must be completed in its entirety and submitted with the monthly reports. Transit providers should keep all receipts for reimbursement requests (meals, registration fees, motel or hotel room fees, turnpike fees, and parking fees) at their agency office and have them available for review when KDOT does the triennial on site review.

### Report Submissions

All reports are required to be submitted through the Black Cat grants management system no later than the 15<sup>th</sup> of the month. The CTD Administrator will process payments to the agencies in their respective CTD.

### *de minimis* Costs

While *de minimis* charges are allowable under the federal guidance, KDOT's policy is stricter, and does not allow for them.

## **Fringe Costs**

KDOT must review an agency's fringe benefits rates and cost allocation plan, and approve the rates and plan, prior to the agency being allowed to claim fringe as an eligible expense. Failure to submit these items for review will result in the agency not being allowed to claim fringe as an eligible expense.

## **Ridership Report Trip Classification**

All 5311 and/or 5339 agencies are required to document all passenger trips by classification (elderly age 60+, disabled or general public) by requiring all drivers to keep a driver's log. 5310 agencies should also use this form but will not be reporting on rides to the general public.

## **Disabled Parking**

Public or specialized transit services vans that are funded by KDOT are not allowed to park in the disabled parking area at public or private locations without an ADA vehicle tag or ADA hangtag. The ADA vehicle tag or ADA mirror hangtag is available by contacting the County Treasurer's office in each county in Kansas. Transit vehicles are delivered with ADA emblems & stickers to designate ADA seating or wheel chair area in the transit van. These stickers do not take the place of the Kansas State ADA vehicle tag or the ADA hangtag that is hung at the vehicle mirror.

## **Stop Annunciation**

Agencies are encouraged to send out ghost riders from time to time to ensure compliance with stop annunciation as is practical. This is mainly encouraged with fixed route/deviated route/paratransit bus services.

## **Project Income**

Project income is required to be reported by each transit agency. All bus donations or passenger fees received should be reconciled on a daily basis and deposited at least once per week. All monies received should be counted by two staff members of the transportation services agency and deposited into the agency bank account.

## **Vehicle Storage**

Vehicle storage locations will be verified at the triennial on-site review. Information on the location of the storage facility and the amount of storage costs claimed will be included in the verification. Vehicles may not be parked at private residences for extended periods of time (overnight parking or during lunches and breaks).

## **Vehicle Labeling**

Vehicles being used in the 5311 Program must be labeled with the words GENERAL PUBLIC TRANSPORTATION and the local agency telephone number. Public transportation services providers are not allowed to include any logos or marking that specify specific clientele i.e. Senior Center, Senior Express, Golden Years, Sheltered Workshop, Disabled Services or Adult Transportation). Vehicle labeling is a part of the bid specification and is included on the vehicle order form. Vehicle labeling must be in UPPER CASE letters followed by the local telephone

number. Transit agencies that wish to add their County or City name are required to get pre-approval from KDOT. The provider must also communicate this request with the vendor at the vehicle order meeting and is responsible to pay for any additional expenses. Older vehicles that are used as backup vehicles will be grandfathered into the transportation program with the labeling that is currently on the vehicle.

Agencies approved to participate in the Regional Rural Transportation program will be required to label all vehicles with the approved Kansas Rides logo and labeling. Having these regional vehicles wrapped is a reimbursable operating expense.

## **KDOT Decals**

KDOT will issue a KDOT Public Transit Network decal to all agencies when they receive a new transit vehicle. The small decals go on the lower right-hand side of the back door on all 5-7 passenger mini-van or ramp mini-vans. The large decal is to be placed on the back door of the 12, 13, 14 and 20 passenger vans on the lower right-hand side. Decals are not to be placed over windows or in the center of the door. Verification of the decal being on the vehicle in the proper location will be done at the triennial on site review.

## **Vehicle Retirement/Transfer to Another Agency**

Agencies that have vehicles that need to be retired must follow the KDOT procedure for retiring them. The retirement of vehicles is based on age and mileage. The Federal Transit Administration depreciation rate will be used when a vehicle is being retired. If a vehicle has less than an 80,000-mile odometer reading then it will be transferred to another transit agency. The agency that accepts the transferred vehicle will be responsible to pay the agency that is transferring the vehicle 20% of the current value of the vehicle. Please contact KDOT for details on the process of releasing/retiring vehicles from the KDOT program.

## **Reportable Events/Incidents/Accidents**

All vehicle events are required to be reported to the insurance provider, police and KDOT as applicable. Accidents that involve transporting a passenger away from the scene of the accident are required to be reported to the Federal Transit Administration by KDOT. The public transportation services provider must also follow all accident reporting protocol as defined in the Drug and Alcohol testing regulations. This same rule applies to incidents or accidents that involve passengers.

There is a form for all transit services agencies to use to report vehicle accidents or incidents. The form is available on the website under Provider Forms. If the transit services agency has a vehicle accident/incident report form that they are required to use by their governing entity KDOT will accept those forms when reporting accidents or incidents.

The following table outlines the NTD classification system (major event versus non-major event) of what kind of event it is:

## 2016 NTD Reporting Quick Reference Guide

<p><b>Reportable Event:</b> A safety or security event occurring on transit right-of-way, in a transit revenue facility, in a transit maintenance facility, or involving a transit revenue vehicle. Excludes occupational safety events occurring in administrative buildings.</p> <p><b>Alaska and Commuter rail modes report only SECURITY events that meet a Major event reporting threshold.</b></p>	
<b>S&amp;S-40 Major Event Report</b>	<b>S&amp;S-50 Non-Major Monthly Summary</b>
<b>MAJOR THRESHOLDS</b>	<b>NON-MAJOR THRESHOLDS</b>
<p>Event occurring on transit right-of-way, in a transit revenue facility, in a transit maintenance facility, or involving a transit revenue vehicle – meeting <u>one or more</u> of the following reporting thresholds            (*Automatically reportable, no other threshold needed):</p> <ul style="list-style-type: none"> <li>• A fatality confirmed within 30 days (including suicide)</li> <li>• An injury requiring immediate medical attention away from the scene for one or more persons (partial exception in the case of Other Safety Occurrences not Otherwise Classified)</li> <li>• Estimated property damage equal to or exceeding \$25,000</li> <li>• An evacuation for due to or under hazardous conditions or to the rail right-of-way.*</li> <li>• Collisions involving transit vehicles that require towing away of a transit roadway vehicle or other non-transit roadway vehicle*</li> <li>• Rail transit vehicle collisions occurring at a grade crossing*</li> <li>• Rail transit vehicle collisions with an individual on the rail right-of-way or another revenue or non-revenue rail transit vehicle*</li> <li>• A mainline or yard derailment of revenue or non-revenue vehicles*</li> </ul> <p><b>Reports are due within 30 days of the date of the event.</b></p>	<p>Less severe Other Safety Occurrence Not Otherwise Classified (OSONOC) injuries occurring on transit right-of-way, in a transit revenue facility, in a transit maintenance facility, or involving a transit revenue vehicle that is <b>NOT</b> a result of a collision, derailment, evacuation, security event, hazmat spill, or Act of God; and non-major fires.</p> <p>Other Safety Occurrence Not Otherwise Classified (OSONOC):</p> <ul style="list-style-type: none"> <li>• Single injury event requiring transported away from the scene for medical attention</li> </ul> <p>Fires:</p> <ul style="list-style-type: none"> <li>• Requiring suppression but does not meet a major incident reporting threshold (<i>no injury, fatality, evacuation, or no property damage of \$25,000 or more</i>).</li> </ul> <p><b>Reports due by the end of the following month (e.g., January data due by end of February)</b></p>
<b>EVENT TYPES</b>	<b>EVENT TYPES</b>
<ul style="list-style-type: none"> <li>• A derailment (mainline or yard)</li> <li>• A collision (including suicide/attempted suicide involving transit vehicle contact)</li> <li>• A fire</li> <li>• A hazardous material spill (requires <i>specialized</i> clean-up)</li> <li>• Acts of God (nature)</li> <li>• System security:               <ul style="list-style-type: none"> <li>○ Arson</li> <li>○ Bomb threat/bombing</li> <li>○ Burglary / Vandalism</li> <li>○ Chemical/biological/radiological/nuclear release</li> <li>○ Cyber security event</li> <li>○ Hijacking</li> <li>○ Sabotage</li> <li>○ Suspicious package</li> <li>○ Other security event (shots fired, projectiles, etc.)</li> </ul> </li> <li>• Personal Security:               <ul style="list-style-type: none"> <li>○ Assault</li> <li>○ Homicide</li> <li>○ Robbery</li> <li>○ Larceny/theft</li> <li>○ Motor vehicle theft</li> <li>○ Rape</li> <li>○ Other personal security events (non-collision suicide/attempted suicide/ etc.)</li> </ul> </li> <li>• Other Safety Occurrences not Otherwise Classified (OSONOC) (two injuries and/or another major threshold)               <ul style="list-style-type: none"> <li>○ Miscellaneous events that meet a threshold</li> </ul> </li> </ul>	<p>Other Safety Occurrence not Otherwise Classified (OSONOC):</p> <p><b>Injury due to:</b></p> <ul style="list-style-type: none"> <li>• Slip/Trip</li> <li>• Fall               <ul style="list-style-type: none"> <li>○ Including person making contact with a <u>non-moving</u> transit vehicle</li> </ul> </li> <li>• Injury to maintenance workers</li> <li>• Boarding/alighting</li> <li>• Electric shock/burns</li> <li>• Abrupt or evasive transit vehicle maneuvers</li> <li>• Mobility device (e.g. wheelchair) securement issues</li> <li>• Injury sustained on a mobility device lift</li> <li>• Stairs/elevator/escalator injury</li> </ul> <p><b>Fire:</b></p> <ul style="list-style-type: none"> <li>• Requires suppression but no major threshold is met               <ul style="list-style-type: none"> <li>○ Small fire on right-of-way</li> <li>○ Small engine fire on transit vehicle</li> </ul> </li> </ul>

Transit vehicles that have been wrecked or declared to be totaled by their insurance agency will require the agency to submit in writing a request to KDOT Office of Public Transportation for a lien release. The lien release should be submitted on the agency letterhead with the vehicle VIN number, make, model, mileage and reason for requesting the lien release. Copies of all information pertinent to the accident & insurance claim must also be submitted. The Office of Public Transportation will make the final determination on allowing the lien release once the complete information has been received. A complete buyout of the vehicle may be appropriate or the provider agency may be allowed to keep the vehicle depending on the severity of the damage and the decision made by the insurance company as to what they have declared as the value of the vehicle. If the fair market value of the vehicle is over \$5,000.00 then 80% of the value will be returned to KDOT Office of Public Transportation. If the provider agency wishes to secure a new vehicle as a replacement for a totaled vehicle they must wait to apply for the vehicle in the next fiscal year. All options for replacing the vehicle must be discussed with KDOT for their area.

If the transportation service agency or organization has only one vehicle and it is a vehicle that has been wrecked or totaled then KDOT will work with the agency to secure a replacement vehicle. If an agency needs to use this option in securing a new vehicle they must contact KDOT Public Service Administrator to initiate the process. Incident or accident reports are considered a part of the transportation program and are required to be on file in the transit agency office. Additionally, the pre-trip inspection for the date of the accident must be on file in the transit agency office.

The cost to repair damaged vans is an allowable expense on the transportation program operating report. The expense may only be submitted after the insurance company has settled all claims. A copy of the claim and what amount the insurance company paid to the provider must be submitted to KDOT. The amount to be reported should only be what the insurance company did not cover for the provider. A deductible is a reimbursable expense.

KDOT does not pay for outside rental of vans when a KDOT transit vehicle has been wrecked or totaled. If a transit agency chooses to lease a vehicle from another transit agency that is in the current KDOT transportation services program, KDOT must be informed in advance of this decision for prior approval of any type of lease or rental fees that will be paid. An inter-local agreement for vehicle sharing is an acceptable practice within each Coordinated Transit District to cover agencies that may have vehicles out of service due to accidents or excessive maintenance.

Vehicle or Passenger (Non-Injury) Incidents Reporting: An incident is defined as any of the following: 1) Any vehicle damage; 2) Personal injury to any party (while on the vehicle or entering the vehicle); or 3) Any moving violation while on duty. Incidents no matter how minor should be documented by the provider agency. Non-injury incidents that require vehicle repairs must be documented and the information submitted to KDOT. Documentation includes the name of the employee, the passenger(s) name and personal information, date, time and severity of the incident as well as the estimate for the approved repairs. Incident reporting is considered a part of the provider's program records and should be retained by the agency for 5

years. Please review the Drug & Alcohol testing program requirements for all 5311 and 5339 providers in regards on how to report incidents. KDOT will review all Drug & Alcohol testing reports and take action as needed.

## **Transit System Policies**

All transit agencies, regardless of the KDOT funding source, must have policies adopted and implemented that define the functions of their transit system. Transportation service policies must include: seat belt usage, passenger assistance, service animals (animals must be able to be trained to assist their handler in daily activities, but no documentation is required from the handler), wheel chair assistance, passenger rules, passenger incidents reporting, medical or other emergencies, fares or donations, pre- and post- trip inspections, vehicle maintenance, the securement of loose articles in the van (medical equipment, oxygen tanks, walkers, etc.) Personal hygiene issues can be included in transit services policies but the language in the policies can not violate the Americans with Disabilities Law 49 CFR 37 & 38. Policies for the conduct of all passengers are also required. Provider agencies are also responsible to establish personnel policies, job descriptions for all transit services related positions, and driver physical requirements rules.

Sub-recipients must notify KDOT in advance of any proposed service change. This includes but is not limited to, fares, schedules, service hours, service routes or any other policy change. Once KDOT has approved the proposed change the sub-recipient must advertise the change in the local media 30 days prior to making the change. The notification must also be distributed to all passengers.

## **Back-up Vehicles**

Prior approval to use back-up vehicles for transit service must be authorized by KDOT with a copy of the authorization sent to the KDOT. The provider must include the KDOT VIN # on the request (not the agency vehicle number) and the amount of time they estimated they will need to use the backup vehicle. If the provider agency does not request prior approval to use a back-up vehicle the request for operating reimbursement will be denied.

## **Operating Reimbursements**

Operating reimbursements may only be claimed for the approved categories that are listed in the grant application. Operating reimbursement categories are:

- Advertising
- Vehicle Insurance
- Personnel – driver paid
- Personnel – dispatcher paid
- Mechanic Paid
- Fuel
- Maintenance, repairs, lubrication, parts, labor
- Storage paid
- Contracted services (taxi vouchers)

- Communications (telephone, cell phones)
- Other (Maintenance facility costs apply here)
- License & tags
- KPTA membership dues
- KPTA annual meeting expenses
- RTAP driver's training
- RTAP manager's training
- KCC registration fees
- DOT driver's physicals (mandatory & will include all current and new drivers)
- New hire pre-employment drug screening (KDOT will only allow reimbursement for the one person hired for the job opening. The costs of testing all other applicants for employment remain an agency expense.)
- Required random drug screenings

## Administrative Reimbursements

Administrative reimbursements may only be claimed under the allowable cost categories. Allowable cost categories under these grants are:

- Transit Manager's time
- Office supplies, office expenses
- Computers and computer supplies
- Copies
- Postage
- Mileage, meals, registration fees
- Uniforms (with prior approval from KDOT)
- Other (Maintenance facility costs apply here) (must specify & prior approval from KDOT may apply)
- Business errands for the organization or agency do not qualify for reimbursement.





# Operational Guidelines

## Minimum Annual Vehicle Use

The use of all transit vehicles is a requirement of the KDOT programs. Vehicles that are not being used by agencies that were awarded vehicles will be moved by KDOT through an established process of vehicle utilization to another location where the vehicle can be used. KDOT expects providers to use each vehicle to remain in the current transportation services program. The minimum use of a transit vehicle is 2,500 miles per year. KDOT will monitor the usage of vehicles. If the vehicle is not being used to meet the required KDOT standards, KDOT will contact the agency requiring the establishment a utilization plan. If a utilization plan cannot be established the useful life formula for the transfer of the vehicle will be completed by KDOT and the provider will be notified the vehicle will be transferred. If the transfer of the vehicle is required, the agency that is forfeiting the vehicle must put in writing a list of the items on the van that are damaged or need repaired and provide that list to KDOT. All back up vehicles are also required to be utilized and must meet the annual 2,500 mileage requirement.

## Core Service Hours

Core hours are defined as Monday – Friday with six (6) full hours of transportation service being provided. Core hours of operation must be between the hours of 8:00 a.m. to 5:00 p.m. Agencies that use volunteers for driver's and dispatchers will be allowed to have core hours of operations of 8:00 a.m. to 3:00 p.m. or 9:00 a.m. to 4:00 p.m. Dispatching hours must be the same as the operating hours for the transit service. Transit service hours must be included in the policies and procedures and advertisements for the transportation services program.

## Fixed Route Requirements – National RTAP Toolkit

According to 49 CFR Part 37, a fixed route system is defined as “a system of transporting individuals (other than by aircraft), including the provision of designated public transportation service by public entities and the provision of transportation service by private entities, including, but not limited to, specified public transportation service, on which a vehicle is operated along a prescribed route according to a fixed schedule.”

## Route identification

If your system has stops that serve more than one bus line the ADA requires that you provide riders with a disability with the means of identifying which bus has arrived or to identify themselves as a person seeking a ride on a particular route. These external route identification announcements can be automated or spoken by the driver. The DREDF Topic Guide on Stop Announcements and Route Identification recommends announcing both the bus line and the destination to ensure that the rider can board the correct bus going in the desired direction.

## Stop announcements

Just as external announcements can be used to identify the bus line and destination, it is required that internal announcements are made to inform riders of upcoming stops. Announcements should be made in advance of the stop, and they should follow a standard format. For example, the street the bus is traveling on should always be stated before the street it intersects. At a minimum, the following announcements must be made (list taken from the Topic Guide on Stop Announcements and Route Identification):

- Transfer points with other fixed routes.
- Major intersections and destination points.
- Orientation announcements should be made during longer intervals on a route that has no stops or destination points, which allows passengers with disabilities to be oriented to their location.
- Any requested stop.

This obligation can be met by requiring bus operators to announce stops or by using an automated stop announcement system on board the vehicle. It is recommended that the disability community and bus drivers be consulted when deciding what stops to announce to ensure the effectiveness of the system.

## **ADA Complementary Paratransit**

If your system includes fixed route service, you are required to provide complementary paratransit service to your customers who are unable to use the fixed route system.

### **ADA Complementary Paratransit Service Criteria - National RTAP Toolkit**

ADA complementary paratransit service must be comparable to the fixed route service in a number of areas. Paratransit service criteria include the following (Section 37.131):

Geographic area of service – transit systems that run fixed routes must also provide ADA complementary paratransit service within  $\frac{3}{4}$  mile on either side of the fixed route; this is the maximum distance a rider would travel to reach a bus or train stop.

Response time –the paratransit ride may not be provided more than an hour before or after the requested time.

Fare- the one-way paratransit fare may be no more than twice the full fixed route fare for a similar trip. A rider's personal care attendant may not be charged a fare. However, at least one additional accompanying individual must be permitted to board and will be required to pay the same fare as the rider (additional companions may accompany the ADA-eligible customer, if space is available).

Hours and days of service—ADA paratransit service must be provided on the same days and during the same hours as fixed route service.

Trip purpose—there may be no restrictions or priorities based on trip purpose. Service must be provided regardless of the nature of the trip.

## Origin-to-Destination Service

Under Section 37.129, you are required to provide complementary paratransit service that is “origin-to-destination.” As a transit provider, you can establish whether you will provide door-to-door or curb-to-curb service as your basic mode of paratransit service, but there may be times when you must offer service beyond this base level when required due to a passenger’s disability. FTA, in its Disability Law Guidance document, gives the following examples of when “origin-to-destination” service might be necessary:

- The nature of an individual’s disability or adverse weather conditions may prevent them from negotiating the distance from the door of his/her home to the curb.
- A physical barrier (e.g., sidewalk construction) may prevent a passenger from traveling between the curb and the door of their destination point.

Providing this level of service may require more time from the driver than on a base-level service stop, and because of this the FTA has deemed it reasonable that transit providers ask for advance notice from any passenger in need of this assistance when the reason for the additional assistance is known in advance of the trip.

## Deviated Fixed Route Service

If the system provides route deviations only to customers with disabilities, this service is then regarded as complementary paratransit service, and is held to the paratransit service criteria. If the system with flexible service provides complementary paratransit service for its riders with disabilities, it must implement an eligibility determination (and appeal) process for those who would like to use the service. — National RTAP Toolkit

Deviated fixed route service shall be classified as a fixed route service for the purposes of NTD Reporting. All agencies operating any type of deviated service shall track miles, hours, trips, and expenses separately from their demand response service.

## Demand Response Service

Demand response services are general public transportation that provides service from origin to destination on demand and is not a fixed route operation. Demand response service does not require ADA complementary paratransit service, but providers must follow equivalent service standards. Capacity constraints and turn-downs are allowable under a demand response service as long as no subsection of riders, with or without disabilities, is disproportionately affected.

## Equivalent Service Standards

Service provided to individuals with disabilities should be equivalent to the service provided to other individuals in the following ways (Section 37.105):

- Response time.

- Fares.
- Geographic service area.
- Hours and days of service.
- Restrictions or priorities based on trip purpose.
- Availability of information and reservation capability.

Any constraints on capacity or service availability.

## **Civil Rights**

The civil rights of all passengers must be assured within the daily operations of all transportation services providers. Transportation service programs will not discriminate against any person on the basis of race, color, national origin, sex, age, disability, veteran or low-income status. A procedure for all discrimination complaints must be in place with every effort to resolve the complaint as quickly as possible. Passengers who feel they have had their civil rights violated must file the complaint with the transit agency 180 days following the discriminatory action. Transportation services providers must have a Title VI plan & policies in place that address procedures for special needs, service animals and the complaint or grievance process.

## **Other Uses of Non-Released KDOT-Funded Transit Vehicles**

Drivers may use KDOT program vehicles to go to lunch on local, out of town, or out of county trips due to time constraints that would not allow the driver to report back to the main office. KDOT vehicles are the agency's billboard and should not be parked in inappropriate areas. Drivers will not be allowed to use the KDOT vehicle during down time to run personal or business errands. Drivers may occasionally have to take a vehicle home over night for an early departure but prior approval must be requested from KDOT & the approval documented at the transportation services office. Vehicles taken home overnight must not be used for personal use such as going to the grocery store, taking children to day care, running personal errands, etc. The transit services program must include the use of transit services vehicles (regardless of funding source) in their transportation services policies.

KDOT program vehicles are not allowed to be rented out or borrowed by individuals or other organizations for incidental or regular use.

## **Vehicle Parking**

The parking of transit vehicles that are funded through KDOT is monitored by KDOT staff at the triennial on site review. Transit vehicles may not be parked at the bus drivers or manager's home or on property owned by them. Each transit agency should work with the local officials in their community to secure parking at the County Courthouse, City Hall, EMS garage, Senior Center lot, assisted living facility parking area, etc. Disability organizations or other agencies that have agency owned property (group homes, etc.) will be allowed to park the buses at these locations.

## **Transporting Incarcerated Populations**

The transportation of people who are incarcerated is not allowed for any agency that is funded by KDOT. The exception to this rule would be in case of a national, state, or county declared

disaster where prisoner transportation is required due to the declared evacuation. This is because the transit vehicles do not come with the safety equipment necessary to transport incarcerated persons. County or state prisoners who are in a work release program are allowed to be transported to their job sites in public transportation vehicles via demand response or fixed route. For demand response service, a letter from the correctional facility requesting this service should be sent to the transportation services provider with a copy sent to KDOT. The type of service, days and hours of operation and type of vehicle to be used to provide the service should be included in the letter.

## **Meal Delivery/Personal Errands**

For 5311 and/or 5339 programs, meal delivery, delivery of goods, or personal errands with a KDOT program vehicle is strictly prohibited. The 5310 program does allow for incidental use of this type of transit vehicle for meal delivery, but the primary use of the vehicle must be for the transportation of passengers. KDOT will require proof that all 5310 transit providers provide transportation services to passengers at the triennial on-site review.

## **Federal Excise Tax on Fuel Purchases**

If a transit agency is eligible for the federal excise tax credit on fuel purchases, they must notify KDOT in writing of this eligibility. The notification should be on the agency letterhead and include the date that the agency began eligible for this tax credit.

## **Crossing the State Line**

Crossing any state line to provide transportation services is a transit agency's decision. All transit services providers that choose to cross the state line to provide transportation services must comply with the interstate passenger regulations under the Kansas Commerce Commission (KCC), the Federal Highway Administration (FHWA), and the Federal Motor Carriers Safety Administration (FMCSA). The regulatory guidance for each agency can be found on their website or by contacting the agency office. KDOT does not require provider agencies to transport passengers across the state line & does not regulate this type of passenger transportation in any manner.

The statutes that govern the valuation assessment and taxation of transportation services vehicles that cross the state line and are considered haul-for-hire motor carrier operations are governed by the Kansas Secretary of State. KDOT does not regulate the haul-for-hire motor carrier service and is not responsible to monitor or regulate public transit services providers who participate in this type of transportation operation. City & county governments that sponsor public transportation services are exempt from the regulations.

## **Trip Prioritization Not Allowed**

Transportation providers cannot prioritize trips for medical purposes over other trip purposes. Public transportation must be made available to all passengers on first come first serve basis with equal access for all passengers.

## **National Transit Database Reporting**

The National Transit Database report is an annual requirement of KDOT. KDOT will be

submitting reports on behalf of 5310 and 5311 transit providers. Designated Recipients in Kansas are responsible for entering their own data. Transit providers are responsible for filling out and submitting the necessary forms to KDOT to complete the state's NTD submittal process and must be available to answer questions about the report if requested by KDOT staff.

## **Concealed Carry**

All KDOT transit providers must adopt a written policy regarding the concealed carry of firearms. The policy must be in accordance with Kansas statute.

## **Transportation of Children**

The transportation of children is an allowed form of transportation service under these guidelines. This includes the transportation of children to and from day care centers or pre-schools. Each transit agency is required to write their own agency policies that address the transportation of children and the use of child safety restraint seats (age of children that can ride, who buckles child in seats, seat clean up, seat storage, etc.) If a transit agency has passenger rules that apply to the transportation of children with a requirement of an adult rider, then this policy must apply to the entire transit system. All policies must be followed by the passengers and the drivers.

Demand response and deviated fixed-route agencies are required to have at their availability both child safety and booster seats that meet all Federal Motor Safety regulations. This is an eligible expense for reimbursement. The provider agency is responsible to make sure the seats meet all federal motor vehicle safety standards, do not exceed the expiration date, have not been damaged in a motor vehicle accident, are appropriate for the sizes and ages of the children they may transport, the seats are routinely maintained, the seats are pulled from service if a recall is issued, and that the seats fit in the passenger seats of the KDOT vehicle. The KDOT guidelines for child safety and booster seats are that for every five (5) vehicles in the fleet - one child safety seat and one booster seat will be required, unless the vehicle being operated has built-in child safety seats. KDOT will verify that the transit agency has child safety seats and booster seats at the triennial on-site review. Guidance on the child safety seat law can be found at [www.kansasboosterseat.org](http://www.kansasboosterseat.org).

As an alternative, integrated child seats (bus seats ordered with the vehicle that have built-in child seats) also meet this requirement.

The transportation of children must be offered in coordination with all other aspects of the agency's public transportation program. Additionally, in the event of an emergency, KDOT vehicles must be equipped to assist all people in need.

## **School Bus Transportation**

KDOT follows the Federal Transit Administration guidelines on school bus transportation. The FTA Circular 9040, Section 5323(f) prohibits the use of FTA funds for exclusive use for school students and school personnel.

## Commercial Driver's License

The drivers of transit vehicles designed to transport more than 15 persons (including the driver) must have a commercial driver's license. The mechanics who work for transit agencies with these types of vehicles must also have a commercial driver's license.

## Updated Definition of 'Wheelchair'

'Wheelchair' means a mobility aid belonging to any class of three or more wheeled devices, usable indoors, designed or modified for and used by individuals with mobility impairments, whether operated manually or powered. The term 'common wheelchair' is no longer to be used in any documents, web pages, or other items pertaining to public transit and paratransit programs and must be removed from all agency documents, websites, and advertising materials.

## Direct Threat

A public transit entity is not required to provide services if the individual or mobility device poses a threat to safety, "direct threat" meaning:

- A significant risk to the health or safety of others.
- Cannot be eliminated by a modification of policies, practices or procedures.
- Cannot be presumed: there must be objective evidence.

## Selling of Released Transit Vehicles

Transit vehicles that have been released from KDOT program are under the ownership of the individual agency or organization. KDOT funded transit agencies should have a written policy on how the agency or organization will sell the vehicle. The factory type vehicles (sedans, mini-vans and 12 passenger) vehicles are listed in the N.A.D.A., Kelly bluebook or similar listings for the resale value of the vehicle. There is no published price guide for the conversion type (cutaway or ramp) vehicles. Transit providers that sell released vehicles must take off all KDOT required labeling & identifying transit program stickers. Photographs verifying the labeling has been removed must be submitted to KDOT before the provider agency can sell a transit vehicle. Each transit agency is responsible to set their own guidelines for the sale of released transit vehicles and the policy should be in writing and included with all other policies.

If the vehicle is sold for more than \$5,000, agencies are required to notify KDOT. Sales over \$5,000 will be subject to the 80/20 repayment to FTA for their share in the asset. Agencies must submit a copy of the bill of sale on all vehicles to KDOT for final processing.

## Americans with Disabilities Act

The Americans with Disabilities Act of 1990 is required to be followed by all transportation services providers. This law is an extensive civil rights law designed to remove barriers that prevent individuals with disabilities from enjoying the same opportunities that are available to persons without disabilities. The ADA addresses four areas, which include transportation. A substantial part of the ADA covers transportation provided by public entities. In general, the law prohibits transportation providers from denying individuals with disabilities the opportunity to use transportation services, if the individuals are can use the system. It also prohibits transportation

services providers from offering services that discriminate against persons with disabilities. Agencies that need more information on the Americans with Disabilities Law can download the information from the ADA website at [www.ada.gov](http://www.ada.gov).

## Charter Service

Charter service (aside from demand responsive service to individuals) is defined as transportation provided by a recipient at the request of a third party for the exclusive use of a bus or van for a negotiated price. The following features may be characteristic of charter service:

- A third party pays the transit provider a negotiated price for the group;
- Any fares charged to the individual members of the group are collected by a third party
- The service is not a part of the transit provider's regularly scheduled service, or is offered for a limited time; or
- A third part determines the origin and destination of the trip as well as scheduling; or
- Transportation provided by a recipient to the public for events or functions that occur on an irregular basis for a limited duration and:
  - A premium fare is charged that is greater than the usual or customary fixed route fare; or
  - The service is paid for in whole or in part by a third party.

KDOT's complete process and regulations for charter service can be found in the State Management Plan and [on our website](#).

## Services in Urban Areas by Rural Providers

Rural transportation providers that provide service into an urban area may not transport urban passengers on a rural system. The general rule for the 5311 and 5339 programs is that the transportation of rural passengers is "rural to rural" or "rural to urban" within the provider's service area. If an urban passenger requests a ride on a rural bus while the bus is at a specific location waiting on a passenger the driver must inform the passenger they must contact the local provider.

## Administrative, Parking, and Maintenance Facilities

Any FTA/KDOT funded maintenance facilities are included in the KDOT inventory. The grantee agrees to maintain the project property and equipment in good operating condition and in compliance with any applicable Federal regulations or directives that may be issued, except to the extent that FTA determines otherwise in writing. The grantee agrees to keep satisfactory records pertaining to the use of the project property, and to submit to KDOT upon request such information as it may be required to assure compliance with Federal requirements. The grantee is required to have a written vehicle maintenance plan and facility/equipment maintenance plan. These plans should describe a system of periodic inspections and preventative maintenance to be performed annually and submitted to KDOT as a part of the agency's grant application. A copy of the Annual Building Inspection Checklist can be found on the KDOT website. The grantee must also provide adequate insurance on the facility.

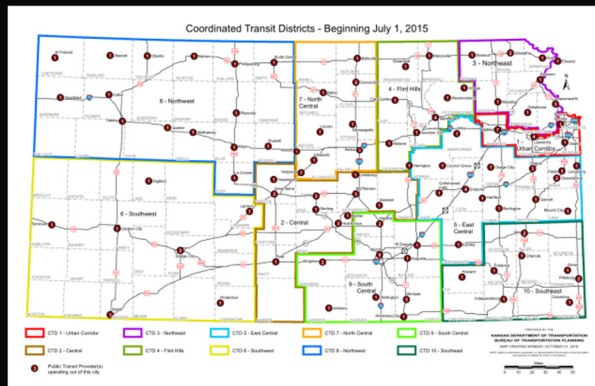
# TRANSIT BY THE NUMBERS

number of agencies in  
KDOT's program providing  
transit and paratransit  
services to rural Kansas **145.**

**\$5.4 million**  
requests from agencies for  
vehicle purchase and fleet  
expansion (SFY 2018)

**2 million**  
increase in public  
transit ridership  
statewide since 2006

**TEN**



number of  
Coordinated  
Transit Districts  
(CTDs) in  
Kansas, each  
with its own  
membership,  
committee  
chair, and  
administrator.

**100%**

agencies submitting paperless  
billings, ridership numbers,  
fleet inspections, and grant  
requests through the Black Cat  
Grant Management System.

<http://www.ksdot.org/burTransPlan/pubtrans/index.asp>

publicinfo@ksdot.org

785.296.3566





# Application Process

Grant applications are made available by KDOT each year. KDOT will also notify all current providers by email that the grant application process is open. Applications are available for capital (vehicle replacement or fleet expansion) & operating funds. 5310 program funding is determined by a formula based on the number of KDOT vehicles each agency operates. All applications will be processed and tracked electronically through the Black Cat software package developed by Panther International, LLC.

KDOT will announce all calls for projects using other sources of funding, such as state funds, special programs, or other funding streams as they become available. These funding programs all have specific requirements and eligibilities, which will be published with the call(s) for projects via press release, posting on our website, and via email distribution to all ten of our Coordinated Transit Districts (CTDs).

## Certifications and Assurances

Certifications and Assurances are a required component of every agency, every year. Failure to submit your certifications and assurances will result in the forfeiture of all KDOT program fleet vehicles.

A certification letter that the applicant agency receives matching funds for capital or operating from outside resources (county or city mill levy funds, city or county general funds, human services agency, etc.) will also be required to be completed in full and attached to the grant application. Each agency will be required to submit a certification letter from the matching agency's CEO or governing body as to the availability, amount, and source of local match funds.

Applicants must also ensure all forms, assurances, certifications, signature pages, and resolutions required in the application are signed by the appropriate officer or individual with legal authority to bind the applicant. The after-hours emergency contact information form must be completed & will be used by KDOT in case of a national, state, or local emergency or natural disaster.

A Certificate of Assignment of Authority verifying each grant applicant is a member of the Coordinated Transit District will also be included with the grant application. The Certificate of Assignment of Authority must be completed and attached to the grant application.

A Certificate of Authority authorizing the KCTDC Chairperson to represent the KCTDC in all vehicle procurements is also included in the application & must be signed by the applicant agency's representative.

Applicants will be required to certify that they have read KDOT's Public Transportation Policy Manual when they complete the application. This certification is included with the application verification & is to be signed by the authorized representative for the agency.

Applications must be received via the Black Cat system by the required time & date as specified in the associated guidance.

Late applications (for any reason) will not be accepted. If an agency submits their grant after the deadline date they will not be eligible to receive funding for the fiscal year of application. The sanction for late applications is for KDOT to begin the process of transferring all vehicles that are within their Useful Life Benchmark to other KDOT grantee agencies. If vehicles are transferred to other agencies, 20% of the current value of the vehicle will be paid to the agency that submitted the grant application late.

Applicants that are awarded capital or operating funding will receive an award letter and budget sheet. Grantees are required to sign an annual contract. Contracts are issued to each provider agency or through the Coordinated Transit District. Operating grant award contracts must be sent back to KDOT immediately upon authorized signature(s) being obtained. Capital award contracts will vary for vehicle awards throughout the funding year. The vehicle award contracts must be immediately signed by the provider agency awarded the vehicle and the CTD chairperson then and returned to KDOT.

## Eligibility

Agencies that are interested in applying for funding should apply electronically through Black Cat. If an agency does not have internet access they should contact KDOT to be granted access to the Black Cat program.

Applicants must be a member of a Coordinated Transit District (CTD) in good standing to receive KDOT funding.

5310 Eligible Applicants must either be:

- Private non-profit organizations registered in the State of Kansas, or
- Local units of government (if they are approved by KDOT to coordinated services, or they certify to the governor that no non-profit organizations are “readily available” to provide the service).

5311 Eligible Applicants must be:

- located in non-urbanized areas (under 50,000 populations) and be one of the following:
  - Local units of government
  - American Indian Tribal Nations
  - Private nonprofit corporations registered in the State of Kansas

5339 Eligible Applicants must be a 5307, 5310, and/or 5311 agency in the KDOT program.

Agencies that apply for funding through KDOT that offer services in multiple counties within one or more Coordinated Transit District(s) must apply for the funding in the appropriate CTD.

All applicants are required to list their DUNS number & SAM registration expiration date on the application. This information is also listed on all capital & operating contracts & is verified by the KDOT fiscal department. The annual SAM registration can be completed through the Federal Central Contractor Registration website at [www.sam.gov](http://www.sam.gov).

## **Agencies in Urbanized (MPO) Areas**

Information related to the vehicle request awards made by KDOT will be sent to the MPOs directly and may be included in the Metropolitan Planning Organization's Transportation Improvement Program (TIP) as soon thereafter as is reasonable, based on the MPO's TIP Policy guidance. Current MPOs exist for the metropolitan Manhattan (KS), Topeka (KS), Lawrence (KS), Kansas City (KS/MO), Wichita (KS), and St. Joseph (KS/MO) areas. While we will no longer require a letter of concurrence from the MPOs for the agencies to add to their application, we do expect that the transit agencies will continue to work collaboratively with their respective MPO.

## **Public Notice**

A public notice and the DBE advertisement are required for all applicants who are applying for KDOT grant funds. 5310 providers that are only applying for operating funds are not required to do a public notice. A sample public notice is available on the KDOT website with the other grant information.

The public notice must be published in the local newspaper one time. The applicant should allow two weeks for comments from the public or any other interested parties. A copy of the ads, documented comments received & proof of publication must be submitted with the grant application. A copy of the notices *should not* be sent in to KDOT with proof of other required advertising (November/May). The proof of public notice & DBE advertisement are only required when the annual application is submitted.

All questions must be completed in their entirety, the application and all Certifications and Assurances must be signed by the appropriate parties, and all supporting documents, including but not limited to identification of local cash match dollars, must be submitted to consider an application complete.

## **Fiscal Responsibility**

All applicants must demonstrate in the application the fiscal and managerial capability to manage the funds being requested. Applicants must have experience in managing public funds. They must also maintain an accounting system that is consistent with generally accepted accounting principles, and an accounting system that segregates funds. Applicants must have the ability to establish reasonable safety and risk management procedures. Applicants must also demonstrate the ability to comply with all federal and state regulations and contractual requirements.

To that effect, agencies will be required to provide data to complete a form that KDOT must submit to our Fiscal Services Bureau to set up payments with each new contract. This form will be sent to the agencies with the Agreement documents that require signature. Failure to do so may delay reimbursements from being able to be processed.



# Training requirements

## RTAP

The Rural Public Transit Assistance Program (RTAP) is managed by the KU Transportation Center, with funding and oversight provided by KDOT. There is an electronic newsletter published quarterly, in addition to the annual training meetings. RTAP is tasked with determining which trainings are required of drivers and managers, which trainings will happen throughout the year, meeting with representatives from the KCTDC at least annually to set training topics and targets for the following year, and participating in the Kansas Rodeo and Transit Day at the Capitol.

## Approved Trainer Program

The Approved Trainer Program allows agency staff approved by KDOT to provide the RTAP Driver's Training locally to their own (and to other) agencies on a schedule that they can accommodate. Agencies that are interested in having an Approved Trainer must apply to RTAP for participation in the Approved Trainer course. Applications will be available prior to the training session, and final decisions will be made by KDOT based on Approved Trainer needs, locations, and existing Approved Trainer locations. Approved Trainers must be able to travel to locations other than their own agency to host trainings and offer up any empty seats in a training class to other agencies in the KDOT program. Agencies with an Approved Trainer on staff must submit proof that the training classes were held (training logs) to KDOT with the annual grant application.

An Approved Trainer's sessions are identical to having the RTAP Trainer's sessions. Each trainer will list their trainings in the shared calendar in Black Cat, and make those events public so that everyone can see them. If space is available, other agencies' staff can sit in on those classes to fulfill their training requirements. Approved Trainers are not allowed to charge any more than the RTAP program allows.

Information on the Approved Trainer Program and its requirements are available online at <http://www.ksdot.org/Assets/wwwksdotorg/bureaus/burTransPlan/pubtrans/pdf/Kansas%20Approved%20Trainer%20Policy%202017%20FINAL.pdf>.

## Driver's Training

Driver's training is held throughout the year and is offered at various locations statewide. Training topics include such issues as defensive driving, conducting pre-trip inspections, transporting passengers with special needs, how to deal with difficult passengers, safety & security, emergency planning etc. All drivers, including volunteers or other agency staff, that operate vehicles funded by KDOT programs must attend the approved RTAP driver's training every other year.

## Manager's Training

Trainings are conducted at a central location on an as needed basis. Topics include issues such as management of a transit program, safety and security, vehicle maintenance, marketing, planning, budgeting, etc. Registration fees and mileage will be allowable reimbursement costs under this training program. Trainings that are not pre-approved by KDOT are not reimbursable.

# NEW DRIVER PREPARATION CHECKLIST

This checklist is intended to prepare new drivers to operate agency vehicles. It should be used by agency managers as a sign-off for new drivers before they operate an agency vehicle in service. The "other" box can be used to customize this form to your agency.

DRIVER NAME: \_\_\_\_\_

EMPLOYMENT START DATE: \_\_\_\_\_

Task (Complete in Order Listed)	Trained/Supervised By (Print Name)	Date	Additional Notes
Review agency policies and procedures (and driver handbook, if applicable)			
Complete Drug and Alcohol Program required training <i>Note: May not apply to some S310s</i>			
Practice wheelchair/device securement			
Practice driving and riding in an agency vehicle with a trained driver			
Review pre- and post-trip inspection procedures			
Complete RTAP Defensive Driving course from RTAP or RTAP-Approved Trainer <i>Note: If you are unable to attend this course before you start driving, take the National RTAP "START" training online before driving unsupervised and also take the RTAP course as soon as possible.</i>			
Other:			
Other:			

I verify that, to my knowledge, \_\_\_\_\_ has completed the training tasks listed above.  
Driver's Name (Printed)

\_\_\_\_\_  
Manager/Director Signature

\_\_\_\_\_  
Date

Keep this document in the driver's employment file for the duration of employment.

Updated 3/2017

## Other Eligible Training Activities

Meetings or trainings that are determined to be mandatory by KDOT must be attended by the program manager or appropriate agency staff person. If the provider agency fails to send a representative to a mandatory KDOT meeting or training, KDOT will record the agency as a "no-show" and the agency could be subject to a loss of administrative funding in the following fiscal year.

## Certifications of Attendance

Certifications of attendance from trainings are mailed/emailed out to each participant. The driver or supervisor should have the agency make a copy of their certificate to retain in their personnel file. Proof of training is required and will be verified by KDOT staff when the annual grant application is submitted. KDOT will provide a blank training log in the application for each sub-recipient to use to document the training requirement has been met. Training is also verified when the triennial on-site review is completed.

## Cancelling Transit Service on Training Day

Public transportation service offices may be closed for the one day driver's training so that all drivers or supervisors can attend if the requesting agency notifies KDOT in advance and has the

request approved. The agency should also advertise two weeks in advance that they are going to be closed to attend the training.

Vehicles that are currently in the KDOT program are not to be used to take transit staff or drivers to training sessions. Vehicles that have been released from the KDOT program and are agency owned can be used for this purpose. However, if the RTAP training coordinator requests an agency to bring a vehicle to the training for demonstrative purposes because a local vehicle is not available that day, the RTAP training coordinator will contact the KDOT Public Transportation Manager directly for approval. Transit providers are not allowed to offer to bring a vehicle to any training, nor should an agency contact KDOT directly for prior approval. It is our intention to use a local vehicle for all trainings whenever possible to cut down on the wear and tear and non-revenue hours of vehicles in the KDOT fleet. Failure to comply with this section will result in the forfeiture of the agency's monthly reimbursement.

## **Attendance Policy**

Any agency that does not comply with training requirements will be removed from the KDOT grant program. Record retention for drivers training records is 5 years. If the agency does not send their drivers to an approved driver's training or other KDOT approved trainings & retain proof of attendance to the trainings, the agency will be subject to forfeiting the agency's monthly reimbursement.

## **Drug and Alcohol Training and Testing**

Safety-sensitive employees must receive at least 60 minutes of training renewed every two years on the effects and consequences of prohibited drug use on personal health, safety, and the work environment, and on the signs and symptoms that may indicate prohibited drug use. Supervisors and/or other company officers authorized by the employer to make reasonable suspicion determinations shall receive at least 60 minutes of training on the physical, behavioral, and performance indicators of probable drug use and at least 60 minutes of training on the physical, behavioral, speech, and performance indicators of probable alcohol misuse. This training must be renewed every two years.

Established testing protocol will be followed by all 5311 and/or 5339 transit operators as per the federal regulations that apply to this program. Safety sensitive positions are defined in the federal regulations and are required to be tested.

Agencies that test their other staff (that do not fall under KDOT program) for drugs & alcohol must have their own policies in place for the additional testing. KDOT does not reimburse for any type of drug & alcohol testing that does not fall under the public transportation services program.

## **Kansas Bus Rodeo for Drivers**

The RTAP program, in cooperation with KDOT and a local host agency, puts on the annual Kansas Bus Rodeo. This event is an opportunity for drivers that have already attended all their required trainings a chance to hone their skills, meet their peers, and compete for the title against drivers from across Kansas. The Rodeo is considered a training event, but it does not count toward the required trainings every driver needs unless they have already taken all necessary RTAP trainings as required.



# **New Vehicles**

## **Specifications & Bids**

The KCTDC vehicle committee reviews the vehicle specifications. During the review, the KCTDC representatives and KDOT use the feedback received during the year to make a list of any necessary changes to last year's vehicle specifications – these vehicles range from mini-vans to 20 passenger small transit buses.

## **Bid Packages**

The vehicle bid packages are mailed from the KCTDC to all vendors (manufacturers and dealers) on the current bid list. The bid packages include a cover letter from the KCTDC, a copy of the bid notice, a copy of the vehicle specifications, protest procedures, and a copy of all the Federal Transit Administration certification forms.

## **Pre-Bid Conference**

The annual pre-bid meeting is usually held in Topeka, Kansas at the KDOT office. This meeting is held to give the vendors a chance to read the vehicle specifications and terms in the bid packages and to provide comments back to the KCTDC and KDOT. Any decisions to change items in the bid specifications after the pre-bid meeting will be in the form of a specification amendment and will be mailed to all vendors on the bidders list.

## **Vehicle Specification Amendments**

The vehicle specification amendments, if necessary, are printed and mailed to all vendors on the vendor mailing list immediately after the pre-bid conference. The vehicle specification amendments list any necessary changes to the current year's vehicle specifications that were brought to KCTDC/KDOT's attention during the pre-bid meeting.

## **Courtesy Bid: Opening**

The courtesy bid opening meeting is a public meeting and is held in conjunction with the Kansas Public Transit Association annual meeting, if possible. At this meeting, the Chairperson of the KCTDC opens all submitted courtesy bids and reads the quoted prices, and any other applicable information out loud to those present.

## **Courtesy Bid: Tabulation & Checking**

The submitted courtesy bid information is used to prepare a bid tabulation sheet for each type of vehicle. KDOT conducts a careful review of all submitted information which ensures that all vehicles were bid according to specification and that all bidders are responsible and responsive – having completed all of the necessary certification forms and other information with required signatures, etc. KDOT will check the excluded parties listing system (<http://www.sam.gov>) to make sure that none of the vendors are on the excluded listing. KDOT will print a screen copy of each search and keep it on file for documentation. The KCTDC and KDOT reserve the right to remove optional items from bid consideration, if necessary. This is done in cases where it is obvious that a vendor bid a price that far exceeds the requirements of the vehicle specification

(for example: bidding a \$4,000 brake retarder system as opposed to bidding a \$500 brake assist system).

## **Courtesy Bid: Awards**

After the bid tabulations are completed and all of the submitted bid information is checked, the pre-award Buy America certification, the pre-award FMVSS certification, and the pre-award Certification of Responsibility are completed by the KCTDC and placed in the file. These documents will be included in all of the vehicle delivery packets sent to each transit agency for the type of vehicle they have ordered. The KDOT representative verifies the list of vehicle manufacturers who have completed all of the requirements for the TVM (Transit Vehicle Manufacturer). This list is available from the Federal Transit Administration (FTA) on their website or can be provided through contact with the Civil Rights Officer for FTA Region VII. A courtesy bid award sheet and preliminary order form (vehicle price sheets) are typed up, the information is released to the public, and the KCTDC Chairperson invites the successful bidders to the vehicle order meeting.

## **Ordering of New Vehicles**

After the courtesy bid awards are made, the preliminary order forms, vehicle specifications and amendments, and vehicle floor plans (if applicable) and other information are posted on the KDOT website under transit.

An annual vehicle order meeting is then hosted by the KCTDC and KDOT. All KDOT transportation provider agencies who have received grant awards in the prior year come to this meeting to meet with the vendors (manufacturers and dealers) who won the courtesy bid awards. KDOT sends letters to these providers to inform them about this meeting and that attendance is mandatory. This letter also instructs the providers to go to the KDOT website to download the vehicle order forms and other vehicle information prior to attending this meeting.

At the vehicle order meeting, the provider agencies meet with the vendors, who give them additional information on the vehicles they are ordering. The providers are also invited to look at the sample vehicles the vendors have parked outside, and to learn about the optional equipment and its usage. Any questions are answered, and then the provider agencies turn in their completed preliminary order forms before leaving the meeting. After the order meeting, KDOT will review all the preliminary order forms and will complete contracts based on the items selected. Contracts will be sent to each agency to be reviewed and signed. Once KDOT receives these back, three copies of the purchase order will be sent to the agency. These are to be reviewed and all copies signed. One copy is then sent to KDOT, one copy is sent to the vendor and one copy is to be retained in the agency files. On the purchase order, there is a spot to indicate if the agency is/is not exempt from paying sales tax on the vehicle. If the agency is exempt from paying sales tax, the agency must attach a copy of the tax-exempt certificate to the purchase order. If the agency is not exempt, the agency will be responsible for 100% of the tax on the vehicle. Neither KDOT nor FTA will pay any portion of the tax. KDOT/FTA will pay 80% of the cost of the vehicle, which includes any items that are on the preliminary order forms. The remaining 20% of the vehicle cost is the responsibility of each

transit agency. After preliminary orders have been sent, this process is complete until the vehicle is ready to be delivered.

## **Vehicle Delivery Process**

Once the vehicle is ready to be delivered, the vendor will notify KDOT of the pending delivery and will contact the agency to set-up a time.

KDOT will then send a delivery packet to the agency that will contain all the inspection forms, certifications and bid documents. The cover letter will explain what the agency needs to complete and send to KDOT.

## **New Vehicle Inspections**

The agency will then complete the inspection of the vehicle. Provider agencies may sign for delivery of the vehicle before they perform the delivery inspection, but should not give final approval for possession until after their inspection is complete. Provider agencies should completely review the bid specifications and check for all items when completing the delivery inspection as well as completing the delivery inspection form. Notations (measurements of vehicle interior and exterior, tire size, etc.) should be made on the bid specification form as the inspection is being completed to ensure all items meet bid specification requirements. Technical assistance is available from KDOT in completing the delivery inspection. Once it is determined that the vehicle meets the specifications, the agency will notify KDOT in writing that the vehicle meets the specifications and the delivery inspection has been completed. The agency will also send KDOT copies (front & back) of the Certificates of Origins, an invoice, the Buy America “as built” breakdown, the Post Delivery Certifications that the Vehicle Meets Specifications and the Manufacturer has Supplied FMVSS Certification, and a lien release letter (if applicable) which includes the make, model, year and current mileage of the vehicle being replaced.

If the vehicle does not meet the specifications, the agency should contact the vendor to make the repairs or fulfill any missing items. KDOT should be notified of any issues with the vehicle(s).

Once KDOT has the information referenced above, KDOT will process payment for the vehicle(s). Payments will be made as dual issue checks payable to the transit agency and the vendor. The agency will need to endorse the check and immediately forward it to the vendor. KDOT is not responsible for sales tax on new transit vehicles.

KDOT staff will also send an additional packet of information to the transit agency that contains the KDOT maintenance manual, decal for the vehicle, and the executed agreement. The lien release (if applicable) will be sent after it is signed and notarized.

It is important that all documents pertaining to the vehicle be kept in one place to be reviewed if necessary during an on-site or triennial review or a program audit.

## **Certificate of Assignment of Authority**

A certificate of assignment of authority verifying the representative for the KCTDC will be required to be completed each state fiscal year from each Coordinated Transit District. This

certificate is included in the grant application & certifies the duly authorized representative of the CTD and gives the representative the authority to represent the CTD in all vehicle procurement matters.

### **Credit for Missing Items**

If it is determined at the time of the inspection of any new vehicle that an item is missing, the agency receiving the vehicle shall notify the vendor and KDOT of the missing item. If the item is something the vendor can still supply, the vendor must do so as soon as possible at no expense to the agency. If the item is something that cannot be added to the vehicle at this point, then the vendor is to supply an amount they are willing to give as a credit for the missing items. KDOT will contact other vendors or parts suppliers to determine if the credit seems appropriate. If it is determined to be appropriate, and the agency accepts the amount of the credit, then that amount is deducted from the 100% cost of the vehicle. It does not get taken off just the 20% local share of the cost.

# Inspections

## Annual KDOT Inspection

Every vehicle in the KDOT Program (excluding vehicles that are owned outright by the agency as well as vehicles whose lien has been released by KDOT) is to be inspected annually at a KDOT or KDOT-approved maintenance facility. Agencies have the responsibility of scheduling an appointment to ensure the inspection is done in a timely fashion. Inspectors file copies of their review with KDOT, and KDOT tracks the vehicles that are overdue for inspection.

Inspectors are required to use the KDOT Form when performing inspections and will work with the provider agency to schedule a date for the inspection. The opinion of the KDOT inspector is final, and all documentation made for each vehicle will be treated as such (meaning, if the inspector thinks that repair is required due to it being a safety hazard, but you do not, we will always side with what the inspector recommends).

If a provider agency is not contacted by a KDOT inspector to schedule the annual inspection then they should contact the district shop and schedule the inspection. Provider agencies should never contact the inspector at any time prior to the anniversary date of the previous year's inspection and request an early inspection.

These annual inspections are done to meet FTA requirements of all vehicles in the KDOT program and as such are not optional. The annual inspection should never be used to find out what is wrong with your vehicles. Each agency is required to follow their Maintenance Plan and keep up with scheduled and required maintenance. Repeated negative inspections will be taken into consideration annually during grant and vehicle award review.

After the inspection is completed KDOT will receive a copy of the inspection form. KDOT will train all District/Area Inspectors on the types of vehicles that are used in the public transportation program. The KDOT District/Area Inspectors will receive a copy of the vehicle bid specifications and will be trained on the operations of each of the vehicles annually.

## Safety Hazards

If a safety hazard is noted on the inspection form, KDOT will immediately notify the provider agency via telephone that they must take the vehicle out of service until the safety hazard is repaired. KDOT will also send the provider a letter as a follow-up to the telephone call about the safety hazard. The list of inspection findings considered to be a safety hazard are: tire problems, exhaust leaks, cracked windshields or windows, inoperative lights or signals, brake problems, windshield wiper problems, major structural damage, and any other item (at the discretion of the inspector). Safety hazards and all other needed repairs that are noted on the inspection reports are required to be completed within 30 days. If a repair cannot be complete within the 30-day timeframe the provider must immediately notify KDOT to make other arrangements.

## Failure to Complete an Inspection

Not having your vehicle(s) inspected annually will result in:

- the vehicle(s) being removed from service until the inspections are completed, and
- reimbursement for all agency costs being placed on hold until such time that the inspection is completed.

## **Failure to Repair Vehicles after Inspection**

Not having your vehicle(s) repaired as the inspector documents will result in:

- the vehicle(s) being removed from service until the repairs are completed, and
- reimbursement for all agency costs being placed on hold until such time that the inspection and all noted repairs are completed.

## **Vehicle Inspection Record**

An inspection form is required to be completed each day before the vehicle is put into service. Regular inspections help assure the KDOT funded vehicles are safe to operate, being well maintained, and in good condition. The inspection form was recently updated to incorporate pre-trip, mid-day driver changes, post-trip, and weekly inspections. A blank copy is shown on the next two pages, and you can also download copies of the new form from our website at: <http://www.ksdot.org/Assets/wwwksdotorg/bureaus/burTransPlan/pubtrans/pdf/Pre%20Mid%20Post%20Weekly%20Inspection%20Form.pdf>. Transit agencies may have developed a more robust inspection for use, which is allowed, so long as the agency's form includes all items that are on the KDOT inspection form.

Agencies are required to check the first aid and blood borne pathogen kits (if so equipped) frequently and make sure all the supplies are included in the supply kits. Agencies are also responsible to make sure none of the products in the kits are expired. If items in the emergency kits need to be replaced or if items are outdated they should be immediately replaced.

Checking the securement equipment & devices (tie downs, straps, belts, web loops, etc.) is an important part of the inspection and defective equipment should be noted on the inspection form.

The inspection form must be signed by the driver completing each phase of the inspection, the mechanic, if repairs are needed, and the driver's supervisor. Inspection forms are to be kept for 90 days, unless associated with an incident/accident, in which case the agency should be stapled to the accident report form(s) and kept on file. Forms will be verified at the triennial on site review.

Inspection forms are also required to be completed by agencies that cross the state lines and that operate a "haul for hire" type service.

## VEHICLE INSPECTION RECORD [PRE- MID- POST- and WEEKLY]

Please fill out this daily record completely, using a new sheet for each day/vehicle in service. When completing, DO NOT use a dash or check mark in the boxes – use your initials. Inspection record will be invalid if you don't use your initials. If you are the Mid-Shift Driver, please initial all items in the Pre-Trip columns under the Pre-Trip driver's initials. **Report any defects to your vehicle immediately to your supervisor before taking it on the road.** If you have questions, consult your maintenance supervisor or program administrator. Keep on file for 90 days, unless the vehicle is involved in an incident or accident – keep those permanently on file by attaching them to the copy of the incident or police report.

Vehicle #: \_\_\_\_\_ Tablet #: \_\_\_\_\_

Vehicle Location: \_\_\_\_\_

Day of the week: Su M T W Th F Sa

Date: \_\_\_\_\_

Pre-Trip Odometer: \_\_\_\_\_

Post-Trip Odometer: \_\_\_\_\_

### PRE-TRIP (and SHIFT CHANGE) ITEMS

INITIALS	PRE-TRIP: EXTERIOR	COMMENT
	<b>Exterior Body</b> - Check for damage; clear any debris. Make sure all doors open and close properly, and are unlocked and accessible.	
	<b>Windows &amp; Mirrors</b> – Verify windows and mirrors are not cracked or broken.	
	<b>Wipers/Blades</b> – ensure blades are not cracked or torn, and in good working order.	
	<b>Lights &amp; Reflectors</b> – Turn on headlights and four-way flashers, make sure all lamps illuminate. Check high and low beams on the headlights. Check to see reflectors are in good condition. Brake lights checked by 2nd person.	
	<b>Tires</b> – check the tread depth, pressure, and overall condition. No punctures, cracks, tread separations; adequate tread depth prescribed by manufacturer. Check rims for missing lug nuts, broken stubs.	
	<b>Undercarriage</b> – Look for water, oil, gas, transmission, or other fluid leaks under the vehicle. If leak is detected, report it immediately.	

INITIALS	PRE-TRIP: INTERIOR	COMMENT
	<b>Seat Belts &amp; Safety Restraints</b> – Check for damage, and that all belts and restraints are available, functional, and in good condition. Check restraints and passenger belts for any fraying or wear to belts.	
	<b>Cleanliness/Items Secured</b> – Check for cleanliness and that all items are secured (e.g. assistive devices, scrapers, spray cleaners, etc.) Ensure the driver's area is clean and all items are secured.	
	<b>Emergency Equipment</b> – Check fire extinguisher (fully charged, on board, and secure), web cutter, first aid/bloodborne pathogen kit(s), triangle warning kit, cameras and drag blanket (if applicable).	
	<b>Emergency Door, Roof Hatch, Windows, Horn</b> – Check that all are accessible and in working order. Make sure the rear door buzzer works properly (if applicable) – the buzzer must work when the key is engaged and the back door is open.	
	<b>Technology</b> – ensure devices are in good working order.	
	<b>Climate Control</b> – check functionality of heating and air conditioning units.	
	<b>Warning Lights/Gauge Levels</b> - Visually check all gauges and report any warning lights.	
	<b>Accident Response Kit</b> – calling tree and forms for reporting accidents are in place (if applicable).	
	<b>Wheelchair Securement</b> – Mechanisms are in place and functioning, tracks are clear of debris, and adequate number of devices/seatbelts are present.	
	<b>Wheelchair Lift/Ramp</b> – Cycle lift, paying attention to the wheelchair securement system. Double check safety barriers.	

## POST-TRIP ITEMS

INITIALS	POST-TRIP	COMMENT
	Properly set brake and vehicle securement.	
	All windows/hatches are secured.	
	No passengers or personal property remains in the vehicle.	
	No signs of damage to the interior or exterior of the vehicle.	
	<b>Emergency Equipment</b>	
	<b>Brakes</b>	
	<b>Steering</b>	
	<b>Lighting Devices/Reflectors</b>	
	<b>Tires</b>	
	<b>Horn</b>	
	<b>Wipers</b>	
	<b>Mirrors</b>	
	<b>Wheels &amp; Rims</b>	

## WEEKLY ITEMS

Day of the week: Su M T W Th F Sa

Date: \_\_\_\_\_

INITIALS	POST-TRIP	COMMENT
	<b>Fluids – check/fill each:</b>	
	<b>Oil</b>	
	<b>Radiator Level</b>	
	<b>Windshield Washer Fluid</b>	
	<b>Power Steering Fluid</b>	
	<b>Brake Fluid</b>	
	<b>Transmission Fluid</b>	
	<b>Battery (if not maint-free)</b>	
	<b>Battery</b> – check cable connections are tight and clear of corrosion.	
	<b>Belts</b> – check that they are not cracked/worn.	
	<b>Hoses</b> – Check for leaks; if found, report immediately. Make sure hoses are not spongy/cracked.	
	<b>Exhaust</b> - Check muffler for looseness.	

Explanation of any items listed above:

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## SIGNATURES

*I have personally conducted the pre-trip inspection for this vehicle and have found it to be in the condition stated above.*

\_\_\_\_\_  
Pre-Trip Driver's Signature

*I have personally conducted the mid-shift inspection for this vehicle and have found it to be in the condition stated above.*

\_\_\_\_\_  
Mid-Shift Driver's Signature (if vehicle changed driver mid-day)

Reason for change in drivers:
<input type="radio"/> Shift change <input type="radio"/> Accident/Incident <input type="radio"/> Other: _____

*I have personally conducted the post-trip inspection for this vehicle and have found it to be in the condition stated above.*

\_\_\_\_\_  
Post-Trip Driver's Signature

\_\_\_\_\_  
Supervisor's Signature


Maintenance assessment:
<input type="radio"/> Condition of the above vehicle is satisfactory. <input type="radio"/> Above defects have been corrected. Date of repair: _____ <input type="radio"/> Vehicle removed from service for necessary repair(s). Date removed: _____

\_\_\_\_\_  
Maintenance Supervisor Signature

\_\_\_\_\_  
Date

# Maintenance

Transportation services providers are required to follow all OEM (Original Equipment Manufacturer) requirements. All transit services providers are required to document maintenance and repairs made to the vehicle in the KDOT vehicle maintenance book (KDOT Form 314: Equipment Manual). Maintenance books are mailed to each provider when a new vehicle is delivered as a part of the delivery package. Maintenance books must be available for review and use by the KDOT District/Area Inspector when they complete the annual vehicle inspection. KDOT will monitor all vehicle maintenance and will review all documentation at the triennial review.

<p>KANSAS DEPARTMENT OF TRANSPORTATION</p> <h2 style="margin: 0;">EQUIPMENT MANUAL</h2> <p style="margin: 0;">Care of Motor Equipment</p> <div style="text-align: center; margin: 10px 0;">  <p><b>Kansas</b> Department of Transportation</p> </div>	
DOT Number _____	Category _____
Make Vehicle _____	Type Vehicle _____
GVW Rating _____	Make Engine _____
Tag No. _____	Size Engine _____
VIN _____	Serial No. _____

Rev. 11-14

KDOT Form 314

The maintenance of KDOT transit vehicles is included as a part of the grant application and will be verified by KDOT. Non-compliance with maintenance requirements and the record keeping associated with them may affect award applications and requests for future vehicles. Gross negligence of maintenance issues may result in removing an agency from our program and reallocating any/all their program vehicles with useful life remaining.

Exterior or interior modifications to transit services vehicles are not allowed by KDOT. Agencies are not allowed to make changes to the wheel chair ramp(s) or lift(s) or other securement equipment, seat belts, fixed route equipment, communications devices, emergency equipment or other items.

Vehicles provided under KDOT programs are required to meet certain federal and state procurement and safety standards under the guidance of the Federal Transit Administration, the KCTDC, and KDOT.

## **Vehicle Warranty Repairs**

Agencies should check to see if necessary repair/maintenance work is eligible under their vehicle's warranty before taking it in for service. This is especially true on certain components of the vehicles that we procure, which often have longer warranty coverage periods than are standard.

Vehicles provided under KDOT programs are required to meet certain federal and state procurement and safety standards under the guidance of the Federal Transit Administration, the KCTDC, and KDOT.

## **Technology & Communications Devices**

As our program advances, we will incorporate appropriate advances in technology that help provide better service to our travelling public. Items such as tablets, radios, smart/cellular phones are eligible capital expenses under our programs. At a minimum, each vehicle must be equipped with some form of verbal communication device in the event of an emergency. It is at the agency's discretion as to what type of device that is.

## **Federal Motor Carrier Requirements for Vehicle Maintenance**

Transportation providers that transport passengers across state lines must comply with all Federal Motor Safety Carrier requirements for maintenance of vehicles. The Kansas Corporation Commission is the office that is in charge of interstate safety and operating compliance in Kansas. If a transit provider agency needs further information about compliance under K.A.R. 82-4-3 they can access the information at [www.kcc.state.ks.us](http://www.kcc.state.ks.us) or by calling 785-271-3151.

## **Vehicle Repair Requests (over \$1,500)**

Defective components of vehicles should be noted on the pre-mid-post-weekly trip inspection form. The form noting the needed repair or maintenance and the repair tickets or invoices should be filed together to verify the repairs were completed. A single vehicle repair that is estimated to cost over \$1,500 must be pre-approved by KDOT to be eligible for reimbursement. The provider agency or organization should immediately notify KDOT by e-mail or telephone call of the needed repairs and discuss their plan or schedule for completing the repairs and must send KDOT a copy of the paid invoices upon completion of work. Failure to get pre-approval for repairs over \$1,500 could result in denial of repair reimbursement.

## **Bike Racks**

Bike racks, whether installed at the time of vehicle order or added later, are eligible expenses in all our programs. Vehicles that have bike racks should include regular inspection and maintenance of the racks to ensure proper working order. For vehicles that do not have bike racks, bicycle may or may not be permitted inside the vehicle – this is up to the agency's

discretion and must be noted both in policy as well as in the rider's handbook that each agency must develop.

## Ramps & Lifts

The ramp/lift equipped vehicles that are awarded through KDOT have either an 800-pound or 1,000-pound capacity, which meets or exceeds the Americans with Disabilities Act requirement. Transit vehicles are ordered under the bid specifications that are set by the KCTDC and approved by KDOT. Transit agencies are not allowed to adjust the lift capacity in any manner. All lifts must be properly maintained and scheduled for maintenance according to the lift manufacturer's requirements. Agencies that have lift equipped vehicles that do not follow lift maintenance requirements may forfeit all KDOT funding if their vehicles are not properly maintained.

# TRANSIT IS FOR EVERYONE

Connecting Kansans to all the places they  
live, work, learn, heal, and play.





**multiple  
benefits**

safe  
affordable  
less pollution  
age-in-place  
tax benefits\*



**personal  
mobility**

helps people  
stay connected  
to family and  
friends in their  
community



**regional  
connections**

strengthening  
our state's  
intercity  
transportation  
network

<http://www.ksdot.org/burTransPlan/pubtrans/index.asp>

publicinfo@ksdot.org      785.296.3566

\* If employer offers fringe benefit for public transit to their employees



# Vehicle Replacement

## Capital Applications

Incomplete capital applications will not be sent to the KCTDC grants prioritization committee. The standard vehicle replacement requirement is at least five years and/or at least 100,000 miles on the vehicle at the time of application. Requests on vehicles under the replacement criteria with excessive maintenance issues will be considered but all maintenance issues must be clearly identified with supporting documentation attached to the application. Routine maintenance expenses will not be considered.

## Vehicle Replacement Standards

KDOT follows FTA guidelines for the replacement of transit buses and vans, which establishes the number of years (and/or miles) that transit vehicles purchased with federal funds must be in service before they can be retired without financial penalty. The goal of the policy is to ensure that vehicles procured with federal funds remain in service for a substantial portion of their service life.

The useful life formula for the transfer or buy out of KDOT vehicles is as follows:

25% = 1<sup>st</sup> year

20% = 2<sup>nd</sup> year and beyond

The formula is based on chassis year model. The vendors who supply the vehicles for KDOT can also be contacted for updated value information on the various types of transit vehicles.

Agency owned vehicles are not allowed to be replaced using funding from our program. They are the responsibility of their respective agency.

## Minimum Number of Accessible Vehicles

All applicants will be required to have at least one ADA vehicle (ramp mini-van or cutaway van with lift & restraint system) for every 5 vehicles in their KDOT fleet, or for fleets larger than 30, at least 6 ADA vehicles. If there are no KDOT funded ADA vehicles in the agency fleet and the applicant is applying for a new KDOT vehicle, they must apply for an ADA vehicle.

All sub-recipients will be required to have an Equivalent Service Certification completed with the application. The certification requirement information is defined in the grant application instructions.

The vehicle inventory & other equipment inventory pages in the grant application must be completed properly and submitted with the grant application. Vehicle inventory lists will be accessed by KDOT and used in the emergency planning process. The other equipment inventory page is to be completed by sub-recipients that have received equipment (radios, MDTs/dispatching software, shop equipment, etc.) purchased with federal or state funding with a replacement cost of over \$50,000.

Grant applications, award letters, budget sheets and contracts are must be retained in the applicant's office for 5 years. (Life of the vehicle + 5 years for capital projects).

## **Coordinated Transit Districts**

K.S.A. 75-5051 established the Coordinated Transit Districts (CTDs) in the State of Kansas. There are 10 Coordinated Transit Districts. The purpose of the Coordinated Transit Districts is to enhance coordination within the local area and to help in the management of state and federal public transportation funds.

The coordinated transit districts are not for profit organizations or a governmental designated entity that are the recipients of funds that are distributed for the operation of transit services from the 5310, 5311, and/or 5339 programs, or state funds.

### **Not for Profit Status**

KDOT requires all Coordinated Transit Districts that are not for profit organizations to have Internal Revenue Service 501(c)(3) status & also must register as a State Not for Profit organization. KDOT also requires each CTD to file the annual IRS 990 & Kansas State Not for Profit reports. The reports should be completed by one of the officers of the CTD or by a certified public accountant that has experience in filing the reports. The fees for processing and filing the reports are an allowable expense under the CTD administration grant. Copies of the Coordinated Transit District annual Federal IRS 990 and the Kansas State Not for Profit report must be turned in to KDOT by December 31st of each year.

### **By-Laws**

Each of the Coordinated Transit Districts must have bylaws that address all aspects of the procedures of the required meetings. Bylaws should be updated as needed and must include a process for members to remain in good standing & a process for those who fail to remain in good standing with the CTD.

### **Contacts**

The CTD contact list is available on the KDOT website. Each CTD is responsible for notifying KDOT when changes occur (staff retirements, officer moves, etc.) within the CTD. Each CTD is also responsible for updating their contact information in Black Cat.

### **Fiscal Year**

The fiscal year for all CTDs is the same as the State Fiscal Year (July 1<sup>st</sup> through June 30<sup>th</sup>).

### **CTD Meeting Requirements**

The Coordinated Transit Districts shall meet at least quarterly throughout the funding year. Attendance can include in-person or by conference call. A current list of members and officers with complete address, telephone and e-mail contact information, meeting notices, meeting agendas, meeting minutes & financial reports are required to be submitted to the KDOT office. Agencies that do not attain the meeting requirements as set forth by their respective CTD's by-laws will not receive a letter of good standing to include with their application and will be ineligible for funding for one year.

This *does not mean* that the agency is out of the KDOT program, *nor does it mean* that the agency cannot participate in the CTD. Quite the opposite; agencies that do not receive the letter of good standing from their CTD Administrator must still submit their Certifications and Assurances to KDOT annually and continue to attend CTD meetings regularly. This means that they could be eligible for a letter in good standing the following year, should they attain meeting attendance as outlined by their CTD's by-laws, and would then again be eligible to apply for funding in the KDOT Program. Failure to submit Certifications and Assurances annually will result in the loss of all KDOT Program vehicles.

## **Designation of a CTD Administrator**

Each Coordinated Transit District will appoint the CTD administrator annually (either as outlined in their By-Laws or as a vote of the whole if no provision is written in their respective By-Laws) and submit a CTD administrative budget. The CTD's executive board is responsible for developing the scope of work for the CTD administrator and determine how the administrator will handle the business of the CTD. All expenses charged to the CTD administrative contract will be verified by invoices or vouchers and retained at the administration office. The CTD administrator's annual budget should be submitted to KDOT by the date & time designated in the grant cover letter. The CTD administrator is responsible to submit a monthly expense report to KDOT.

## **Coordinated Planning**

In coordination with KDOT and its designees, each CTD must have participated in a Coordinated Public Transit-Human Services Transportation Plan (Coordinated Plan, for short) process, which is required in order to participate in the KDOT funding programs. The Coordinated Plan should be updated regularly and all programs funded through KDOT must be in keeping with the goals and objectives of the Coordinated Plan. Each CTD will have a chapter in the Coordinated Plan specific to their goals and needs as regional service providers.

## **Accounting**

The CTD administrator must establish and maintain a separate account for the CTD, either independently or within its existing accounting system, to be known as the Coordinated Transit District account. The KDOT staff will verify that they have standard accounting practices in place at the triennial on-site review. The operating reimbursement checks are mailed out from the KDOT office to each CTD grant administrator. The CTD administrator will issue all agency payments.

CTDs are required to have three of the duly elected officers'/board members' names on all checking or savings accounts. Two signatures are required on all accounts for the purposes of payment of operating or administrative reimbursements or other bills.

## **Bonding Insurance**

All board members that have their names on the banking accounts for the CTD must be bonded. KDOT requests the bonding amount be at least three months' worth of reimbursements. If an individual is bonded through a city or county government or other agency

or organization and they handle the CTD money they must still be bonded specifically for the CTD.

## Certificate of Assignment

Each member of the CTD is required to sign a Certificate of Assignment of Authority annually and must include it with their grant application. The Certificate of Assignment of Authority allows the chairman of the CTD to act as the agent to represent the CTD in all operations transaction matters, such as signing the legal agreements between the CTD and KDOT or to conduct other business with KDOT on their behalf.

## Records

All records must be retained for 5 years. Electronic copies (scanned or copied to disc with backup) of the CTD records are acceptable.

## Attendance

Public transportation service offices may be closed for the entire day so that all drivers or supervisors can attend the required training if the requesting agency notifies KDOT in advance and has the request approved. The agency should also advertise two weeks in advance that they are going to be closed to attend the training.

If the agency does not send their drivers to the RTAP Driver's training or other KDOT approved trainings & retain proof of attendance to the trainings, the agency may be subject to forfeiting the agency's monthly reimbursement and may also be ineligible to apply for funding in the following fiscal year.





## KCTDC

The Kansas Coordinated Transit District Council (KCTDC) consists of member-representatives from the individual CTDs and represents the KDOT-funded transportation provider agencies who provide service to the elderly, disabled and the general public in the following matters:

With assistance from KDOT, the KCTDC:

- writes the vehicle bid specifications, solicits courtesy bids, and determines the lowest responsive and responsible bidder for the annual procurement of new vehicles for the KDOT Public Transportation projects.
- holds meetings as necessary to maintain an open line of communication between KDOT and its transportation providers to:
  - Identify, discuss, evaluate, and make recommendations.
  - Give KDOT advice on potential changes in public transportation policies, procedures and forms.
- Assist KDOT with any training and education tasks needed for the individual CTDs.

## Membership

The representatives from each CTD will be voted on or appointed by their CTD.

## Schedule *(subject to change)*

- September/October – KCTDC committee vehicle specification review
- October/November – Bids mailed out, pre-bid conference with vendors
- November/December – Bid amendments mailed out (if applicable)
- January – Bid opening, bid awards
- February - Capital Grants Review by the committee
- March/April – vehicle order meeting

## Reimbursement for KCTDC Meetings

Meal reimbursements are paid at the state per diem rate for the current fiscal year. Since this amount changes annually each KCTDC member is responsible to contact KDOT to verify the allowable amount. Mileage reimbursement rates are also paid according to the State of Kansas rates. Hotel registration, meeting registration fees, parking and turnpike fees are reimbursable expenses but can only be paid if the receipts are included with the request. KCTDC members who are requesting reimbursement for travel costs must submit their request to the chairperson of the KCTDC.

Block room reservations for KCTDC meetings are made in advance by the KU Transportation Center or by KDOT. Any member that chooses to make a hotel registration at a hotel that has not been designated as the official hotel for the meeting must have prior approval from KDOT. If a meeting participant wants to stay at a hotel that is not designated as the official meeting hotel and does not request prior approval for the hotel stay will not be allowed to ask for reimbursement from the KCTDC.

## **Record Retention Requirements**

All information pertaining to vehicles purchased through KDOT and the KCTDC must be retained for a period of five years after the lien release on the vehicle has been granted. This includes the following but not limited to:

- Copy of the grant application in which the agency applied for the new vehicle
- Contract and purchase order
- All paperwork sent to the agency in the delivery packet (bid documents)
- Copies of all signed certifications from the vendors
- Invoices

Records of incidents, accidents, or any matter requiring a drug test or police/fire/EMS intervention should be kept together with associated incidence reports filed with local, state, or federal agencies for five years, or until investigations are closed, whichever is longer.

Each provider agency is required to keep a copy of all vehicle files for review by KDOT or FTA during the triennial review process.

Inspections should be kept for 90 days, unless the vehicle was involved in an incident/accident. This applies to both vehicle inspections as well as lift inspections, which may or may not be done by different inspectors. Inspections relating to an Incident/accident should be kept with the associated police reports, etc. for five years.

# Emergency Planning

Agencies that receive 5310, 5311 and/or 5339 funding are required to complete the after-hours contact information form for KDOT. The after-hours contact form includes information about the KDOT fleet vehicles as well as agency owned vehicles. In the case of a declared national, state or local emergency this information will be used to contact service providers that may be called out to evacuate residents of a disaster area. A data base with after-hours contact information will be kept on file in KDOT. The list will also be shared with the KDOT State Emergency planner.

KDOT fleet vehicles will only be used in the case of a declared federal, state, or local emergency that requires evacuation. All providers that have agency owned vehicles may also be asked to assist in the evacuation process.

The FTA Transit Bus Safety & Security Program is a program for transit providers to access for guidance in developing safety and security plans for their programs. The website can be accessed by going to <http://bussafety.fta.dot.gov> for further guidance on emergency planning.

## Report of Vehicle Accidents

Vehicle accidents that damage or destroy the transit vehicle must be immediately reported in writing to KDOT so the provider agency can be instructed how to proceed with reporting and insurance claims. Providers must maintain inspection forms for the day the vehicle accident or any other incident involving the vehicle occurred. Additionally, those in the 5311 or 5339 programs must complete the Drug and Alcohol Post-Accident Report Form and submit it to KDOT.





# Financial Matters

Federal Transit Administration funds are disbursed to the Kansas Department on Transportation to fund the Specialized Transportation for the Elderly & Disabled (5310), General Public Transportation – Non-urbanized Areas (5311), and Bus and Bus Facilities (5339) transportation programs in Kansas.

All applicants are required to submit an electronic copy of their annual audit at the time of completion. Agencies that are affiliated with a city or county will be allowed to submit the annual audit of their respective city or county if it includes the transportation services program.

## Single Audit (also called A-133)

The Federal Transit Administration Office of Management & Budget (2 CFR 200) & the Kansas Department on Transportation - Office of Public Transportation require an annual audit of providers and Coordinated Transit Districts that receive \$750,000.00 or more in federal funds from any Federal source annually. The single audit requirement is for the entire agency and is not specific to the transportation services program. If the single audit contains any FTA program findings a copy of the entire audit report must be submitted to the FTA regional office. A copy of the previous year's audit must be submitted with the grant application. Agencies that do not receive \$750,000.00 or more of transit funding from KDOT but still are audited should also send their annual audit to KDOT. The KDOT Public Transportation Manager will review the audit findings and work with the agency to develop a workplan and timetable to resolve any findings listed therein.

## Agency Certifications

A certification letter that verifies the type of applicant agency (private not for profit, public not for profit, county, city or tribal nation) must be included with the annual grant application and will be on file at KDOT. The letter should be from the Chairperson of the board for the county, city, Tribal Nation, or nonprofit agency.

A certification or letter for the receipt of matching sources for capital and operating grants from the agency providing the matching funds must also be attached to the grant application and will be kept on file at KDOT. (See also page 36 – Applications).

## Contract Income

Contracted ride service is defined as a purchase of service contract under the auspices of the local public transportation services provider that is open to the general public without discrimination. Contracted ride service is provided as daily demand response service provided by KDOT approved vehicles as agreed upon by all parties & is offered on a first come first serve basis for persons of all ages.

Income from contracts to provide human service transportation (Medicaid Non-Emergency Medical Transportation) may be used to offset the cost of providing the service or as local match for operating assistance. How the local recipient applies the income from the human services agencies to a local project – that is, whether it is treated as local match, or is used to offset

operating expenses - will affect the calculation of net operating expenses, and therefore, the amount of federal operating funds the project is eligible to receive. KDOT does not prohibit a local recipient from using income from a human service agency contract as local match for federal funds.

### **Project Income (Bus Fares and Donations)**

All KDOT funded grantees are encouraged to earn project income (bus fares or donations) to defray the program costs. If an agency chooses to establish a fare structure, it must be approved by KDOT prior to implementation. Program income means gross project income received by the grantee or by a sub-grantee directly generated by grant support activity, earned only as a result of the grant agreement during the grant period (July 1<sup>st</sup> – June 30<sup>th</sup>). Any provider who charges a program fee which includes transportation fees must report those transportation fees as project income. Any provider who fails to report all project income will be subject to repayment to KDOT. All project income is to be reconciled on a daily basis & deposited into the provider agency's bank account on at least a weekly basis.

### **Fiscal Monitoring**

The KDOT Bureau of Fiscal Services contracts with an outside auditing firm that performs fiscal monitoring of selected transportation programs or Coordinated Transit Districts. The auditing firm will review KDOT's on-site review files of three selected provider agencies within the Coordinated Transit District to gather information and identify findings or deficiencies. The auditing firm will also develop a fiscal monitoring questionnaire to be completed by each provider agency to assist the auditing firm with their preliminary assessment of the financial activities of the transportation grant and the internal control structure and procedures of the service provider organization. The auditing firm will visit with the Coordinated Transit District administrator and review selected receipts and disbursements checks for correctness, timeliness, completeness, and proper record keeping. The auditing firm will also visit the transit services provider and review the financial records such as the general ledger, bank statements and bank reconciliations, financial statements and audit reports. The transit services agency must be prepared for the fiscal audit and have all files and accounting ledgers organized, easily accessible and ready for the audit. They will perform a test of expenditures on a sample of transactions from the monthly expenditure reports. The test will include the examination of the relevant support documentation and an evaluation of the nature and purpose of the expenditures. This will include visiting with the provider agency's personnel who have knowledge of the program to obtain an understanding of the fiscal policies and processes. The auditing firm will hold an exit meeting at the end of the on-site visit and communicate the firm's observations with the provider.

### **Bankruptcy**

If a KDOT-funded public transportation agency or program declares bankruptcy, immediate notification in writing shall be submitted to KDOT. A process will begin immediately for transferring all KDOT vehicles under the agency auspices that are within useful life standards if the agency will discontinue operations.

KDOT holds a lien on the title of all the vehicles purchased under the KDOT transportation programs. Agencies that experience financial difficulty will not be allowed to put a 2<sup>nd</sup> lien on a KDOT-funded vehicle. The agency may be allowed a lien release in the event that the vehicle is more than five years old and/or has 100,000 or more miles on it. In the event that the vehicle is not eligible for lien release and is transferred to another agency, then the useful life standards will apply and the recipient agency will be required to reimburse the bankrupt agency the 20 percent of current value interest in the transferred vehicle.

The forfeiture of grant funding for the month of the occurrence may be imposed by KDOT on all transit providers that are not timely in meeting the required deadline dates for submission of operating and ridership reports, proof of advertising, DBE reports, Black Cat, NTD, and inspection report responses. If the transit provider agency is contacted by KDOT to submit any type of information for ridership, operating, or DBE reports the timeline for the submission of the information will be at the discretion of the KDOT staff.

## **Fiscal Record Retention**

All fiscal records of the provider agency must be kept of file for five years (life of vehicle + 5 years for capital projects). Electronic copies (scanned or copied to disc with backup) of all fiscal records are allowed.





# Triennial/On-Site Reviews

KDOT will conduct triennial (every 3 years) on-site reviews for all programs/projects that are awarded funds. These reviews are completed by KDOT's consultant for the agency's service area. The Coordinate Transit Districts will also be included in the review process, to the extent that is practical.

To make the process clearer, we've loaded the questions, answers, and guidance that will be used during the triennial review on our website's home page at:

<http://www.ksdot.org/burTransPlan/pubtrans/index.asp>. The consultants will contact each agency via email 4-6 weeks prior to their scheduled visit. Please have the appropriate staff person(s) available during their visit to assist in document gathering, clarifying answers, etc. There is also a portion of the review that the consultants will send you ahead of time. Please complete these parts and return to them by their requested date.

During the on-site review, the consultants will review the questionnaire in detail with the transportation services provider to make sure that all answers are clarified to the reviewers or review team's satisfaction, paying attention to the accounting and finance section and the accounting review section of the review document, if necessary.

The consultants acting on KDOT's behalf have the authority to inspect the transit vehicle(s), check for all required safety items to be included in the vehicle(s), check the vehicle specific maintenance records of the agency (as well as compare these records to the preventative maintenance policies & procedures) and do a ride along to interview the driver and one or two passenger(s).

Within 60 days of the on-site review, the consultants will send a written follow-up report of the findings to the agency, copying KDOT. If there are any deficiencies, the agency will be given a chance to make any needed adjustments in their program or documents and reconnect with the consultants.

All transit providers will be given 45 days from date of letter to address the findings. The provider must respond in writing to the onsite review findings.

If a provider does not respond to the findings by the 45-day timeframe, the matter will be escalated to KDOT for final consideration and action.

Transit agencies with an alleged misuse of funds, theft, fraud, or severe findings will be subject to the following process: In lieu of sending out the onsite review findings, the consultants will notify the provider that further financial information is warranted to finish the review. Additional information submitted by the transportation services provider to help verify findings in the review could include:

- Bank statements
- Employee timesheets
- Copies of checks written & check book ledger

- Payroll records
- Verification of payroll taxes paid to the federal and state taxing entities
- 3<sup>rd</sup> party contracts
- Copies of contracts for storage
- Agency policies & procedures
- Receipts for all purchases/reimbursement requests
- Other documents as requested

All information received in relation to the onsite review findings may be shared with the Federal Transit Administration to get the transit service back into compliance with KDOT regulations. KDOT (or its consultants) are officially authorized to request all records associated with the transportation program and to take the records away from the provider agency's premises for review at KDOT offices or a KDOT contracted auditor's offices.

The timeframe for requesting additional records or information from the transit provider will be a period of 14 calendar days from date of the request. The auditing firm that is employed by KDOT will visit the transit services office and complete an exploratory audit which includes three (3) months of random sampling on the financials of the agency or organization. If the audit determines that the 3-month random sampling is not enough to verify all items that are in question then they will be given the authority through KDOT to return to the provider agency and do a complete review of the financials of the agency or organization.

After the additional information is reviewed by KDOT, the Federal Transit Administration, and the KDOT Office of Chief Counsel, a final decision will be given as to whether the transportation services provider will be allowed to continue operating in the KDOT Program or if the services will be suspended and all grant monies forfeited. If federal or state grant monies are to be paid back to KDOT, the final findings letters will state in full detail how much money is expected to be reimbursed to KDOT and the process for which the reimbursement will be handled. The operating funds that are in the program and the federal interest that remains in the vehicle will be considered when re-payment to KDOT is authorized. The transit vehicles of the agency will be transferred to another agency within the Coordinated Transit District or the State of Kansas. KDOT will arrange for the removal of program vehicles.

If KDOT determines there is a need to remove a grantee from any of the grant funding programs based on the results of the onsite review or other investigative information, the grantee will not be allowed to come back to any of the KDOT sponsored transportation programs.

If it determined the agency has satisfactorily completed the review process and KDOT has determined that the transit provider will be allowed to stay in the transportation services program, KDOT will work with the provider to maintain compliance. The agency or organization will be allowed to continue in the program as outlined in this Program Guidance.

# Mobility Management

As part of our Regional Business Model outcomes, KDOT has begun to develop a network of Mobility Managers to assist the CTDs, local organizations, providers, and the general public in promoting transit service in their respective region. This program is quite new in Kansas and we are still developing performance measures and the scope and work product of a successful manager. This section will be amended in the future to outline that work as it becomes available.

To begin, we are trying to place a Mobility Manager in each of the 10 CTDs across the state. Each CTD must agree to support a Mobility Manager, and an agency in that CTD must offer to be that person's host agency before we will consider placement. Funding for the first year of a CTD's Mobility Manager is covered 100% (KDOT covers the local match for the first year). Thereafter, the mobility manager is responsible for ensuring that there are enough local funds to match for year two, and every year thereafter.

A board of directors will be created and comprised of those member jurisdictions that financially back the Mobility Manager for their region. This board will be responsible for developing the position description, scope of work, budget (which must be approved by KDOT annually), and ongoing guidance for the Mobility Manager.

There will be a great deal of in-state travel associated with the Mobility Manager's position. Reimbursement for travel will follow the policies of the sponsor agency. If out of state travel is requested, KDOT must approve the travel before it takes place. Not receiving prior approval may result in the expenses for the trip being considered ineligible for reimbursement.

Mobility Managers will be required to submit an annual report to KDOT, outlining their work activities, achievements, a SWOT analysis, and performance measures. This data, both qualitative and quantitative, will be used to develop a data source to track progress over time.

