Puerto Rico State Management Plan

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INTRODUCTION

The Puerto Rico State Management Plan (SMP) is a document that describes the policies and procedures for administering Federal Transit Administration’s (FTA) Sections 5310, 5311, 5316, 5317 and 5339 Programs Funds.

Each state is required to have an approved SMP on file with the appropriate FTA regional office and update it regularly to incorporate any changes in program management or new requirements.

The PRHTA will provide an opportunity for review by stakeholders when it develops a new plan or significantly revises an existing plan. Once FTA approves the SMP, the approved SMP will be posted as Final on PRHTA website, http://www.dtp.gov.pr/. Also this document will be available at the following address:

Puerto Rico Highway and Transportation Authority
Federal Coordination Office (1604), Floor 16, South Building
Roberto Sánchez Vilella Governmental Center
De Diego Avenue, Santurce, Puerto Rico 00940
CHAPTER I: BACKGROUND AND STRUCTURE

A. Federal Transit Administration (FTA)
The FTA is responsible for: providing overall policy and program guidance; apportioning funds annually to the states; developing and implementing financial management procedures; initiating and managing program support activities; and conducting national program review and evaluation.
The FTA Regional offices have the day-to-day responsibility for administration of the program. Regional office activities include: reviewing and approving state grant applications; obligating funds; managing grants; overseeing the state’s implementation of the annual program, including revisions to the program of projects; receiving state certifications; reviewing and approving State Management Plans; providing technical assistance and advice to the states as needed; and performing state management reviews every three years. Puerto Rico falls under the FTA Region IV office located in Atlanta, Georgia.

B. Puerto Rico Highway and Transportation Authority (PRHTA)
On August 10, 1992, the Governor designated the Puerto Rico Highway and Transportation Authority (PRHTA) as the State Agency responsible for receiving and administering the funds apportioned to the Island under the Urbanized (UA) and Non-urbanized Area (NUA) Programs of the Federal Transit Administration (FTA). Prior to 1991, the Puerto Rico Department of Transportation and Public Works (PRDTPW) was the designated recipient and were responsible for the policy development and administration of public transportation in Puerto Rico. In 1991, the Governor reorganized the PRDTPW as the policy making umbrella Agency for transportation on the Island, and the PRHTA became the designated recipient of the FTA funds.

The Governor designated the PRDTPW as the Operative Arm of the Puerto Rico Metropolitan Planning Organization (PRMPO) for all urbanized areas in Puerto Rico. The Secretary of the DTPW is its President. The MPO is composed of three policy committees: (1) San Juan Urbanized Area (SJUA), (2) the Aguadilla Urbanized Area (AUA) and (3) Urbanized Areas Under 200,000 (UZA). Voting members consist of the mayors of each of the 72 urbanized area municipalities, and the heads of state and Federal agencies involved in transportation planning, including: PRDTPW, PRHTA, Metropolitan Bus Authority (MBA), Ports Authority (PA), Planning Board (PB), Permission Management Office (PMO), Public Service Commission (PSC), Puerto Rico Integrated Transportation Authority (PRITA), Environmental and Natural Resources (DENR) and the Environmental
Quality Board (EQB). Non-voting members include: Puerto Rico Division of the Federal Highway Administration (PRFHWA), and FTA’s Region IV.

The Federal Coordination Office (FCO), Strategies Planning and the Programming Offices are responsible for planning and implementing the technical and administrative activities of the MPO, including organization of the Technical and Policy Committee meetings, development of the Transportation Improvement Program (TIP) and Statewide Transportation Improvement Program (STIP), documents in addition to planning enhancement and research projects for highway and transit projects, the Unified Planning Work Program (UPWP) and the State Planning and Research Program (SRP). The FCO is responsible for the plan and administering of several Federal Transit Programs. This document outlines the policies and procedures for management of the §5311 (Nonurbanized Area), §5310 (Elderly Individuals and Individuals with Disabilities), §5339 Bus and Bus Facilities Program and §5317 (New Freedom Initiative), and Section 5316 JARC Program.

Also the FCO is responsible for the reporting of the National Transit Database (NTD) Program (for “públicos,” Metrobus and Tren Urbano System in the SJUA and transit in rural areas) and the Rural Transit Assistant Program (Section 5311(b)(3)).

C. Public Transportation System Profile
Unlike most systems in the United States, public transportation in Puerto Rico is provided primarily by private non-subsidized for-profit enterprises (públicos) and private buses. “Públicos” are a fixed route, semi-scheduled owner-operated system which responds to a market demand for its service. In other words, if there is a need for service, a group of drivers organize themselves and present a proposal/petition to operate a route to the Puerto Rico Department and Transportation and Public Works (PRDTPW), which approves and regulates its franchise. The PRDTPW holds public hearings and meetings before authorizing any routes as well as establishes the fare structure.

“Público” vehicles are typically 14-passenger vans or sedans that carry up to 5 passengers. This latter type is generally found in long-distance inter-city routes. “Público” operators are mostly self-employed, using their individual vehicles for both transit and personal use, or work on a commission basis renting a vehicle and paying its owner a pre-determined percentage of revenues. The operators receive no governmental operating subsidies. Outside of the San Juan Urbanized Area (SJUA), “públicos” are basically the main public transportation services. Over the years, “públicos” have created an intricately linked network of routes providing inter-city and intra-city service around the Island.
“Públicos” are, by far, the most important public transportation provider in areas outside of the SJUA. Most drivers are organized into associations, cooperatives and unions each serving a specific group. There are approximately 5,624 operating “públicos” on the Island, of which about 66% service the San Juan Urbanized Area and the remaining 34% the rural and smaller urbanized areas on the Island. Ferry service operated by the ATM provides public transportation to and from the two Island municipalities of Culebra and Vieques.

In the San Juan Urbanized Area, public transportation is provided by the Metropolitan Bus Authority, a public transit agency within the PRDTPW; Metrobus, a private transit company under contract to the PRHTA (management, as well as the Tren Urbano Services) by the Integrated Transportation Alternative Office and; “públicos”; and, to a lesser extent, private bus companies. In addition, ferry service (Acuaexpreso) is offered by the ATM linking Old San Juan and Cataño.

Traditionally, “público” facilities consisted of curb-side parking spaces generally located around the town plaza and main commercial and business center. While convenient for passengers, they created congestion and placed a greater demand for limited parking spaces in the Central Business District (CBD) as the number of private cars increased. Over the past 15 years, with the assistance of FTA funds, municipal governments have constructed and operate terminal facilities and bus shelters for “públicos”, which has greatly improved the provision of transportation services and provided for intermodal facilities.
Chapter II: Program Goals and Objectives

The State Management Plan (SMP) was prepared by the PRHTA in its role as administrator of FTA’s Enhanced Mobility of Seniors and Individuals with Disabilities Program, Formula Grants for Rural Areas Program, Bus and Bus Facilities Formula Program and Job Access and Reverse Commute Program and New Freedom Program. This document facilitates both state management as well as FTA oversight by documenting the PRHTA’s policies, procedures, and administrative requirements for administering all these Programs into a single reference which is utilized primarily by PRHTA staff as well as FTA officials and Subrecipients.

Also based on the requirements for Sections 5310, 5311 and 5316 and 5317a, a Coordinated Plan was developed thru a process that includes representative of public and private and non-profit transportation and human services transportation providers, such as the Department of Labor and Human Resources, Department of the Family, Public Services Commission, Puerto Rico Department of Transportation and Public Works, Puerto Rico Highway Transportation Authority and representative from each urbanized area, and private non-profit organization like United Funds of Puerto Rico Inc, and participation by members of the general public.

In regards to administering federal transit grants, PRHTA/FCO has the primary responsibilities for the following:

- Developing and implementing public transportation programs throughout the state;
- Ensuring adherence to federal program guidelines by all sub recipients through periodic monitoring and oversight;
- Notifying eligible and/or potential local entities of the availability of programs;
- Developing project selection criteria;
- Soliciting applications;
- Ensuring fair and equitable distribution of program funds;
- Ensuring the maximum feasible coordination of transit resources at both the state and local levels.

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1 View document on www.dtp.gov.pr/coordinacion_federal
Puerto Rico Metropolitan Planning Organizations (PRMPO)

The Puerto Rico Metropolitan Planning Organization (PRMPO) is a transportation policy-making organization made up of representatives from local government and transportation authorities. PRMPO were created in order to ensure that existing and future expenditures for transportation projects and programs were based on a comprehensive, cooperative, and continuing planning process.

The role of the PRMPO includes: establishing a local forum for transportation decision making; evaluating transportation alternatives; developing and updating a long-range transportation plan; developing a Transportation Improvement Program (TIP); and getting the public involved. The PRTHA works in cooperation with these local groups in developing their TIPs. In accordance with federal regulations, the PRMPO establish their project priorities and PRHTA/FCO includes those in the statewide program.

Rural communities that are not a part of the urbanized areas of PRMPO as described above, but to ensure that federal and state regulations and guidelines for transportation planning in rural areas are met among their many duties, the Federal Coordination Office is responsible for providing a public forum and serving as an advisory board to review funding applications from sub-recipients.

Long Range Transportation Plan (LRTP)

The Puerto Rico Long Range Transportation Plan presents long range multimodal assessments of the statewide transportation program. Long range transportation Plan has been part of the PRHTA process for many years. Federal regulations guide development of the PRLRTP and require that it address transportation needs for a minimum of 20 years into future. The PRLRTP address all modes of transportation including transit, road and bridges, bicycle and pedestrian systems, for which PRHTA has direct responsibility or participates cooperatively to support other local and state government agencies. This plan is coordinated with urban and rural areas of the Island, and conforms to federal regulatory requirements.

The transportation planning supports the economic vitality for the state by increasing available options and enhancing the integration and connectivity of the transportation system, across and between modes, for private and public transportation. The transportation planning is more than merely listing highway and transit capital investment. It requires developing strategies for operating, managing, maintaining, and financing the area’s transportation system to advance the long-terms goals.
An efficient transportation system can improve the economy, shape development patterns, and influence quality of life and the natural environments. The PRHTA provides direct support to state, regional and local agencies in ongoing transportation planning. The transportation planning process is a cooperative effort between PRHTA, PRDTPW, PRMPO, and transit providers.

CHAPTER III: Overview of Transit Programs

A. Section 5307: Urbanized Area Formula Grants

This program 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. Eligible purposes include planning, engineering design and evaluation of transit projects and other technical transportation-related studies; capital investments in bus and bus-related activities such as replacement of buses, overhaul of buses, rebuilding of buses, crime prevention and security equipment and construction of maintenance and passenger facilities; and capital investments in new and existing fixed guideway systems including rolling stock, overhaul and rebuilding of vehicles, track, signals, communications, and computer hardware and software. All preventive maintenance and some Americans with Disabilities Act complementary paratransit service costs are considered capital costs.

For urbanized areas with a population of 200,000 and over, funds are apportioned and flow directly to a designated recipient selected locally to apply for and receive Federal funds. For urbanized areas under 200,000 in population, the funds are apportioned to the Governor of each state for distribution. In Puerto Rico the 5307 grants between 50,000-199,999 apply directly to FTA.

B. Section 5310: Enhanced Mobility of Seniors and Individuals with Disabilities Program

The 5310 program provides funds to private nonprofit entities, public bodies approved by the state to coordinate transportation services for seniors and individuals with disabilities, or public bodies which certify to the Governor that no private nonprofit entity or association is readily available in an area to provide the service.

Federal Transit Administration provides financial assistance for transportation services planned, designed, and carried out to meet the special transportation needs of seniors and individuals with disabilities in all areas—large urbanized, small urbanized, and rural. Federal financial assistance under the Section 5310 program is limited to participation in the cost of capital equipment (rolling stock), cost for purchase of transportation service
contract(s), mobility management, preventive maintenances cost and state-level administrative costs to administer the program.

The goal of the Section 5310 program is to improve mobility for seniors and individuals with disabilities throughout the country by removing barriers to transportation services and expanding the transportation mobility options available. PRTHA is the designated recipient for urban and rural areas of the State.

Congress enacted The Moving Ahead for Progress in the 21st Century Act (MAP-21) on July 6, 2012. MAP-21 repealed the New Freedom program (49 U.S.C. 5317) and merged the New Freedom program into the Section 5310 program. As a result of this merger of programs, activities eligible under the New Freedom program are now eligible under Section 5310, and, consistent with Section 5317, funds are apportioned among large urbanized areas, small urbanized areas, and rural areas, instead of only to states, as the law previously provided. The apportionment is based on the population of seniors and individuals with disabilities in large UZAs, small UZAs, and rural areas.

C. **Section 5311: Formula Grants for Rural Areas Program**

The 5311 program is intended to provide financial assistance for the support of public transportation services, which are open to the public on an equal basis in areas outside of an urbanized area of less than 50,000 populations.

The 5311 funds can be used for the costs of transit planning activities, transit operations and purchase of capital equipment or facilities to aid in provision of transit services in rural areas, as well as provide funds for state-level administration. Federal regulation requires that 15% percentage of these funds be reserved each year to support an Intercity Bus Service, unless the Governor of a state certifies that intercity bus needs in the state are being met.

Through the Section 5311 Program, the PRHTA provides administrative, operating and capital assistance to public transportation projects in non-urbanized areas (NUA). The **program goals** are:

- Assist in meeting the transportation needs of transit-dependent people and to enhance access to health care, shopping, education, employment, public services, and recreation;
- Assist in the maintenance, development, improvement and use of public transportation systems in rural areas;
- Encourage and facilitate the most efficient use of all federal funds used to provide passenger transportation in rural areas through the coordination of programs and services;
- Assist in the development and support of intercity bus transportation;
• Provide for the participation of private transportation providers in rural public transportation to the maximum extent feasible;
• Encourage mobility management, employment-related transportation alternatives, joint development practices, and transit-oriented development; and
• Provide financial assistance to help carry out national goals related to mobility for all, including seniors, individuals with disabilities, and low-income individuals.
• Enhance the accessibility of rural residents to business, cultural, health, educational, and social activities by reducing traffic congestion through the relocation of curbside “público” terminals from the CBD to off-street terminals.
• Support the participation of private transportation providers of transportation services.
• Implement a Rural Transit Assistance Program (RTAP) to provide technical assistance and training to operators and provide for research and other related support services to improve rural transit.

**RTAP Section 5311(b) (3) - Rural Transit Assistance Program**

Section 5311(b)(3) authorizes the Secretary “to make grants and contracts for transportation research, technical assistance, training and related support services in rural areas.” The Rural Transit Assistance Program (RTAP) provides a source of funding to assist in the design and implementation of training and technical assistance projects and other support services tailored to meet the specific needs of transit operators in rural areas. RTAP has both state and national program components.

The State program provides an annual allocation to each state for development and implementation of training and technical assistance programs in conjunction with the State’s administration of the Section 5311 formula assistance program. The national program provides for the development of information and materials for use by local operators and state-level administrators and supports research and technical assistance projects of national interest.

The objectives of RTAP are:
• To promote the safe and effective delivery of public transportation in rural areas;
• To make more efficient use of public and private resources;
• To foster the development of state and local capacity for addressing the training and technical assistance needs of the rural transportation community;
• To improve the quality of information and technical assistance available through the development of training and technical assistance resource materials;
• To facilitate peer-to-peer self-help through the development of local networks of transit professionals;
• To support the coordination of public, private, specialized, and human service transportation services; and
• To build a national data base on the rural segment of the public transportation industry.

Funds can be used to directly provide training and/or technical assistance with state staff, to contract with others for provision of training/technical assistance, to assist local entities with the cost of training available from other sources, and to develop local capabilities for self-help.

**Section 5311(f) Intercity Bus Program**

Section 5311(f) requires each state to spend fifteen percent (15%) of its annual Section 5311 apportionment "to carry out a program to develop and support intercity bus transportation," unless the Governor certifies that "the intercity bus service needs of the state are being met adequately." The required percentage applies only to the amount of FTA's annual apportionment of Section 5311 funds to the state, not to any funds the state subsequently transfers to its formula grant rural area program from another program.

The objectives of the funding for intercity bus service under Section 5311 are:

• Support the connection between rural areas and the larger regional or national system of intercity bus service.
• Support services to meet the intercity travel needs of residents in rural areas.
• Support the infrastructure of the intercity bus network through planning and marketing assistance and capital investment in facilities.

FTA encourages States to use the funding under 5311(f) to support these national objectives, as well as priorities determined by the State” (FTA C 9040.1G).

PRHTA publishes a notice requesting comments from private and public transportation providers and the public on meeting intercity bus transportation needs. If no comments are received, the Governor then certifies that the intercity bus service needs are met and the PRHTA prepares a transfer of these funds to the regular apportionment of the rural area program.

**Section 5316 Job Access and Reverses Commute Program (JARC)**

The purpose of JARC Program is to improve access to transportation services to employment and employment related activities for welfare recipient and eligible low-income individuals and to transport residents of urbanized areas and rural areas to suburban employment opportunities. Funds from the JARC Program, Section 5316, are available for capital, planning, and operating expenses that support the development and maintenance of transportation services designed to transport low-income individuals to and from jobs and activities related to their employment.

This program was repealed by MAP-21. While the Section 5316 JARC Program was repealed under MAP-21, job access and reverse commute projects are now an eligible project type under the Rural and Urbanized Area Formula Program.
All projects funded with Section 5316 must be derived from a locally developed **Coordinated Public Transit-Human Service Transportation Plan**. The PRHTA is the designated recipient for these funds.

**Section 5317 New Freedom Program (NF)**
The purpose of the New Freedom formula grant program was to provide additional resources to overcome existing barriers facing Americans with disabilities seeking integration into the workforce and full participation in society. Seek to reduce barriers to transportation services and expand the transportation mobility options available to people with disabilities beyond the requirements of the ADA of 1990.

NF program funds are available for capital and operating expenses that support **new public transportation services beyond those required by the ADA** and **new public transportation alternatives beyond those required by the ADA** designed to assist individuals with disabilities with accessing transportation services, including transportation to and from jobs and employment support services. For the purpose of the NF program, “new” service is any service or activity that was not operational before August 10, 2005, and did not have an identified funding source as of August 10, 2005, as evidenced by inclusion in the Transportation Improvement Program (TIP) or the State Transportation Improvement Program (STIP). In other words, if not for the NF program, these projects would not have consideration for funding and proposed service enhancement would not be available for individuals with disabilities.

Both new public transportation services and new public transportation alternatives are required to go beyond the requirements of ADA and must: (1) be targeted toward individuals with disabilities, and (2) meet the intents of the program by removing barriers to transportation and assisting persons with disabilities with transportation, including transportation to and from jobs and employment services.

The New Freedom Program was repealed by MAP-21. Unexpended funds apportioned for fiscal year 2012 and prior years will remain available for obligation until they lapse or are expended, and are subject to the rules under which they were apportioned. While the Section 5317 New Freedom Program was repealed under MAP-21, similar projects are eligible under the Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Formula Program. Program information is available in FTA Circular 9070.1G.

All projects to be funded for funding must be derived from coordinated plan and be competitively selected; and it must conform to the guidelines established by FTA.
**Coordinated Plan**

SAFETEA-LU requires projects under Section 5310, 5316, and 5317 be derived from a locally developed, coordinated public transit-human services transportation plan for all FTA programs for underserved populations. Projects selected for funding under the JARC and New Freedom programs, whether by the State or by the designated recipient (in large urbanized areas), must be derived from a local coordinated plan. The Coordinated Plan identifies the transportation needs of individuals with disabilities, older adults, and people with low incomes. The provisions ensure that communities coordinate transportation resources provided through multiple Federal programs.

Under MAP-21, Section 5310 is the only program that still has this coordinated plan requirement. The recipients with unobligated JARC and New Freedom funds must continue to certify that projects are included in a coordinated plan.

In urbanized areas with populations less than 200,000 and in rural areas, the State is the designated recipient for receipt and administration of funding under the JARC and New Freedom programs. For these areas, the Governor has designated the Puerto Rico Highway and Transportation Authority (PRHTA) to be responsible for administering the JARC and New Freedom programs, and has officially notified FTA’s Region IV Office in writing of this designation. In Puerto Rico the urbanized areas over 200,000 in population, also the Governor, designated the PRHTA as designated recipient. Through a regional coordinated planning effort we implement a uniform application and selection process for the Section 5310, 5316 and 5317 programs.

**D. Section 5339 Bus and Bus Facilities Program**

The Bus and Bus Facilities Program originated as part of the section 5309 discretionary grant program established by the original transit authorization in 1964. MAP-21 established a new Section 5339, Bus and Bus Facilities Program, changing the program from discretionary to formula. The purpose of this program is to finance capital projects to replace, rehabilitate, and purchase buses and related equipment, and to construct bus-related facilities.

Under the new Bus Program, funds are apportioned through a national distribution and a statutory formula. The national distribution provides a flat amount of funding to each State and territory. The formula provides additional funds based on population, vehicle revenue miles, and passenger miles. The grants under this section to the designated recipients in the large urbanized areas (UZAs) and states are for the purpose of financing capital bus and bus-related projects that will support the continuation and expansion of public transportation services.
Chapter IV: State Role in Project Administration

The PRHTA is the state agency designated to administer Section 5310, 5311, 5316, 5317 and 5339 Program. The Federal Coordination Office is responsible for the daily operation and administration of these programs. Among its primary responsibilities, include the following:

- **Section 5310: Enhance Mobility of Seniors and Individuals with disabilities Program**
  
  **Planning**
  
  - Prepares and documents the State’s procedures in a State Management Plan (SMP)
  - Promoting local projects’ participation in the Program
  - Plans for future transportation needs, and ensures integration and coordination among diverse transportation modes and providers.
  - Certifies that all projects are derived from a locally developed, coordinated public transit-human services transportation plan developed through a process that consists of representative of public, private, and non-profit transportation and human services provided with participation by the public;

  **Management**
  
  - Developing a program application and fund distribution process
  - Develop project selection criteria
  - Review and selects projects for approval;
  - Forwards an annual program of projects (POP) and grant application to FTA;
  - Certifies that allocation of grants to sub recipients are distributed on a fair and equitable basis;
  - Certifies eligibility of applicants and project activities;
  - Ensures compliance with Federal requirements by all sub recipients;
  - Monitors local project activity ; and
  - Oversees project audit and closeout

- **Section 5311: Formula Grants for Rural Area Program**
  
  **Planning**
  
  - Develop and maintain up to date guidelines for Proposal Preparation.
  - Develop evaluation criteria for project approval.
  - Develop project selection criteria to ensure a fair and equitable distribution of funds.
  - Evaluate proposals and recommend projects to be selected for funding.
  - Prepare the annual Program of Projects (POP) and grant application to FTA.
  - Coordinate to the maximum extent possible, public transportation resources with other state agencies, such as, the PB, Municipal Affairs Commissioner, PSC, etc.
Training and Technical Assistance

- Provide training and technical assistance to eligible recipients through seminars, workshops and meetings in areas such as: project planning, proposal preparation, administrative procedures, compliance with Federal and State statutes and regulations.
- Develop guidelines for project management and grant administration.
- Design, develop and implement an RTAP program to provide technical assistant to rural transit operators as well as conduct research and other support activities in rural transit.

Management

- Administer the RTAP program, including contracting pertinent resources, developing materials, etc.
- Maintain an accounting system in compliance with Federal regulations.
- Process reimbursements for completed project activities to Subrecipients.
- Monitor projects to assure compliance with program guidelines and Federal requirements through various techniques, such as: analysis of progress reports, site inspections, and phone calls.
- Oversee the submittal of Subrecipient audit reports.
- Implement project close-out procedures on all active projects.
- Submit the required financial and performance reports to FTA.

5316 Job Access and Reveres Commute (JARC)/5317 New Freedom Program

Planning

- Funds are obligated based on the annual program of projects included in a grant application.
- Responsible of ensure that local applicants and project activities are eligible and in compliance with Federal requirements.
- Ensures that all program activities are included in a Statewide Transportation Improvement Program (STIP);
- Oversees project audits and closeouts.
- Certify to FTA annually that the recipient and sub recipients have met or will meet all Federal requirements, including all metropolitan and statewide planning requirements.
**Management**
- Conducting an area-wide or Statewide competitive selection process;
- Certifying a fair and equitable distribution of funds resulting from the competitive selection process;
- Certifying that each project selected was derived from a locally developed, coordinated public transit-human services transportation plan;
- Certifying that local plans are developed through a process that included representatives of public, private, and non-profit transportation and human services providers and participation by the public.
- Responsible for ensuring that the plan from which a selected project was derived was developed in compliance with the statutory requirements.
- Managing all aspects of grant distribution and oversight for subrecipients receiving funds under this program; and
- Submitting reports as required by FTA.

- **Section 5339: Bus and Bus Facilities Program**

  **Planning**
  - Designated recipients, is responsible for receiving and apportioning FTA funds to eligible projects,
  - Applying for funds on behalf of all eligible subrecipients within the applicable urbanized area or rural areas.
  - The state or designated recipient has the principle authority and responsibility for administering Bus Program funds.

  **Management**
  - The designated recipient allocates the relevant apportionment among subrecipients in the large urbanized area based on local needs and arrangements, and in coordination with the MPO(s).
  - The designated recipient(s) and the MPO(s) should determine the subarea allocation fairly and rationally through a process based on local needs and agreeable to the designated recipients.
  - Designated recipients must provide documentation to FTA showing how the 5339 allocation will be split among the recipients. FTA may request a written agreement signed by a representative of each designated recipient or entity involved.
  - Assist in making such subarea allocations, any UZA may request the appropriate FTA regional office to coordinate with FTA headquarters staff in providing the necessary disaggregate data used in apportioning the total UZA’s share of the entire Urbanized Area Formula Program resource.
• The state allocates the relevant apportionment among subrecipients in the small urbanized areas or rural areas based on local needs and arrangements; e.g., identifying and selecting the projects that the MPO or state Department of Transportation (state DOT) will include in a metropolitan transportation plan, Transportation Improvement Program (TIP), Long-range Statewide Transportation Plan, and Statewide Transportation Improvement Program (STIP).

• Submitting a grant application to FTA for the Section 5339 Program of Projects (POP). Reporting on behalf of subrecipients contained in the POP.

• Ensuring that subrecipients and projects are in compliance with all applicable federal requirements.
Chapter V: Eligibility Requirements

A. Sub recipients

- State agencies and local public bodies and agencies thereof;
- Private non-profit organizations that is incorporated as a private non-profit corporation with the Puerto Rico Department of State offering public transportation services;
- Operators of public transportation services; including private operators of public transportation services.
- Private for-profit operators of transit services through contracts with eligible recipients, such as local or state governments.
- Under 5310 Section any public body or agency that has been approved by the state to coordinate or provide services for senior and individuals with disabilities is eligible. This category includes all public bodies that have at least one of the following purposes:
  i. Establishes the government’s public policy related to seniors and individuals with disabilities' services.
  ii. Establishes goals and objectives for coordinated services
  iii. Provides direct services to senior and individuals with disabilities

- Any public body that certifies that there are no non-profit organizations readily available in an area to provide Program 5310 services. This category includes those public entities that provide services to the general public and that have a program that offers services for seniors and individuals with disabilities. These public entities must comply with the following additional application requirements in order to be determined eligible for this program;
  o Notify the public about the availability of Section 5310 program funds and provide an opportunity for any private non-profit organization to provide specialized transportation services in the needed service area. Notify the PRHTA of the transportation needs for seniors and individuals with disabilities in their service area.
  o Invite the general public, interested groups and private and “Público” operators to submit comments and recommendations on the proposed project. A comment period of at least fifteen (15) days from the date of a public notice to all interested persons or entities must be provided. If any comments are received, a copy of these must be included with the application package.
  o Certify to the PRHTA that an opportunity was given to the private non-profit sector to provide specialized transportation services and that no one was available to provide such service. Include with the certification
documentation of their efforts to notify and invite interested groups to
participate in the program.

If any private non-profit organization or other public entity doesn’t notify their interest
and/or availability to provide such services, then the public body qualifies for the
Section 5310 Program.

B. Eligible Services and Services Areas

Section 5310 – Enhance Mobility of Seniors and Individuals with Disabilities
Program, 49 U.S.C. §5310 states that seniors and individuals with disabilities have the
same rights as other persons to utilize public transportation facilities and services.
Therefore, the program recipient shall use special efforts in the planning and design of
these facilities and services to assure their availability to this specialized group. This
program covers the urban, small urban and rural areas of Puerto Rico.

Funds for the Section 5310 program are available for capital and operating expenses as
defined in Section 5302(3) to support the provision of transportation services to meet the
specific needs of seniors and individuals with disabilities. Examples of capital expenses include, but are not limited to:

a. buses;
b. vans;
c. radios and communication equipment;
d. dispatch system
e. vehicle wheelchair lifts and ramps;
f. vehicle rehabilitation or overhaul;
g. preventive maintenance, as defined in the National Transit Database (NTD);
h. extended warranties which do not exceed the industry standard;
i. computer hardware and software;
j. initial component installation costs;
k. vehicle procurement, testing, inspection, and acceptance costs;
l. fare collection system
m. lease of equipment when lease is more cost effective than purchase.

C. Local Share and Local Funding Requirements

The selected applicant is required to provide twenty percent (20%) of the total cost of
the equipment described in the application package or as approved. The cost estimates
are based on an average market cost of the equipment as presented in the application
package. The local share must be provided as a cash match prior to the PRHTA
completing the procurement process. No equipment will be delivered to an applicant
before receipt of the local share. Examples of eligible sources for matching funds include, but are not limited to, the following:

1. Grants or appropriations from a unit of local government, or Legislative Assembly
2. Grants from service groups, foundations, individuals, United Way Funds, etc.
3. Other state funds eligible to match federal funds.

No federal funds are eligible to be used as local cash match for Program 5310 capital awards, unless otherwise permitted. Applicants must sign a Certification demonstrating the availability of the matching share which is included in the application package. The application must also list the funding source(s) dedicated to the project.

Section 5311 – Formula Grants for Rural Areas Program

A. Sub-Recipient

“The purpose of the Section 5311 program is to support public transportation for people living in any area outside of an urbanized area designated by the Bureau of the Census. An urbanized area consists of a core area and the surrounding densely populated area with a total population of 50,000 or more, with boundaries fixed by the Bureau of the Census. Since the goal of Section 5311 is to enhance the overall mobility of people living in non-urbanized areas, Section 5311 projects may include transportation to and from urbanized areas.

B. Eligible Services and Services Areas

Eligible activities are public transportation related projects, which comply with all established federal and state regulations and contribute to improving rural public transportation services through capital improvements. As a result of SAFETEA-LU, non-urbanized areas are eligible to receive operating expenses as well as funds for preventive maintenance activities;

- Improvements to transportation facilities.
- Acquisition of land for purposes of constructing a “público” terminal or shelters.
- Acquisition of communication equipment to coordinate transportation services.
- Expenses related to system operation
- Acquisition of equipment, such as, buses, vans, paratransit vehicles, and/or special attachments to vehicles, which would benefit handicapped or elderly persons.
- Provision of ADA paratransit service (only if in compliance with fixed route and complementary paratransit provisions).
- Preventive maintenance costs
- Construction of facilities, such as passenger shelters and “público” terminals.
RTAP Section 5311(b)(3) – Rural Transportation Assistance Program

The PRHTA is the designated recipient for RTAP funds. The RTAP program is intended to provide training and technical assistance to Section 5311 subrecipients and public providers in rural areas. Funds can be used to directly provide training and/or technical assistance with state staff, to contract with others for provision of training/technical assistance, to assist local entities with the cost of training available from other sources, and to develop local capabilities for self-help.

C. Local Share and Local Funding Requirements

Local monies must match NUA funds from other non-FTA sources as follows:
Capital Projects/Administration (20%)
The local share must be provided in cash or any combination of cash/in-kind contributions from sources other than Federal funds. These unrestricted funds may be used if the purpose of the funds is related to the project purpose and the funds are eligible to be used as local share. A certification from the Federal Agency authorizing the use of its funds as match for this program is required.
The PRHTA requires applicants to submit evidence that local funds are available (e.g., Municipal Ordinances, notarized statements of accounting firms and financial institutions) and an assurance of the availability of the local share.

Section 5316 – Job Access and Reverse Commute

A. Recipients
The Job Access Reverse Commute (JARC) program is targeted to enhance access to employment and employment related activities for people with lower incomes. The program also supports reverse commute – for example, from the city out to the suburbs or from outlying areas in to the city or suburbs. This program was repealed by MAP-21. Funds that were apportioned to urbanized and rural areas for fiscal year 2012 and prior years will remain available for obligation until they lapse or are expended, and remain subject to the program requirements at the time they were apportioned. PRHTA is the designated recipient for JARC funds apportioned to the urban, small urban and rural areas in Puerto Rico.

B. Eligible Activities
Eligible projects may include, but are not limited to capital, planning, and operating assistance to support activities such as:
- Late-night and weekend service;
- Guaranteed ride home service;
- Shuttle service;
• Expanding fixed-route public transit routes; including hours of service or coverage
• Demand-responsive van service;
• Ridesharing and carpooling activities;
• Transit related aspects of bicycling (adding bicycle racks to buses, bicycle storage at transit stations);
• Local car loan programs that assist individuals in purchasing and maintaining vehicles for shared rides;
• Supporting the Administration and Expenses related to voucher programs that increase service excluding transit passes and ADA complementary paratransit;
• Implementing Intelligent Transportation Systems (ITS):
  o Trip information technology
  o Vehicle position monitoring system or Geographic Information System (GIS) software
• Marketing and Promotion of:
  o Use of transit by workers with non-traditional work schedules
  o Development of employer-provided transportation such as shuttles, ridesharing, carpooling
  o Use of transit pass programs and benefits
  o Use of transit voucher programs by appropriate agencies for welfare recipients and other low-income individuals
• Administration and expenses related to voucher programs:
  o Mileage reimbursement as part of a:
    ▪ volunteer driver program
    ▪ A taxi trip
    ▪ Trips provided by a human service agency
  o Vouchers are an operational expense requiring 50/50 (federal/local) match
• Supporting mobility management and coordination programs among public transportation providers and other human service agencies providing transportation
  o Mobility Management is a capital cost requiring 80/20 (federal/local) match

C. Local Share and Local Funding Requirements
JARC funds may be used to finance capital, planning and operating expenses. The Federal share of eligible capital and planning costs may not exceed 80 percent of the net cost of the activity. The Federal share of the eligible operating costs may not exceed 50 percent of the net operating costs of the activity. Recipients may use up to 10 percent of their apportionment to support program administrative costs including administration, planning, and technical assistance, which may be funded at 100 percent Federal share.
The local share of eligible capital and planning costs shall be no less than 20 percent of the net cost of the activity, and the local share for eligible operating costs shall be no less than 50 percent of the net operating costs. All of the local share must be provided from sources other than Federal DOT funds. Some examples of sources of local match which may be used for any or all of the local share include: State or local appropriations; other non-DOT Federal funds; dedicated tax revenues; private donations; revenue from human service contracts; toll revenue credits; and net income generated from advertising and concessions. Non-cash share such as donations, volunteered services, or in-kind contributions is eligible to be counted toward the local match as long as the value of each is documented and supported, represents a cost which would otherwise be eligible under the program, and is included in the net project costs in the project budget. Income from contracts to provide human service transportation may be used either to reduce the net project cost (treated as revenue) or to provide local match for JARC operating assistance. In either case, the cost of providing the contract service is included in the total project cost. No FTA program funds can be used as a source of local match for other FTA programs, even when used to contract for service.

Exceptions
The Federal share is 90 percent for vehicle-related equipment and facilities required by the Clean Air Act (CAA) or the Americans with Disabilities Act (ADA). It is only the incremental cost of the equipment or facility required by the CAA or ADA that may be funded at 90 percent, not the entire cost of the vehicle or facility, even if the vehicle or facility is purchased for use in service required by the ADA or CAA. Designated recipients wishing to apply for assistance at the higher match ratio should consult the FTA regional office for further guidance regarding methods of computing the incremental cost before submitting an application.

Use of Other Federal Funds
Local match may be derived from other Federal funds derived from Federal programs that are eligible to be expended for transportation, other than from the DOT programs. Examples of types of programs that are potential sources of local match include: employment training, aging, community services, vocational rehabilitation services, and Temporary Assistance for Needy Families (TANF). To be eligible for local match for FTA funds, the other Federal funds must be used for activities included in the total net project costs of the FTA grant. Expenditure of other Federal funds for transportation outside of the scope of the project cannot be applied as a credit for local match in the FTA grant.
Section 5317- New Freedom Initiative

A. Recipients

The New Freedom initiative is to build integrated participation in the community for individuals with disabilities. New Freedom Program funds are available for capital and operating expenses that support new public transportation services beyond those required by the ADA and new public transportation alternatives beyond those required by the ADA designed to assist individuals with disabilities with accessing transportation services, including transportation to and from jobs and employment support service. Private for profit operators of transit service may participate in the program through contract with eligible recipients.

There are three categories of eligible subrecipients of 5316 and/or 5317 funds:

- Private/nonprofit organizations.
- State or local governmental authority; and
- Operators of public transportation services, including private operators of public transportation services.

B. Eligible Activities

Examples of eligible new transportation services beyond the ADA include:

- Flex Route for access to Commuter Bus;
- Additional Securement on Fixed Routes;
- Travel Training;
- Environmental Modifications:
  - Beyond what is required in ADA
  - Enhancements including signage, curb cuts, technologies to enhance customer access
- Paratransit Enhancements:
  - Expanded Hours for Paratransit
  - Paratransit Beyond ¾ mile
  - Same Day Service
  - Door THROUGH Door (providing escorts or assisting riders)
  - Accommodation for Mobility Aids that Exceed ADA standards

Examples of eligible new transportation alternatives beyond the ADA include:

- Purchasing vehicles to support new accessible taxi, ride sharing, and/or vanpooling programs
- Volunteer Driver Programs
- Administration of Vouchers and Vouchers for Alternative Services to Public Transportation:
  - Taxi reimbursement,
  - Mileage reimbursement for volunteer driver programs, etc.
  - Vouchers are an operational expense requiring 50/50 (federal/local) match
• New Mobility management and coordination programs among public transportation providers and other human service agencies providing transportation
  o Mobility Management is a capital cost requiring 80/20 (federal/local) match

C. Local Share and Local Funding Requirements

General
New Freedom funds may be used to finance capital and operating expenses. The Federal share of eligible capital and planning costs may not exceed 80 percent of the net cost of the activity. The Federal share of the eligible operating costs may not exceed 50 percent of the net operating costs of the activity. Recipients may use up to 10 percent of their apportionment to support program administrative costs including administration, planning, and technical assistance, which may be funded at 100 percent Federal share. The local share of eligible capital costs shall be no less than 20 percent of the net cost of the activity, and the local share for eligible operating costs shall be no less than 50 percent of the net operating costs. All of the local share must be provided from sources other than Federal DOT funds. Some examples of sources of local match which may be used for any or all of the local share include: State or local appropriations; other non-DOT Federal funds; dedicated tax revenues; private donations; revenue from human service contracts; toll revenue credits; and net income generated from advertising and concessions. Non-cash share such as donations, volunteer services, or in-kind contributions is eligible to be counted toward the local match as long as the value of each is documented and supported, represents a cost which would otherwise be eligible under the program, and is included in the net project costs in the project budget.

Income from contracts to provide human service transportation may be used either to reduce the net project cost (treated as revenue) or to provide local match for New Freedom operating assistance. In either case, the cost of providing the contract service is included in the total project cost. No FTA program funds can be used as a source of local match for other FTA programs, even when used to contract for service.

Exceptions
The Federal share is 90 percent for vehicle-related equipment and facilities required by the Clean Air Act (CAA) or the Americans with Disabilities Act (ADA). It is only the incremental cost of the equipment or facility required by the CAA or ADA that may be funded at 90 percent, not the entire cost of the vehicle or facility, even if the vehicle or facility is purchased for use in service required by the ADA or CAA. Designated recipient wishing to apply for assistance at the higher match ratio should consult the FTA regional office for further guidance regarding methods of computing the incremental cost before submitting an application.
Use of Other Federal Funds

Local match may be derived from other Federal programs that are eligible to be expended for transportation, other than funds from DOT programs. Examples of types of programs that are potential sources of local match include: employment, training, aging, medical, community services, and rehabilitation services. To be eligible for local match for FTA funds, the other Federal funds must be used for activities included in the total net project costs of the FTA grant. Expenditure of other Federal funds for transportation outside of the scope of the project cannot be applied as a credit for local match in the FTA grant.

Section 5339- Bus and Bus Facilities Formula Program

A. Eligible Recipients - Eligible recipients under this section are designated recipients and states that allocate funds to fixed route bus operators or state or local government agencies that operate fixed route bus service. The designated recipient may allocate amount of the grant to subrecipients such as: public agencies or private nonprofit organizations engaged in public transportation, including those providing services to individuals by age, disability, or low income.

B. Eligible Capital Project - This includes but is not limited to:
- The acquisition of buses for fleet and service expansion;
- Bus maintenance and administrative facilities;
- The acquisition of vans for fleet and service expansion, including specialized vans and related facilities used to provide ADA complementary paratransit service;
- Transfer facilities;
- Bus malls;
- Transportation centers;
- Intermodal terminals;
- Intercity facilities which are part of a joint development project;
- Park-and-ride stations;
- Acquisition of replacement vehicles;
- Bus rebuilds;
- Bus overhauls;
- Passenger amenities such as passenger shelters and bus stop signs;
- Introduction of New Technology. Funds may be used for transit-related technology, such as innovative and improved products that provide benefits to transit, including Intelligent Transportation Systems (ITS).

C. Federal Share of Project Cost (Capital Projects) - The federal share for capital projects that receive funding under the Section 5339 program may not exceed 80 percent of the net project cost. After the appropriate federal share is established, the applicant must provide the local share of the net project cost in cash (or in-kind) and must document in its grant application the source of the local match.
Chapter VI: Project Selection Criteria and Method of Distributing Funds

PRHTA will assure the fair and equitable distribution of funds among all eligible applicants through an analysis of transportation needs of the area. Each proposed project must be justified in terms of those needs including, but not limited to, proposed clientele, maximum accumulation of vehicles serving the area, estimated improvements to the existing transportation service, problems, and others.

SECTION 5310

The PRHTA staff performs an initial review of each application to ensure that all necessary information has been provided. Deficiencies are noted and applicants are given one (1) week to respond. Failure to correct deficiencies could jeopardize the application. The PRHTA staff utilizes an Evaluation Form in this process, the results of which are incorporated into the evaluation and selection process. Staff from the program review and evaluate the applications utilizing the criteria presented below. Scores are tabulated and applications are ranked accordingly. Additional points for addressing priority areas or special considerations determined by the Secretary, such as regional distributions, are factored into the scores. In order to comply with Title VI of the Civil Rights Act, the program staff takes into consideration in its distribution of funds process the quantity and quality of services being provided in the service area particularly traditionally underserved areas and clients. A list of all applications is submitted to the Secretary for final recommendation.

The PRHTA utilizes the following criteria for the evaluation and selection of applicants.

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Points</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Extent to which the vehicle will be utilized; including, degree of coordination with other agencies for maximum utilization and operating efficiency including any shortcoming of existing services.</td>
<td>25</td>
</tr>
<tr>
<td>2. Number of clientele to receive the specialized transportation services.</td>
<td>25</td>
</tr>
<tr>
<td>3. Extent to which accessible transportation services are provided in the area to be served including the number of Program 5310 vehicles in the area, days and hours of service, frequency of trips, etc.</td>
<td>20</td>
</tr>
<tr>
<td>4. Extent to which the following management factors are presented:</td>
<td>30</td>
</tr>
<tr>
<td>a. Route to be served. The types of road in the route helps determine if the vehicle requested by the applicant is the most appropriate to offer the transportation services.</td>
<td></td>
</tr>
<tr>
<td>b. Management capability. Extent of fiscal and managerial capability; especially in the applicant's ability to provide for the local share, vehicle</td>
<td></td>
</tr>
</tbody>
</table>
operation and maintenance, drivers’ scheduling and dispatching, storage of vehicle when not in service, and the ability to administer and monitor the transportation program including compliance with reporting requirements.

c. **Driver training.** The PRHTA will review the kind of training the applicant has given (or will give) to the drivers, a review of the driver’s record.

d. **ADA and Section 504.** Reviewing applicant’s compliance with Section 504 and ADA provisions including a visual inspection of the presence of ramps, accessible facilities, display of Civil Rights policies, equal employment, etc.

**PRIORITY** will be given to projects that:

1. Serve areas where local public transportation is non-existent and seniors and individuals with disabilities must depend almost entirely upon the applicant for all their general transportation needs.
2. Serve areas that are located in regions that no have Program 5310 vehicles.

**SECTION 5311**
The rural program staff conducts a technical review of each application to assure that the project is eligible and serves a rural area. Review sheets are tallied and applications ranked from highest to lowest. Final determinations are based on availability of funds, compliance with program requirements and PRHTA/DTPW priorities. Based on these parameters, the PRHTA has developed separate criteria for selecting projects to be funded for capital improvement projects and those for vehicle acquisition as follows:

**Project Selection Criteria for Capital Improvements Projects**
- Extent to which the project is justified in terms of need and benefits to be derived.
- Extent to which applicant is capable of financing the local share, administering and managing the project in all of its facets (constructing, accounting, supervision), from its inception through its completion and useful life.
- Extent, to which the project design is conceptualized, clearly described and shows the potential to improve the public transportation service.
- Extent to which project costs are reasonable.
- Extent to which efforts were made to coordinate with other transportation providers, both public and private.
- Extent to which applicant provided an opportunity for public and private operator involvement in the project.
- Extent to which the needs of the handicapped and seniors are addressed in the project.
- Extent to which applicant complies with all the assurance requirements.
Project Selection Criteria for Vehicle Acquisition Projects

- Extent to which applicant is responsive to the proposal application
- Extent to which there is a need/justification for the project:
- Identification of potential market
- Description of insufficiency of present system
- Extent to which the project described its Operational Plan including at least:
  - Description of the fixed route
  - Description/operation of complementary paratransit route
  - Description of data collection process
  - Description of Maintenance Plan
  - Presentation of Financial Plan
  - Presentation of Organizational Plan
- Extent to which expansion plans were described (if applicable)
- Extent to which project will be effectively managed.
- Extent to which efforts were made to coordinate with other transportation providers, both public and private.
- Extent to which applicant provided an opportunity for public and private operator involvement in the project, particularly “públicos” operators.
- Extent to which applicant is responsive to the proposal application package

SECTION 5316/5317

The PRHTA as the designated recipient of JARC/NF funds conduct a competitive selection process that is separate from, but coordinated with, the planning process. The competition allocates funding to the designated recipient and subrecipients to implement JARC/ NF projects.

As required by Title 49 U.S.C. 5316/5317 the selected projects are derived from the locally developed Coordinated Plan and meet the intent of the program. In large urbanized areas, this process is conducted in cooperation with the MPO annually.

The PRHTA publishes an announcement for JARC/NF and for all funding sources available to the State for proposals. The PRHTA evaluates projects submitted from urbanized and rural areas using selection criteria as stated in the application form.

Projects Selection Criteria

- Address gaps in current service provisions for targeted communities as defined in the local coordinated plan;
- The need for the service(s)
- Make use of available resources and leverage resources to the extent possible;
● Coordinate with other Federal programs (e.g., coordinated services, financial partnership);
● Can be achieved with the given technical capacity of the project sponsor;
● Geographic/demographic factors;
● Show evidence of broad solicitation for input (coordinated planning process)
● Financial and Management Capabilities

SECTION 5339
A new formula grant program is established under Section 5339, replacing the previous Section 5309 discretionary Bus and Bus Facilities program. This program is a source of funding for the urbanized area, but replaces the previous discretionary program under which the transit system was able to obtain several large grants. The program provides funding to replace, rehabilitate, and purchase buses and related equipment as well as construct bus-related facilities. The program staff conducts a technical review of each application to assure that the project is eligible. The Federal government allocates funds by formula to the each fiscal year for the Section 5339 Program. PRHTA has been designated by the Governor to administer the program. The program administrator is responsible for the following:
● announce of funding availability;
● selection of projects for funding according to selection criteria;
● development and processing of agreements;
● oversight of recipient procurement actions;
● oversight of recipient compliance with Federal requirements;
● processing of recipient invoices for reimbursement, and
● provision of technical assistance

The PRHTA utilizes the following criteria for the evaluation and selection of applicants:
● Be an eligible expense
● Identification of potential users
● Description of data collection process
● Description of the route
● Bus or facility expansion
● Extent to which project is justified in terms of need and benefits to be derived
● Support local transportation services
● Replacing aging equipment and infrastructure. For example vehicles proposed for replacement are evaluated based on the total vehicle condition: age, mileage, and the physical condition.
● Project feasibility including timeline, funding, and area needs, improvement to transportation system efficiency, and safety.
● Demonstrate compliance with state and federal rules and regulations.
Chapter VII: Federal Funding Accountability and Transparency Act (FFATA)

The Federal Funding Accountability and Transparency Act was signed on September 26, 2006. The intent is to empower every American with the ability to hold the government accountable for each spending decision. The FFATA legislation requires information on federal awards (federal financial assistance and expenditures) be made available to the public via a single, searchable website, which is www.usaspending.gov.

FTA’s recipients must report the information about each first tier sub-award over $25,000 (funds passed through to other public agencies or private nonprofit organizations) by the end of the month following the month the recipient makes any sub-award or obligation.

All direct recipients of FTA grants and cooperative agreements over 25,000 awarded after October 1, 2010 are subject to the requirement to report sub-award information to www.fsrs.gov by the end of the month after the month in which they make any sub-award under the grant. The following information is provided for use by FTA recipients:

- Direct recipients must register on-line to use www.fsrs.gov reporting site.
- Sub recipients must also have DUNS, but are not required to register in CCR.
- The new reporting requirement does not apply to awards made before October 1, 2010, so FTA awards made before fiscal year 2011 will not appear in FSRS.
- Once the grantee submits an initial report, the grantee can revise it later to add additional sub-awards as they are made, or to change data previously submitted to reflect adjustments in sub-awards.
- The required data elements in FSRS for each first tier sub-award over $25,000:
  - Name of entity receiving sub award
  - DUNS of the entity and its parents and DUNS+4
  - Amount of sub award
  - Sub award number (note: assigned by recipient)
  - CFDA number (note: the same CDFA associated with FTA award)
  - Place of performance (including congressional district)
- Total compensation and names of top five executive, if required (Not typically required, with thresholds of $25M and 80% of total revenue coming from federal funds)
- Awards title descriptive of the purpose of the funding action
- Location of the entity (including congressional district)

- After the recipient reports the sub award data in FSRS, the information will be published with the original direct award information on http://www.usaspending.gov.
- Information and training materials about FFATA sub-award reporting and FSRS are posted on www.usaspending.gov/news.

The PRHTA as prime grant recipient will submit in the Federal funding Accountability and Transparency Act Sub-Award reporting system a sub-award report by the end of the month following the month in which a grant greater than or equal to $25,000 is awarded to any sub-recipient. The PRHTA procedure report is:

- The Federal Coordination Director is the person in charge to have access to the fsrs.gov reporting system.
- Every Program Administrator will advise the Federal Coordination Office Director of each grant totaling more than 25,000 (in no more than 30 days after being awarded) for it to be entered and submitted in the FFATA site.
- The Federal Coordination Office Director, in turn, will then notify the FTA Regional Office of this submittal.
Chapter VIII: Annual Program of Project (POP) Development and Project Approval

A. Notice of the Availability of Funds
The statewide announcements for Sections 5310, 5311, 5316, 5317 and 5339 are widely disseminated through various methods, to include:

- Existing public transportation providers;
- Members of the Metropolitan Planning Organizations (MPOs);
- Public Transportation Association
- Other interested agencies and operators of public transportation service; and
- General Public

B. Public Notification
PRHTA publicly advertises availability of funds to potential applicants by notifying by letter, by the PRHTA web sites and through a publication having general circulation across the state.

The application process for all Programs is conducted annually as described below;

<table>
<thead>
<tr>
<th>ANNUAL APPLICATION AND POP PREPARATION PROCESS</th>
<th>TIMETABLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Notification of fund availability – FTA.</td>
<td>October</td>
</tr>
<tr>
<td>Letter of invitation to orientation meetings.</td>
<td>October</td>
</tr>
<tr>
<td>Published notice advising public of fund availability and regional orientation meetings.</td>
<td>November</td>
</tr>
<tr>
<td>Orientations to the public regarding fund availability, planning process and application solicitation process.</td>
<td>November/December</td>
</tr>
<tr>
<td>Individual technical assistance in planning and preparation of applications.</td>
<td>Ongoing</td>
</tr>
<tr>
<td><strong>DEADLINE</strong> to submit proposal for funds to PRHTA.</td>
<td>Last working day of January</td>
</tr>
<tr>
<td>Evaluation of proposal by PRHTA staff.</td>
<td>February - March</td>
</tr>
<tr>
<td>Project selection and preparation of annual POP, including recommended projects to be funded in each category.</td>
<td>May</td>
</tr>
</tbody>
</table>
C. POP Approval Process

From the time an application is received by the PRHTA, it begins a process to assure that it not only meets quality standards in content, but also is in compliance with all the requirements described in the proposal.

Once projects are selected, the PRHTA prepares an annual POP, which includes the information: name of each Subrecipient; a brief description of each project; and total project cost with a breakdown of the local and Federal share. The POP also includes the funding level for State administration, as well as planning and technical assistance activities, and funds for the Intercity Bus Program and RTAP in case of Section 5311. Projects are clearly identified and grouped. Since not all projects included in the POP are necessarily at the same stage of development. Three categories of projects (A, B, and C) are used to program funds. Upon submission of the annual POP, FTA will approve and obligate funds for the total level of funding requested in all three categories. All Sections funds are included in the STIP.

Category A Projects

Projects in this Category include those which have been certified by the PRHTA as having met all the statutory, administrative and/or programmatic requirements. With the approval of the POP, the PRHTA can execute Interagency Agreements and the Subrecipients can begin drawing down funds to implement projects in this category.

Category B Projects

Projects in this Category include those that the PRHTA anticipates approving during the current year, but that have not yet met all of the statutory, administrative and/or programmatic requirements. As the requirements are satisfied, projects advance to Category A. The PRHTA notifies the FTA Regional Office, in writing, of this advancement. Upon approval, projects can begin drawing down funds. It should be noted that any Category B project that does not qualify as a “Categorical Exclusion (CE)”, under 23 CFR 771.115(b), requires an environmental clearance from FTA, before being advanced to Category A.

Once the POP is approved by FTA, the PRHTA prepares a letter to each Subrecipient. The content of the letter differs according to the type of project and category. And a contract...
where the terms and conditions are specified is prepare between the PRHTA and the sub-grantees under Sections 5311, 5316 and 5317 and 5339.

**D. Intercity Bus Transportation**

The PRHTA annually use no more than 15% of its annual NUA apportionment for the support of intercity bus transportation. The PRHTA assesses that the statewide intercity needs are being met in coordination with affected Subrecipients, private and public transportation service providers and the PSC. Other process is that the PRHTA publishes a notice requesting comments from private and public transportation providers and the public on meeting intercity bus transportation needs. If no comments are received, the Governor then certifies that the intercity bus service needs are met and the PRHTA prepares a transfer of these funds to the regular apportionment of the NUA program.

**E. Transfer of Funds**

Although the transfer of funds between 5310, 5311 and 5307 Program is allow, due to the demand for Section 5310 funds the PRHTA's policy is not to transfer any funds between these Programs.

Funds transferred between NUA (Section 5311) and Urbanized Areas (Section 5307) are made after consultation with responsible local elected officials and publicly owned operators of mass transportation services in each area, to which the funding was originally apportioned. The Secretary of the DTPW may (as the Governor’s representative) transfer funds without consultation within the last 90 days in which these funds are available for obligation.

The Secretary of the DTPW may (as the Governor’s representative) transfer any portion of the state’s Section 5310 apportionment to Section 5311 or to Section 5307 under 200,000 if the funds will remain unobligated at the beginning of the 90-day period, before the end of the Federal fiscal year.

Transfer between Funding Categories (Sections 5316/5317). The Secretary of the DTPW may (as the Governor’s representative) use funds apportioned for small urbanized and rural areas for projects serving another area of the State, if certifies that all of the objectives of JARC/NF are being met in the specified areas. Funds apportioned to small urbanized and rural areas may also be transferred for use anywhere in the State including large urbanized areas, if the Secretary has established a statewide program for meeting JARC/NF program goals. There is no authority to transfer funds apportioned to large urbanized areas to small urbanized or rural areas.

Transfer to Other FTA Programs. A State may transfer JARC/NF funds apportioned to it for rural or small urbanized areas to apportionments under Section 5311(c) or 5307, or
both. The purpose of the transfer provision, however, is not to supplement the resources available under the State’s Section 5311 or Section 5307 apportionments. Transfer to Section 5311 or Section 5307 is permitted, but not required. If the State does choose to transfer the funds into the Section 5311 or Section 5307 programs, although JARC funds can be transferred to Section 5307 for award directly to a small urbanized area recipient in a Section 5307 grant, the grant should only include funding and activities for the JARC/NF project(s).
Chapter IX: Coordination

The approved applications for Sections 5310, 5311, 5316, 5317 and 5339 are included in the STIP after consultation with local officials. The PRHTA publishes notices regarding the availability of the draft STIP providing a 15-day comment period.

Coordination of the between the PRHTA and the municipalities, begins with a notification of the availability of funds and an invitation to participate in regional orientation meetings explaining the goals of the Program, which is published in a newspaper of major circulation. A letter is also distributed inviting eligible applicants to participate in orientation sessions as well as in training seminars offered by PRHTA program staff. Individual meetings are held with potential applicants to provide technical assistance in project planning and the proposal submittal process.

Coordination is also achieved through the proposal process in that applicants must describe their efforts to coordinate with public agencies and private transit and paratransit operators in the area. Applicants must document the methods used to notify private operators (e.g. correspondence, advertisements) and document the response of private operators. PRHTA evaluates the extent to which the applicants provided an opportunity for public and private operator involvement in the project during the evaluation and selection of projects for funding.

The PRHTA will encourage subrecipients of all these Sections, to coordinate the use of their vehicles to the extent feasible. At the project planning stage and, as part of its technical assistance provided to the prospective applicants, the PRHTA will discuss coordination strategies. At the application stage, each program will evaluate the extent of coordination activities as one of the criteria for project selection. In addition, as part of the application review process, the coordinators of the Sections 5310, 5311, 5316, 5317 and 5339 programs will meet to discuss the vehicle petitions received to determine if and how applicant vehicles could be coordinated. As part of the project monitoring process, each Program Coordinator could discuss service implementation with subrecipients and provide technical assistance on strategies to coordinate vehicles.

Finally, applicants coordinate programs through Executive Order 12372. All applicants must complete and file with the State Planning Board a JP-390 Review Form and submit a copy of the Planning Board’s comments to the PRHTA, which promotes maximum coordination of federally assisted programs and projects with each other and state, area wide and local plans and programs.
Chapter X: Private Sector Participation

Regulations issued by FTA require the public to be involved in the transportation planning process and specifically require that private providers be consulted in developing transportation plans and programs in both urban and rural areas. Public involvement processes must be proactive and provide complete information, timely public notice, full public access to key decisions, and opportunities for early and continuing involvement throughout the transportation planning and programming process.

To ensure that all private provider and public transit operators are notified of the differences FTA programs, PRHTA publish a Public Notice in one (1) of the main newspapers in Puerto Rico giving the opportunity to participate in regional meetings where the different programs of FTA are explain and application are distributed.

Also to ensure that all private for-profit and public transit operators are notified of the Program 5310 applicant’s intention to provide special services and that they are afforded an adequate opportunity to comment, a Public Notice is published in one (1) of the main newspapers in Puerto Rico describing the services that the applicant intends to offer to meet the special needs of senior and individuals with disabilities. The notice invites any interested private for-profit transit operator, within the service area, to comment on the proposed service by sending a written notice to the PRHTA and/or the local applicant within 15 days. In the event of conflict or complaint related to the development of new transportation services, the PRTHA will investigate, and give an opportunity for a public hearing to obtain the views of citizens on the proposed project to take whatever action is deemed necessary.

All applicants are required as part of the application process to submit a certification in which they assure that the proposed services will not in any way interfere with transportation services currently being provided by the public sector.

The transportation system in Puerto Rico, particularly in rural areas, is operated almost exclusively by private enterprise, that is, “públicos” and private bus lines. Public transportation providers supplement these privately operated systems, directly or by contract, in the SJUA. Accordingly, the PRHTA requires that each applicant, for FTA funds, certify in their proposal that they have afforded private transit operators a fair and timely opportunity to participate to the maximum extent feasible in the planning and provision of the proposed transportation services. In addition, they must provide evidence that efforts were made to identify and contact the private and public sectors in the planning and development of projects. This evidence includes, at least: notification of meetings (including a public hearing); a copy of meeting minutes and participant lists; and any other information describing their participation.

Subrecipients are responsible for establishing a local mechanism for resolving disputes in a fair and equitable manner and will be responsible for any conflicts or complaints at the local level. Any entity, which believes it has been unfairly treated at the local level, can request a meeting with the DTPW/PRHTA to discuss the issue.
Chapter XI: Compliances with Federal Requirements

Control and Responsibility
The PRHTA enters into a written IA with each subrecipient prior to expending funds on their local projects. It uses two standard agreements: (1) one for Capital Assistance Projects for Terminals and Shelters and (2) one for Vehicle and Equipment Acquisition. These IA’s define the scope of the project, funds allocated as well as Federal and State requirements. The PRHTA incorporates the terms of the Master Agreement between FTA and the PRHTA in its agreements, which state that the Subrecipient agrees to abide by all applicable clauses of the Master Agreement and acknowledges having received a copy of it. In addition to the IA, the PRHTA utilizes a variety of mechanisms to pass through Federal requirements to subrecipients and provide technical assistance.

The control and responsibility of the vehicles and/or equipment is with these Programs fund recipients. The recipients shall not sell, assign, encumber or in any way dispose of equipment or facilities without the prior written permission of the PRHTA. The recipient may not assign any portion of the work to be performed, or execute any contract, amendments or change orders thereto, or obligate itself in any manner with any third party with respect to its and responsibilities without the prior written approval of the PRHTA. The PRHTA makes a lien on all vehicles to assure that they cannot be sold or transferred until the end of their useful life.

Insurance
The recipient shall maintain collision and liability insurance (full cover) in an amount that will adequately protect the Program’s vehicle and/or equipment throughout the period that it provides project services. The state requires that all public entities must also provide a minimum amount of public responsibility liability insurance with limits of $300,000/$50,000/$100,000. The recipient agrees to hold the PRHTA harmless from any damage, which may result from the use of the vehicles or equipment acquired under these Programs and to this end, shall obtain Hold Harmless Insurance in favor of the PRHTA.

Each year the recipient submits to the PRHTA a copy of the policy renovation. Failure to provide documentation on policy coverage could result in legal action by the PRHTA for non-compliance with contract requirements.

Maintenance
During the period of contract performance, the recipient shall maintain the vehicles and/or equipment at a high level of cleanliness, safety, and mechanical soundness. The recipient shall not in any way modify or alter the equipment without the prior written approval of the
PRHTA. If at any time during the life of the project, the vehicle or equipment is damaged, stolen or vandalized or any way rendered useless for the services for which it was requested, the recipient shall notify the PRHTA and shall promptly reimburse to FTA through the PRHTA, its 80% interest in the market value of the equipment.

At its orientation meeting, the PRHTA provides Preventive Maintenance forms to subrecipients which can be used to periodically check the complete operation of the vehicles and to document the preventive maintenance carried out on the vehicles and other ADA features as well as the facilities. (Appendix A) The PRHTA will monitor maintenance through its biennial site visit which includes an inspection of the condition of the vehicle(s) as well as accessibility features such as lifts and ramps as well as a review of its maintenance records for vehicles and facilities. In addition, the PRHTA will monitor recipients through a review and analysis of the quarterly reports including a section on operational costs, maintenance costs, etc. The reports will also be reviewed to determine if vehicles were out of service due to inoperability of accessibility features. Deficiencies will be written up and discussed with the subrecipient. Failure to maintain and/or correct maintenance deficiencies could result in subrecipients’ loss of eligibility to receive funds from FTA until compliant.

**Vehicle Disposition and Useful Life**

The PRHTA’s policy is that it will not replace vehicles before the end of their useful life. The PRHTA will notify, by written, subrecipients at the end of the useful life of their vehicles. The fair market value of the vehicle will be based on state insurance agency standards. Once a vehicle’s useful life is completed, it will be removed from the PRHTA’s inventory of vehicles. The minimum useful life for vehicles is based on years and/or mileage as follows:

<table>
<thead>
<tr>
<th>Vehicle Type</th>
<th>Passenger Capacity</th>
<th>Mileage</th>
<th>Years</th>
</tr>
</thead>
<tbody>
<tr>
<td>Paratransit</td>
<td>Up to 16</td>
<td>60,000</td>
<td>Or 5</td>
</tr>
<tr>
<td>Minibus</td>
<td>17-25</td>
<td>72,000</td>
<td>Or 7</td>
</tr>
<tr>
<td>Light duty small bus</td>
<td>26-36</td>
<td>70,000</td>
<td>Or 8</td>
</tr>
<tr>
<td>Medium heavy duty transit bus</td>
<td>Over 37</td>
<td>100,000</td>
<td>And 10</td>
</tr>
</tbody>
</table>

Pursuant to these guidelines a vehicle qualifies to be disposed when the vehicle has reached the minimum years and mileage required. Vehicles with a useful life of one year over the minimum required but haven't reached the mileage are eligible for disposition based on a fair market value. To dispose of vehicles, the Federal Coordination Office contacts sub-recipients in order that they verify the mileage and notify the Department of Transportation and Public Works vehicle areas for the removal the lien attached from the vehicle’s life.
Subrecipients may not sell, encumber, or dispose of equipment without the PRHTA’s permission. Subrecipients may dispose of vehicles after they have reached the minimum useful life and required mileage. If the vehicle is used two years beyond the minimum life, but the mileage requirements have not been met, the Subrecipient may dispose of the vehicle, subject to fair market value. Subrecipients may lease Federally-funded vehicles to other public entities or private for-profit operators only after consultation with the PRHTA.

Annually the PRHTA submit to all sub-recipients the Certifications and Assurances that are required by law under Programs 5310, 5311, 5316 and 5317 and 5339. When properly signed is submitted to the PRHTA assures that the Applicant intends to comply with all program requirements.

In addition, to the assurances submitted, the PRHTA incorporates the provisions of the FTA Master Agreement in its Subrecipient IA. Since many of the assurances require action during the grant management phase, the PRHTA will give follow up to Subrecipients to assure that compliance with requirements. It’s being made during the course of program administration.

This follow up will be conducted primarily through:

- Submission by the Subrecipient of certain information and/or documents during various phases of implementation.
- Analysis of Progress Reports and pertinent documentation.
- Review of project files/records.
- Periodic on-site inspections.

In addition to the above-described procedures, the PRHTA will assure compliance with certifications by the following actions:

**CIVIL RIGHTS**

The PRHTA has an office of Civil Rights which is responsible for Title VI, DBE, and EEO. This office provides services and counsel to the PRHTA and the DTPW. The FCO gathers information on civil rights for FTA Federal grants and provides the information to the Civil Rights Office for subsequent transmittal to FTA.

**Title VI**

The PRHTA requires that all applicants for Program 5310, 5311, 5316, 5317 and 5339 funds include the following assurances in their application: “That no person, on the grounds of race, color, religion, sex or national origin, age or any disability will be excluded from participation in, or denied to benefits of, or be subject to discrimination under any project program or activity funded in whole or in part by FTA”. "The applicant shall not discriminate against any employee or applicant for employment because of race, color, religion, sex or national origin and that they will take affirmative action to ensure
that applicants are employed and that employees are treated during employment, without regard to their race, color, religion, sex or national origin."

Each subrecipient shall make available to participants, beneficiaries, and other interested parties information regarding the recipient’s Title VI Program. At a minimum, this includes the display of posters which summarize such requirements, e.g., Statement of Rights; Procedures for filing a complaint. In addition to the certifications that the recipients must provide and the clause included in the agreement between the recipients and PRHTA, project staffs monitor compliance through project inspections which include a review of:

a. Displayed information regarding recipients Title VI Program
b. Recipients' procedures to file a complaint
c. Equal Employment Opportunity, for example, displayed information of public policy
d. Equal treatment to all clients and employees by reviewing any complaints made and informal conversations with clients.

**Disadvantage Business Enterprises**

Any project exceeding the threshold (receives more than $250,000 in FTA funds of planning, operating or capital assistance) must submit contract award information to the PRHTA as part of its compliance with DBE program goals.

In order that a contractor or firm is considered a DBE, it must be certified as such by the PRHTA. This is accomplished by completing the document “Uniform Certification Application” (Appendix B) and submitting it to the PRHTA’s Office of Civil Rights, which will review the application and render a determination. Only those firms certified annually by the PRHTA are counted towards the achievement of its DBE goal. The PRHTA produces an Annual DBE Directory which lists all firms and/or contractors certified as DBEs. DBE firms re-certify annually to the PRHTA DBE Coordinator. The PRHTA has a formal hearing process for DBE related complaints. If the issues cannot be resolved, the complaint is filed with the Civil Rights Office.

The PRHTA requires Subrecipients to include DBE requirements in Request for Proposal (RFP) documents and contracts. This is included as part of the Subrecipient contract review process made by the PRHTA to ensure that the DBE requirements are fulfilled.

Subrecipients are required to report on DBE activities towards achievement of Annual DBE Goals (Appendix C) on a quarterly basis. Subrecipients awarding contracts during a quarter must submit DBE information to the PRHTA at the end of that quarter in order that it be incorporated in the PRHTA’s DBE reports submitted to FHWA and FTA.
All Program subrecipients are required to adhere to the requirements of 49 CFR Part 23, as amended, “Participation of Minority Business Enterprises in Department of Transportation Programs”. Program 5310 is included in the PRHTA Disadvantaged Business Enterprise (DBE) program covering all funds received from FTA.

SECTION 504 AND ADA
Subrecipients must sign certifications for compliance with Section 504 and ADA as part of their application process. In addition, the PRHTA monitors recipient’s compliance with the ADA required services provisions as part of the inspection site visit and an analysis of their semi-annual reports. The inspections include a review of the following:

1. Scheduling and dispatching
2. Maintenance of access related equipment such as, lifts, ramps, securement devices and lift access ramps.
3. Lift and securement use
4. Treatment to clients through conversations with clients
5. Trip selection to clients
6. Accessibility of entity's facilities

Rolling Stock Acquisition: The PRHTA provides training and technical assistance to applicants to ensure their fixed route systems are ADA compliant. This guidance includes providing subrecipients with a self-evaluation instrument to determine compliance with ADA service provisions on fixed routes. In addition, the PRHTA prepared a Complementary Paratransit System Guide, which is distributed to all subrecipients of trolley projects. The Guide demonstrates a step by step approach on how to design and implement complementary paratransit service. Individual technical assistance is provided to subrecipients by the PRHTA on designing their paratransit system. To assure that paratransit systems will be operational at the same time as their fixed route service, the PRHTA has established the following procedures:

- **At application stage**: The PRHTA assures that the applicant has signed.
- **Before Interagency Agreement is signed**: Subrecipients must have their paratransit plan approved by the PRHTA. If subrecipients comply with all other program requisites, the project can be moved to Category A.
- **Before reimbursement of rolling stock the PRHTA**: Subrecipients must have their paratransit plan approved by the PRHTA. If subrecipients comply with all other program requisites, the project can be moved to Category A.

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To monitor compliance, the PRHTA will:

- Require subrecipients to submit the **Complementary Paratransit Service Semi-Annual Report** on service provided (Appendix D).
- Conduct an annual on-site inspection of the fixed and paratransit service including reviewing vehicle maintenance plans and service records with particular attention given to maintenance of wheelchair lifts and ramps. The PRHTA will use the **ADA-Compliant Transit Service Monitoring Form** (Appendix E).
- Conduct on-site reviews to investigate any complaints regarding discrimination on ADA-related issues.

Transit operators who do not address deficiencies found in reviews in a reasonable time, will not be eligible for FTA funding until compliant. In those cases where subrecipients are found to be in continued non-compliance with ADA, the PRHTA will also initiate procedures to not renew subrecipients’ annual license registration for the vehicle.

**Construction projects:** The PRHTA will conduct, at least, two (2) project inspections during the construction period, including a final inspection of the facility in which it will check for Section 504 ADA compliance. Subrecipients are reminded to provide for ADA compliance in the design of facilities and in the specifications of any vehicles acquisition.

**Equal Employment Opportunity (EEO)**
Currently, no Sub recipients meet the threshold for filing an EEO program and assurance (receipt of $1 million or more in previous fiscal year and 50 or more transit related employees).

**Charter and School Bus Provisions**
During on-site inspections, the PRHTA will review records:

- To assure that the charter and school bus rule has been maintained.
- If any charter or school bus service was conducted, check that it was on an incidental basis, and that a waiver was requested from FTA.

In order to determine if a Subrecipient is eligible for charter service, the PRHTA will evaluate any requests for exceptions for the charter rule. This determination will be made in coordination with the PSC.

**Charter Bus Complaints**
In accordance with 49 CFR Part 604, Charter Service, Final Rule, Sub-Section 604.2(e), exempt from the charter service regulation recipients who receive funds under 49 U.S.C. Sections 5310, 5316, 5317 5311 or 5339 that provide charter service consistent with the
Federal program purpose. Nevertheless, if the agency receives any, the process will be as follow:

- Before the PRHTA has to respond to a complaint, FTA looks at it to ensure that the complaint has met all of the regulatory requirements.
- A complaint must be legally sufficient before it moves forward to the PRHTA for a response.
- The complaint must be filed within 90 days of the date the alleged unauthorized charter service.

**Complaint Procedures and Appeals**

- Any persons, individually, or as a member of any specific organization who believes that the PRHTA or any of its sub recipient has failed to comply with the obligations of any administrative procedures or/and any federal regulation and/or law, may file a written complaint.
- In administrative complaints, the PRHTA expects all parties to attempt to resolve matters informally before beginning the official process, but if is not possible, the FCO will referred the issue to the DTPW Legal Office.

**Environmental Protection** - The vehicles and other related equipment items routinely purchased under the Program 5310, 5316, and 5317 are considered categorical exclusions as stated in the National Environmental Policy Act, 42 U.S.C. 4321 etseq. and FTA Circular 5620.1, dated October 16, 1979 to prepare environmental documentation. If questions or concerns that could arise as a result of any unusual projects proposed, the PRHTA will coordinate with FTA Regional Office regarding any environmental requirements.

The Subrecipients must submit an Environmental Assessment to the PRHTA for any major construction projects (i.e., “público” terminals). This is then forwarded to FTA for review and subsequent issuance of a FONSI. The PRHTA informs FTA of any projects which are considered a CE (i.e., bus shelters, small shelter type terminals) as part of its application process.

**Buy America** -

The PRHTA assures compliance with Buy America and the Pre-Award and Post Delivery Audits through the following procedures:

- Review of construction contracts for Buy America requirements.
- Review and assurance of submittal of pre-award and post delivery audit forms prior to approving payment vouchers (see Proposal Preparation Manual).
- Review of pertinent forms provided by bus manufacturers and suppliers during on-site visits.
- Final payments will not be made until all certifications are in order.
Utilization of its Follow-up Compliance Checklist to assure that all records are up to date and pertinent data filed.

The requirement that respondents comply with Buy America provisions is included in the PRHTA’s bid documents for vehicle acquisition. The PRHTA’s Bid Office assures that, as a condition of awarding a bid, this certificate has been received as part of the bid documentation process. The Program 5310 staff reviews compliance with Buy America as part of his inspection visit to the manufacturer's facility.

**Pre-Award and Post Delivery Reviews** - Pre-award and post delivery certifications are included as part of the procurement process. Bidders certify that they will comply with these requirements. The PRHTA Section 5310 Coordinator verifies that all post delivery requirements have been completed and that documents are received and on record from the manufacturer before endorsing any payment vouchers. A Certification form has been developed to facilitate this task. Upon verification, the Program 5310 Coordinator submits the Certification to the Transportation Office, which inspects and accepts the vehicles, prior to the day of vehicle delivery. Without this Certification, the supplier’s invoice will not be processed. This procedure applies to bus testing, Buy America and FMVSS certifications.

The Assistant Secretary for Federal Affairs signs off on all pertinent pre-award and post delivery documents once he has reviewed the signed inspections and vehicle acceptance forms by PRHTA staff. The PRHTA maintains on file all post delivery certifications, included the bus testing certification from the vehicle manufacturer.

**Debarment and Suspension**
A certification is submitted by the applicant as part of its proposal preparation process. To monitor compliance the PRHTA will:

- Include the Debarment Certification on the Follow-up Compliance Checklist.
- Review Subrecipient procurement documents for inclusion of debarment clauses.
- Review Subrecipients signed certificates from contractor and vendors (with contracts exceeding the small purchase threshold).

**Restrictions on Lobbying** - The PRHTA submits as part of its one-time submission requirements to FTA, a certification on lobbying. Likewise, the recipients are required to submit a certification with their application for funds. The PRHTA will review Subrecipients’ procurement documents to ensure compliance with lobbying certifications. In addition, it will:

- Incorporate the lobbying certification on the projects Follow-up Compliance Checklist.
- Review the vendors lobbying certification prior to processing reimbursement or during site visits.
Prohibition on Exclusive School Transportation - Recipients are required to submit a certification with their application in which they certify that they will not provide exclusive school transportation with Program 5310 vehicles. Program staffs monitor compliance as part of their on-site review.

Drug and Alcohol Testing – Section 5310 recipients are exempted from carrying out drug and alcohol testing because it is not included in the requirements for the Federal Motor Vehicles Carriers Act and do not issue commercial drivers licenses. However, the PRHTA does require that municipalities/Section 5310 that also have received Section 5307 or 5311, 5316 and 5317 funds from FTA and have fixed route services to provide drug and alcohol testing on all safety sensitive employees of their paratransit services. Compliance is reviewed by programs staff as part of their monitoring activities.

All Subrecipients certify annually that they are in compliance with the U.S.DOT and FTA regulations concerning drug and alcohol testing (49 CFR parts 40 and 655). The PRHTA also incorporated the provisions of the FTA Master Agreement, including compliance with the Drug and Alcohol testing regulations into its Subrecipient IA.

The PRHTA provides training and technical assistance to Subrecipients regarding preparation of plans and other requirements to be in compliance with drug and alcohol testing provisions. Compliance will include certifying the establishment and continued operation of the following aspects of the program:

- A policy statement on drug use and alcohol misuse in the workplace
- An employee and supervisor education and training program.
- The implementation of a drug and alcohol testing program for employees and applicants in safety sensitive positions, including selection of a FTA compliant testing supplier.
- Administrative procedures for record keeping, reporting, releasing information and certifying compliance.

To assure that subrecipients comply with these provisions, the PRHTA has established the following procedures:

At application stage: Applicants must submit with the application a drug and alcohol testing policy certified by the appropriate board or assembly. The PRHTA will review and approve the policy to assure that it contains at least the following elements:

- Employee categories subject to testing.
- Prohibited behavior.
● Testing circumstances.
● Testing procedures consistent with 49 CFR Part 40, as amended
● Participation is a requirement of employment.
● Required hours of compliance (alcohol).
● Behavior that constitutes a refusal to submit to a test.
● Consequences of using drugs and misusing alcohol.
● Effects of alcohol.
● Identity of contact person.

Before final reimbursement: Subrecipient must inform the PRHTA of the following:
● Name of the drug and alcohol testing supplier.
● Name of the approved Substance Abuse and Mental Health Services Administration (SAMHSA) laboratory which will carry out analysis of tests.
● Name of a certified Medical Review Officer (MRO).
● List of certified Substance Abuse Professional (SAP), which will be used to refer positively tested employees for assessment.
● Description of its scientifically valid method of random sampling.
● Documentation of employee/supervisor training activities.
● Collections are performed properly and the employer ensures that CCFs are reviewed and that collection site procedures provide for adequate security.

Monitoring: The PRHTA will monitor compliance with drug and alcohol testing by:
● Assuring that subrecipients send to the PRHTA by no later than March 1st of each year their Management Information System (MIS) report for submittal to FTA.
● Reviewing the status of subrecipient testing through analysis of quarterly reports provided by testing supplier if in a consortium or by the subrecipient.
● Carrying out a Drug and Alcohol Program Monitoring Review, (Appendix F).

Transit operators who do not address deficiencies found in reviews in a reasonable time will not be eligible for FTA funding until compliant. In those cases, where subrecipients are found to be in continued non-compliance with ADA, the PRHTA will also initiate procedures to prohibit renewal of the subrecipients’ annual license registration for the vehicle.

Drug Free Workplace - The PRHTA through its Office of Human Resources complies with the drug-free workplace requirements including provision of the following:
● Copy of their written policy as prescribed in the Drug-Free Workplace Act
• Documentation that the recipient has notified its employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the workplace
• Establishment of an on-going drug-free awareness program
• Documentation that the recipient has informed employees of the dangers of drug abuse and any available drug counseling, rehabilitation and employee assistance programs
• Notification to employees of actions that will be taken against them for violating the drug free workplace requirements
• Verification of any employee reporting to the recipient of a criminal conviction for a drug statute violation that occurred in the workplace
• Verification that the recipient provided timely notice of the conviction to PRHTA subsequently FTA
Chapter XII: RURAL TRANSIT ASSISTANCE PROGRAM (RTAP)

The PRHTA provides training, technical assistance and support services as well as sponsors research in non-urbanized areas in order to meet the specific needs of transit operators. As such, the PRHTA’s objectives parallel those of the Federal Transit Act namely:

- To promote the safe and effective delivery of public transportation in rural areas and to make more efficient use of public and private resources.
- To foster the development of state and local capacity for addressing the training and technical assistance needs of the rural/small urban transportation community.
- To improve the quality of information and technical assistance available through the development of training and technical assistance resource materials.
- To facilitate peer-to-peer self-help through the development of local networks of transit professionals.
- To support the coordination of public, private, specialized, and human service transportation services, and
- To build a state data base on the rural segment of the public transportation industry.

A. Program Development

The PRHTA is developing a RTAP program which provides an opportunity for the participation of rural transit operators, both public and private, to help identify priority areas of need and to determine the appropriate mechanisms for delivering services.

Rural transportation needs will be continue assessed at the local level through survey and interviews that will be conducted by a consultant that will be hire by the PRHTA to the representative group of “público” operators, and all rural municipal governments officials. Continuous updating of these needs will be maintained through communication with operators at seminars and technical assistance activities conducted and/or coordinated by the PRHTA, review of progress reports and direct requests from rural operators during the year.

A committee comprised on the NUA Program staff will be, meets periodically during the year to analyze and assess needs and develops projects, training and support activities accordingly. Final selections to be included in the Annual Program are based on need, the Islandwide transportation program and the availability of funds.

B. Program Delivery

The PRHTA will prepare a training plan, which includes research activities, which to be updated annually. Proposals for services will be requested from various resources depending on the type of activity that will be carried out. Some of the mechanisms to provide include:
Puerto Rico State Management Plan

- Assistance by in-house staff.
- Contracts with private consultants, universities, nonprofit organizations, state transit associations, other organizations of operators, or the PRTTC located in Mayagüez.
- Support of peer to peer networks of individuals to provide assistance to each other.
- Interagency agreements
- Scholarships or tuition and expenses for individuals to attend training courses or workshops including the NTD, Civil Rights, Drug and Alcohol and ADA, Program Requirements.

Since providers of specialized transportation in small urbanized and urbanized areas have many of the same training and technical assistance needs as transit providers in rural areas, the PRHTA will incorporate these operators in any pertinent RTAP sponsored activities. The PRHTA will offer training activities geared towards assisting Subrecipients establish and efficiently operate small transit services.

C. Program Administration
The Rural Area Program staff is responsible for the implementation of the activities described in the annual plan. No RTAP funds will be used for the administration of the program.
Chapter XIII: Locally Developed Coordinate Public Transit and Human Services Transportation Plan

Coordinated Public Transit – Human Services Transportation Plan

Federal transit law, as amended by MAP-21, requires that projects selected for funding under the Enhanced Mobility of Seniors and Individuals with Disabilities (Section 5310), JARC(Section 5316), and New Freedom(Section 5317) Programs be “derived from a locally developed, coordinated public transit-human services transportation plan” and that the plan be “developed through a process that includes representatives of public, private, such as the Department of Labor and Human Resources, Department of the Family, Public Services Commission, Director of Workforce Innovation Act, Ombudsman of Elderly Office, Ombudsman of Disabilities Offices, Department of Transportation and Public works, PRHTA and representative from each urbanized area, and non-profit transportation and human services providers and participation by members of the public.”

A locally developed, coordinated public transit-human services transportation plan (“coordinated plan”) identifies the transportation needs of individuals with disabilities, seniors, and people with low incomes, provides strategies for meeting those local needs, and prioritizes transportation services for funding and implementation. The PRHTA publicly advertises the availability of FTA’S Program information and funds. This notice includes a list of several meetings which are held in different dates and locations where all FTA’S Program and funding information is provided to all interested. Information such as Program goals and objectives, planning and programming process, eligible activities, approval process and due date is provided. The projects to be selected will be in accordance with the locally developed transportation coordinated plan.

Sub grantees with FTA funded vehicles are encouraged to coordinated transportation services with other agencies and programs in order to maximize the usefulness of the vehicle and further meet the transportation needs in their communities. Applicants serving the same geographical area are encouraged to file a joint application. This will provide them with more opportunities in their application’s evaluation and provide more financial support to operate and maintain equipment throughout its useful life.

The Office of the Ombudsman or the Elderly Persons and the Office of the Ombudsman for Persons with Disabilities, among others, meet periodically with the PRHTA to exchange information about the areas that have special transportation needs. This information is beneficial in the establishment of applicants’ coordination plans.
Chapter XIV: State Program Management

The FCO Director is directly responsible for the administration and management of these Programs. The management team consists of FCO Director, an Executive Official, Planning Technicians and consulting services that provides the project management oversight for projects;

<table>
<thead>
<tr>
<th>FINANCE OFFICE</th>
<th>Maintain the financial accounting systems for projects; processes drawdown and project reimbursements for all Federal funding programs; prepares FSR.</th>
</tr>
</thead>
<tbody>
<tr>
<td>o FTA Fiscal Section</td>
<td>Reviews reimbursement request; approves invoices for payment; sends the request to the Fiscal Section for FTA drawdown.</td>
</tr>
<tr>
<td>o Preintervention Office</td>
<td>Cuts checks and sends to Sub recipients.</td>
</tr>
<tr>
<td>o Treasurer’s Office</td>
<td></td>
</tr>
<tr>
<td>CIVIL RIGHTS OFFICE</td>
<td>Ensures that civil rights obligation is fulfilled (Title VI and DBE).</td>
</tr>
<tr>
<td>o Civil Right</td>
<td></td>
</tr>
<tr>
<td>LEGAL DIVISION</td>
<td>Provides assistance in preparation of Interagency Agreements, contracts and other legal aspects.</td>
</tr>
<tr>
<td>o Legal Office</td>
<td></td>
</tr>
</tbody>
</table>

The Programs are managed consistent with all Federal regulations including the following (These requirements also apply to Subrecipients for project administration.):

- FTA Circular 5010.1D, “Grant Management Guidelines”.
- FTA Circular 9040.1G “Formula Grants for Rural Areas: Program Guidance and Application Instructions”
- FTA Circular 9070.1G “Enhanced Mobility of Seniors and Individuals with Disabilities Program Guidance and Application Instructions”
- FTA Circular 9045.1 “New Freedom Program Guidance and Application Instructions”
- FTA Circular 9050.1 “The Job Access and Reverse Commute (JARC) Program Guidance and Application Instructions”
• FTA Circular 5100.1 “Bus And Bus Facilities Formula Program: Guidance And Application Instructions

• Copies of pertinent management documents are provided to Subrecipients and form part of the PRHTA’s “Grant Administration Manual”, which provides information about Subrecipient responsibilities in the following areas as well as contains copies of and instructions for completing required forms, including quarterly progress reports, reimbursement requests, bid results, etc: The major sections of this manual include:
  o Financial Management Systems
  o Procurement
  o Third Party Contracting
  o Property Acquisition and Disposition
  o Equipment Management
  o Reporting
  o Grant Closeout
  o Certifications and Assurances

**Monitoring Subrecipient Projects**

The PRHTA enters into a written IA with each subrecipient prior to expending funds on their local projects. It uses two standard agreements: (1) one for Capital Assistance Projects for Terminals and Shelters and (2) one for Vehicle and Equipment Acquisition. These IA’s define the scope of the project, funds allocated as well as Federal and State requirements. The PRHTA incorporates the terms of the Master Agreement between FTA and the PRHTA in its agreements, which state that the Subrecipient agrees to abide by all applicable clauses of the Master Agreement and acknowledges having received a copy of it. In addition to the IA, the PRHTA utilizes a variety of mechanisms to pass through Federal requirements to Subrecipients and provide technical assistance.

The Grant Administration Manual contains the PRHTA’s policies and procedures for grant management and monitoring as well as copies of all relevant Federal regulations for which subrecipients must carry out follow-up compliance activities. Individual T/A is provided through letters, phone calls, and meetings, as needed.

The progress of the project will be monitoring through review and analysis of the quarterly progress reports, submittal of required information and documents (such as contracts), phone calls, meetings and on-site visits. On-site inspections to the project will:

• Assure that the implementation of the project is consistent with the scope of work contained in the approved proposal.
• Review program accomplishments and management control systems.
• Determine whether procurement procedures used by the Subrecipient are in compliance with Federal regulations, and
• Provide technical assistance as may be required.

Construction Projects
The PRHTA will conduct some inspection visits: when the project start, in approximately 50% completed and when the project completion. During this time, it inspects the progress of the construction as well as conducts a desk review of files and records to assure that procurement procedures, contract administration and project management has been carried out according to Federal regulations.

The Subrecipient will be notified in advance of each visit to provide adequate time to prepare for the visit. Should any deficiencies be found in the project during the year, the PRHTA will advise the Subrecipient in writing. The Subrecipient must advise the PRHTA of the corrective actions taken. All findings from on-site inspections must be cleared before the project is closed out.

The PRHTA shall conduct a final site inspection of the project’s construction activities to ensure conformance with approved plans and specifications prior to the PRHTA authorizing final payment. This inspection should take place before the project is finally accepted by the Subrecipient in order that the contractor be held responsible for any deficiencies noted by the PRHTA. The Subrecipient is responsible for supervision of the project, periodic inspections and final acceptance of the project from the Contractor or Supplier. Even though, the PRHTA has inspected the project, the Subrecipient is still responsible and liable for completion of the project. A final report will be made in writing submitted to the Subrecipient. Upon completion of any deficiencies, the final voucher (10% retainage) will be processed to the Subrecipient. Once the final voucher has been released, the PRHTA will initiate closeout procedures.

A monitoring tool, Follow-up Compliance Checklist, has been developed which will facilitate follow-up with Subrecipients to assure comply with program and Federal requirements. The monitoring system differs slightly depending on whether the projects are for construction activities or for rolling stock acquisition. Detailed procedures for both types of projects are described in the “Grant Administration Manual”

Vehicle Acquisition Projects
Under Sections 5311, 5316, 5317 and 5339 each Sub recipient is responsible for acquiring its own vehicles according to Local and Federal procurement procedures. To monitor compliance the PRHTA will:

• Assure that before processing the final reimbursement the Subrecipient has:
  – Established a Drug and Alcohol Testing Program
– Established an ADA compliant Complementary Paratransit Service, as well as procedures for complying with ADA fixed route service provisions.
– Submitted the vehicle license and registration tags for inventory purposes.

• Review the procurement process, including, among others, published bid notice, minutes of pre bid and bid meetings, award letter, bonding requirements, pre-award certifications, bus testing certification, and other Federal clauses in bid and contract documents.

• Monitor compliance utilizing the **Follow-up Compliance Checklist**, which identifies and verifies submission of documentation and information by the Sub recipient including the following:
  – Pre-Award Certifications (3)
  – Post-Delivery Certifications (3)
  – Bus Testing Certification from manufacturer
  – Debarment and Suspension Certification from manufacturer and supplier
  – Lobbying Certification from supplier
  – Vehicle Insurance Policy (once acquired)
  – Sub recipient checklist and vehicle acceptance certificate
  – Annual Certification of Vehicle Use (once vehicle is in operation)
  – Submittal of an annual report on the operation and use of the vehicle.

• Conduct on-site visit to review and/or verify:
  – Accounting process.
  – Procurement procedures and contracts (including Federal provisions).
  – Title VI compliance and monitoring of subcontractors compliance.
  – Compliance with School Bus and Charter Service Assurances.

• Conduct annual visit to:
  – Ensure proper use and maintenance of federally funded vehicles, including review of maintenance activities, condition of the vehicle, status of equipment inventory.
  – ADA compliance (complementary paratransit and fixed route service) utilizing **ADA –Compliant Transit Service Monitoring Form**.

• Review compliance with drug and alcohol testing, using **Drug and Alcohol Monitoring Review Form** (as well as quarterly reports from testing suppliers).
• Verify DTPW notify letter of trolley operation.
• Review submission of quarterly progress reports; provide necessary feedback.

**Procurement**

The **Program 5310** staff is responsible for preparing the specifications and all documents related to the procurement process. All specifications are prepared in accordance with the Federal standards related with Traffic Safety and Security, the Americans with Disabilities...
Act of 1990 and other FTA requirements, as well as standards issued by the Department of Transportation and Public Works, Puerto Rico Highway and Transportation Authority and the Commonwealth of Puerto Rico. All applicable clauses as well as the Master Agreement has been included as part of the procurement document under Special Requirements. The PRHTA also includes a list of the required certifications, which must be signed and submitted with the bid documents. A bid, which does not include these certifications, will be considered non-responsive. The following is a list of the Federal clauses and certifications included with each bid.

- Buy America requirements - 49 CFR Part 661.
- Fly American Requirement
- Debarment and Suspended Bidders
- Civil Rights Compliance
- Cargo Preference - U.S.Flag Vessels, 46 CFR, Part 381
- Energy Conservation
- Clean Water requirements
- Bus Testing
- Pre-Award and Post Delivery Audit Certifications
- Lobbying restrictions - Interest of Members of, or Delegates to, Congress - 18 U.S.C. 5431.
- Access to records and reports
- Federal Changes
- Bonding requirements
- Clean Air
- Recycled Products
- Privacy Act
- Contract Work Hour and Safety Standards Act
- Copeland Anti-Kickback Act
- No Government Obligation to Third Parties
- Program Fraud and False or Fraudulent Statements and Related Acts
- Incorporation of FTA Terms
- Termination Provisions
- Provisions for Resolution of Disputes, Breaches, or Other Litigations

Joint Procurement - The 5310 Program allows joint procurement with others grantee and with others FTA Sections included in the bid in a time limit of no more than eighteen month and usually a request for no more than 60 vehicles by type of vehicle.
Bids are advertised in a major newspaper. The PRHTA gives fifteen (15) days to all interested suppliers to submit their proposal response and quotation. Bidders must supply a detailed maintenance and inspection schedule with their bid, incorporating the required maintenance and inspection of the vehicle and components as provided by the manufacturer. The bidder shall offer a demonstration with respect to the use of the special equipment, such as wheelchair lift, jump seats, and others. The bidder shall explain the details of maintenance and inspection requirements of the vehicle and components, and the warranty terms.

The Bids Board sends to the FCO all the quotations received for evaluation. The Program 5310 carries out a pre-award audit of the bid and checks the following areas:
Vehicle and/or equipment specifications- to assure that the bid comply with all items, including FMVSS requirements.
- FTA Compliance - that it meets all FTA requirements such as Buy America and Americans with Disabilities Act, and others.
- DTPW and PRHTA requirements (licensing, registrations, stickers, lettering, etc)
- Price Quotation - checks that there are lowest price bidders that comply with all requirements.

After the evaluation, the FCO Staff sends their recommendations to the Bid Board. The Bid Board evaluates the bids and makes the final award. The Purchasing Office then sends the purchase order to the selected bidder. As soon as the bidder is selected, the PRHTA sends a letter to each recipient requesting that they submit the 20% matching share. No vehicle or equipment will be delivered until the matching share is received by the PRHTA.

**Post-Delivery Audits** - The Program 5310 staff conducts a post-delivery audit at the manufacturing and/or supplier site. The audit covers all purchase order items to assure compliance with bid specifications, Buy America requirements, FMVSS requirements, and DTPW vehicle requirements. A visual inspection and road testing of each vehicle is conducted by the Program 5310 Coordinator to check the vehicle's condition. If all the equipment complies with all the bid’s requirements the PRHTA accepts the purchased equipment. Once the vehicles are delivered to the Island, a representative from the PRHTA's Motor Pool Office together with Program 5310 staff inspect the vehicles against the specifications and Federal requirements and accepts the vehicles. The Assistant Secretary for Federal Affairs then signs off the post-delivery audit forms after reviewing the inspection report and acceptance form.
Orientation Meeting
The FCO carries out an orientation with all new local recipients, prior to vehicle delivery, to orient them on the Program 5310 requirements. The orientation meeting includes two parts and covers the following topics:

**Part I. Administrative Aspects - Provided by Program 5310 Staff**
- Vehicle Use
- Contractual Obligations
- FTA Requirements
- ADA Requirements
- Program Reporting Documentation
- Coordination of transportation services
- Collision and liability insurance
- Establishment of Project Accounting Records
- Project Audit and Inspection
- Driver Training
- Vehicle Maintenance

**Part II. Operational Aspects - Provided by Vehicles and/or Equipment Suppliers Staff**
- Vehicle and components, maintenance and inspection schedule
- Special equipment use
- Warranty Terms

Interagency Agreement
Before the vehicles and/or special equipment are delivered to the recipients, the DTPW and PRHTA execute an agreement with each recipient. This agreement states the terms and conditions concerning the use of vehicles, such as reports, vehicles, insurance, audits, FTA compliance issues, Federal required clauses and labor provisions, agreement changes and termination clauses. When all agreements are signed, the PRHTA delivers the vehicles and/or equipment to each recipient.

Reporting
Subrecipients must submit Quarterly Reports ("Informe de Estado Financiero", RPT 82-60; Progress Report, RPT 82-80 and Variance Report, RPT 82-90) (Appendix G) to the PRHTA which will indicate the progress of the project; identify any problems which may have occurred; and show what corrective measures were taken to remedy the problem. **Failure to submit reports could result in the PRHTA not renewing the grant agreement and reassigning the funds allocated for the project.** Even if there is no progress on the project since the last reporting period, a report must be submitted which would indicate why there is no progress and what actions you are taking to get the project back on schedule. Reporting consists of a performance report.
Between the progresses reporting periods, favorable or unfavorable events may occur, which will have a significant impact upon the project. In these cases, the Subrecipient should notify the PRHTA as soon as possible so that pertinent actions can be taken.

**Continuing Control**
The PRHTA has developed procedures to assure that it maintains control over Federally-funded facilities and equipment to ensure that they are used to provide transit service. These procedures include actions at the application as well as the project management stages. The applications include a description of the arrangements that the Subrecipient will make to ensure their control over the operations or use of the facilities or equipment acquired with FTA funds, whether publicly or privately operated. The applicant includes a statement that, in the event facilities are sold or devoted to another use, it will refund the proportionate share of Federal funds based on sale proceeds or the market value of the facilities to the PRHTA. Applicants also include a vehicle inventory listing with their application.

As explained in the PRHTA’s *“Grant Administration Manual”*, the Subrecipients must maintain records on the use of equipment including submittal of an annual certification. The PRHTA will put a lien on FTA vehicles when the Subrecipients receive them, since the subrecipients procure the vehicles themselves. Thus, Subrecipients will not be able to sell or transfer title to the vehicle until it has been released by the PRHTA upon completion of its useful life.

**Project Monitoring**
In order to monitor the recipients’ proper use, maintenance, insurance of the equipment and facilities acquired with these funds, the PRHTA conducts biennial site reviews. This review includes an inspection of the vehicle(s) and/or equipment, all transportation services rendered by the recipient and a review of the books, records and accounts of the recipient pertaining to the transportation services offered with this funds equipment. The Program staff also review that the programs’ vehicles drivers are utilizing the correct type of license. *(Appendix H  Project Monitoring Form.)*

Deficiencies will be written up and discussed with the subrecipient. Failure to maintain and/or correct maintenance deficiencies could result in subrecipients’ loss of eligibility to receive funds from FTA until compliant.
**Reporting Requirements**

The recipients shall keep satisfactory records with regards to the use of the equipment and submit to the PRHTA upon request such information as required in order to assure compliance with the agreement between the DTPW, PRHTA and the recipients. The following are the reports required to be submitted by the recipients:

a. **Annual Certification**

The recipient shall submit to the PRHTA at the beginning of each calendar year a certification sworn before a Notary that the project equipment continues to be used in accordance with the terms of the agreement and that no part of the local contribution to the operational cost of the project has been limited or reduced. This Certification is checked as part of the biennial inspection.

b. **Quarterly Reports**

Quarterly reports are to be submitted by March 31, June 30, September 30 and December 31. The quarterly reports present detailed information about passenger’s trips, vehicle mileage report, vehicle’s maintenance cost, operational cost and trip types for the three (3) months period preceding it.

To compile the information submitted in the bi-annual report the PRHTA supplies the following forms:

- Daily Trips Forms - to include each trip given per day ([Appendix I-1](#))
- Passengers Record - For include elderly and disabled passengers per trip, trip types given every day. ([Appendix I-2](#))
- Vehicle Record - Compile traveling mileage, vehicle’s operation expenses. ([Appendix I-3](#))
- Vehicle Repairs - Compile any vehicles repairs, if any during the bi-annual reporting period. ([Appendix I-4](#))
Chapter XV: Project Financial Management

SECTION 5310

Equipment

Once the procurement process has been completed, the Purchase Office sends to the selected bidder the purchase order. At the same time, the 20% matching share is requested from recipients who is then deposited into the PRHTA's general fund account. The bid process generally takes two or three months. Delivery time depends upon the type of the equipment ordered; modified vans around 4-7 months, and mini buses 6-7 months. When the equipment is delivered to the PRHTA, the process for payment and closeout of the vendor purchase agreement is the following:

- PRHTA Purchasing Office sends to the Finance Office (Pre-Audit) the bid cost document together with the Equipment/Vehicle Inspection Receipt Report and supplier invoice.
- The Pre-Audit Office reviews the documentation and processes payment of the supplier's invoice.
- Once the Fiscal Control Unit has verified that the check has been remitted, it initiates the process of requesting funds through the Electronic Clearing House Operation (ECHO) payments system. For recordkeeping purposes, the Fiscal Control Unit prepares an invoice and files it.
- Once the funds are received by the PRHTA's bank, it makes a wireless transfer to the PRHTA Construction Funds account.

Administrative Costs

These costs include salaries, fringe benefits, travel, reproduction, telephone and advertisement of public notices involved in the management and administration of the Program. All staff whether working on a full or part-time basis completes a Time Distribution Report which is signed by the Supervisor and sent to the FTA Fiscal Control Unit. Copies of all invoices for expenses including a copy of the Travel Liquidation Report are sent to the Fiscal Control Unit which carries out the following tasks:

- Computes salaries and fringe benefits
- Reviews invoices for accuracy
- Prepares a cost summary report together with an invoice and requests reimbursement through the ECHO system
- Prepares a payment voucher in favor of the PRHTA
When the funds are received at the PRHTA's bank, a wireless transfer is carried out and the funds deposited in the PRHTA's general funds account.

**Accounting Systems**
The accounting system for Program 5310 is maintained on a program year accrual basis to facilitate audit reports and closeout. The system accounts for every Program 5310 dollar received and shows where it went and for what it was used. To do this the system includes separate accounts for each project for accumulate, segregate, and maintain allowable costs.

**Project Close Out**
The PRHTA (Fiscal Control Unit) initiates projects close out with FTA immediately after all work activities for the program of projects are completed. If small amounts of funds remain in a grant, the PRHTA will request that the funds be deobligated and the project be closed out. The Federal Coordination Office sends a final budget and a revised program of projects via TEAM to FTA. It advises the Fiscal Control Unit to close out the project. They then prepare a final financial status report and send it via TEAM to FTA.

**Audits**
All audits are performed pursuant to the requirements of the Single Audit Act Amendment of 1996 and OMB Circular A-133. The PRHTA contracts a Certified Public Accounting company to perform the audits for all of FTA’s programs. This company is responsible for submitting a copy of Final Report to the PRHTA and to the FTA Regional Office in Atlanta. Any audit findings will be resolved in compliance with “Regulations for the Administration of the Corrective Action Plan” in accordance with Executive Order 5098 D of May 6, 1988.

**SECTION 5311, 5316, 5317 and 5339**
Subrecipients generally directly procure construction services and vehicles. However, the PRHTA has the option of procuring vehicles for subrecipients when it deems convenient and in the best interest of subrecipients. For example, paratransit vehicles were procured for Section 5310 subrecipients. In this case, subrecipients pay the 20% match to the PRHTA prior to delivery of said vehicle. A lien is placed on the title of these vehicles until the end of their useful life at which time the PRHTA transfers title to the subrecipient.

Invoices are submitted to the PRHTA Program Manager who reviews payment requests to ensure that adequate supporting documentation is attached and that the charges are within the approved scope and budget of the project. The Staff of the FCO review the request and approve payment. Then, sends the payment request to the Finance Area.

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The PRHTA Program staff and Fiscal Section FTA Programs charge direct staff time and travel expenses to these programs. Staff prepares timesheets allocating time by project number (grant number). The Fiscal Section FTA Programs prepares the drawdown request and payment voucher based upon the timesheets.

The PRHTA ensures that Subrecipients have the fiscal capability to carry out the programs and receive and disburse Federal funds. Applicants are required to include an assurance stating that they have the capability to manage the project as part of the application process. Subrecipients (local governments) must submit a Resolution from their Municipal Assembly certifying the availability of the local share. The Subrecipient’s financial management system must account for every dollar received and show where it went and for what it was used. The PRHTA reviews the system to assure that it:

- Is kept on a program year basis to facilitate audits and closeout.
- Is in accordance with acceptable accounting procedures.
- Maintains separate accounts for the project, either independently or within the existing account system.
- Has a system to segregate, accumulate and maintain allowable costs.
- Adequately documents and maintains files of all project costs.
- Is able to generate financial status reports.

The PRHTA reviews the documentation, including payroll, invoices paid, reimbursements received, cancelled checks, contracts, and vouchers during the project inspection visits.

**Single Audits**

All Subrecipients, who receive over $300,000 in any given Fiscal Year in Federal funds, must submit a single audit report to the PRHTA Finance Area. **On or about September 1 of each year, the PRHTA Program Staff writes to each applicable Subrecipient informing them that they must prepare and submit their report to the PRHTA no later than December 31.** Once it is received, the Finance Area reviews the report and works with the Subrecipients to resolve findings.
**Project Closeout**

Subrecipients’ projects are closed out within 90 days after its completion date. This is the process by which the PRHTA determines:

- That all work proposed under the project is finished and accepted by the PRHTA.
- Those final inspections were carried out.
- That all administrative work has been completed.
- That all reports have been submitted and accepted by the PRHTA.
- That all Federal cost shares have been adjusted.
- That all cash transactions between the PRHTA and Subrecipient have been settled.

The procedures used for closing out a grant include the submission of a final financial status report, summarizing project expenses together with the single audit report (if applicable). Once the project has been completed, the Subrecipient will submit to the PRHTA an annual certification that the facilities or equipment acquired with Federal funds are being used for the purposes for which the grant was approved.
Chapter XVI: Satisfactory Continuing Control, Equipment Maintenance and Technical Management Assistance

5310
Project Monitoring
In order to monitor the recipients’ proper use, maintenance, insurance of the equipment and facilities acquired with Program 5310 funds, the PRHTA conducts biennial site reviews. This review includes an inspection of the vehicle(s) and/or equipment, all transportation services rendered by the recipient and a review of the books, records and accounts of the recipient pertaining to the transportation services offered with Program 5310 equipment. The Program staff also review that the programs’ vehicles drivers are utilizing the correct type of license.

Deficiencies will be written up and discussed with the subrecipient. Failure to maintain and/or correct maintenance deficiencies could result in subrecipients’ loss of eligibility to receive funds from FTA until compliant.

Reporting Requirements
The recipients shall keep satisfactory records with regards to the use of the equipment and submit to the PRHTA upon request such information as required in order to assure compliance with the agreement between the DTPW, PRHTA and the recipients. The following are the reports required to be submitted by the recipients:

a. Annual Certification

The recipient shall submit to the PRHTA at the beginning of each calendar year a certification sworn before a Notary that the project equipment continues to be used in accordance with the terms of the agreement and that no part of the local contribution to the operational cost of the project has been limited or reduced. This Certification is checked as part of the biennial inspection.

b. Quarterly Reports
Quarterly reports are to be submitted by March 31, June 30, September 30 and December 31. The quarterly reports present detailed information about passenger’s trips, vehicle mileage report, vehicle’s maintenance cost, operational cost and trip types for the three (3) months period preceding it. To compile the information submitted in the bi-annual report the PRHTA supplies the following forms:

- Daily Trips Forms - to include each trip given per day
- Passengers Record - For include elderly and disabled passengers per trip, trip types given every day.
Vehicle Record - Compile traveling mileage, vehicle’s operation expenses.

Vehicle Repairs - Compile any vehicles repairs, if any during the bi-annual reporting period.

Vehicle Use
The purpose of Program 5310 funded vehicles is to offer transportation services to elderly persons and persons with disabilities. All recipients are responsible for meeting the special needs of transportation service to the elderly and persons with disabilities as described in their approved capital assistance application.

Shared use of vehicles
Once the Program 5310 clientele's transportation services have been met, the vehicles will be available to provide transportation services to other elderly persons and persons with disabilities. The PRHTA encourages the shared use of vehicles among entities in order to provide efficient and effective transportation services. Recipients report shared use activity in the comments section of the semi-annual report. The Program can thus assure that it is not being used as the primary function.

Meal Delivery
Recipients may coordinate and assist in providing meal delivery services for homebound persons on a regular basis if the meal delivery services do not conflict with the schedule of transportation services or result in a reduction of service to the transit clientele. The meal delivery service and the transportation services to other persons than the elderly persons and persons with disabilities should be offered only on a secondary or incidental basis. The preference in the transportation services is always to the persons included in the grant application.

5311/5316/5317/5339
The FCO Director is directly responsible for the administration and management of the 5311/5316/5317/5339 in the non-urbanized areas and urbanized areas over 200,000 in population respectively. The management team consists of FCO Director, an Executive Official, Planning Technician and Engineer who provides the project management oversight for construction projects.
FINANCE OFFICE
- FTA Fiscal Section
  Maintain the financial accounting systems for projects; processes drawdown and project reimbursements for all Federal funding programs; prepares FSR.
- Preintervention Office
  Reviews reimbursement request; approves invoices for payment; sends the request to the Fiscal Section for FTA drawdown.
- Treasurer’s Office
  Cuts checks and sends to Subrecipients.

CIVIL RIGHTS OFFICE
- Civil Right
  Ensures that civil rights obligation is fulfilled (Title VI and DBE).

LEGAL DIVISION
- Legal Office
  Provides assistance in preparation of Interagency Agreements, contracts and other legal aspects.

These Programs are managed consistent with all Federal regulations including the following (These requirements also apply to Subrecipients for project administration.):

- “Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments”, 49 CFR Parts 18.
- FTA Circular 5010.1B, “Grant Management Guidelines”.
- FTA Circular 9040.1F “Nonurbanized Area Formula Program Guidance and Grant Application Instructions”.
- FTA Circular 9050.1 Job Access and Reverse Commute Section 5316
- FTA Circular 9045.1 New Freedom Program Section 5317
- FTA Circular 5100.1 “Bus And Bus Facilities Formula Program: Guidance And Application Instructions”.
- Copies of pertinent management documents are provided to subrecipients as part of the PRHTA’s “Grant Administration Manual”, which provides information about Subrecipient responsibilities in the non-urbanized areas as well as contains copies of and instructions for completing required forms, including quarterly progress reports, reimbursement requests, bid results, etc: The major sections of this manual include:
  - Financial Management Systems
  - Procurement
  - Third Party Contracting
  - Property Acquisition and Disposition
  - Equipment Management
  - Reporting
Monitor the Subrecipient Projects

The PRHTA enters into a written IA with each NUA subrecipient and JARC and NF prior to expending funds on their local projects. There are two standard agreements: (1) one for Capital Assistance Projects for Terminals and Shelters and (2) one for Vehicle and Equipment Acquisition. These IA’s define the scope of the project, funds allocated as well as Federal and State requirements. The PRHTA incorporates the terms of the Master Agreement between FTA and the PRHTA in its agreements, which state that the Subrecipient agrees to abide by all applicable clauses of the Master Agreement and acknowledges having received a copy of it. In addition to the IA, the PRHTA utilizes a variety of mechanisms to pass through Federal requirements to subrecipients and provide technical assistance.

The PRHTA provides prospective applicants with a detailed “Proposal Preparation Manual”, which as stated earlier, explains the process for preparing the application, including a proposal checklist to assure that all components are included. Proposals will not be processed without a sufficiently detailed Implementation Schedule. The Manual, also details Federal certifications and assurances required of applicants including, among others:

- FTA’s Guidelines for Preparing Environmental Assessments
- DOT Rules for Environmental Impact and Related Procedures
- Civil Rights Requirements
- Buy America Requirements
- Pre-Award and Post Delivery Reviews
- Explanation of the Assurance and Certification form, included with the proposal

In Sections 5316/5317 PRHTA provides Call for projects and Coordinated Plan which include the details of how prepare the proposal and all the information and documentation to comply in order to submit the proposal

Once projects are selected, the PRHTA conducts a workshop on “Grant Management” to explain management responsibilities, applicable regulations, procedures for assuring compliance with assurances and certifications, procurement processes with particular emphasis on rolling stock acquisition and construction contracts. In addition, staff reviews how to utilize the “Grant Administration Manual”, which contains the PRHTA’s policies and procedures for grant management and monitoring as well as copies of all relevant Federal regulations for which subrecipients must carry out follow-up compliance activities. Individual T/A is provided through letters, phone calls, and meetings, as needed.
The progress of the project will be monitoring through review and analysis of the quarterly progress reports, submittal of required information and documents (such as contracts), phone calls, meetings and on-site visits. On-site inspections to the project will:

- Assure that the implementation of the project is consistent with the scope of work contained in the approved proposal.
- Review program accomplishments and management control systems.
- Determine whether procurement procedures used by the Subrecipient are in compliance with Federal regulations, and
- Provide technical assistance as may be required.

The PRHTA will conduct some inspection visits: when the project start, in approximately 50% completed and when the project completion. During this time, it inspects the progress of the construction as well as conducts a desk review of files and records to assure that procurement procedures, contract administration and project management has been carried out according to Federal regulations.

The Subrecipient will be notified in advance of each visit to provide adequate time to prepare for the visit. Should any deficiencies be found in the project during the year, the PRHTA will advise the Subrecipient in writing. The Subrecipient must advise the PRHTA of the corrective actions taken. All findings from on-site inspections must be cleared before the project is closed out.

The PRHTA shall conduct a final site inspection of the project’s construction activities to ensure conformance with approved plans and specifications prior to the PRHTA authorizing final payment. This inspection should take place before the project is finally accepted by the Subrecipient in order that the contractor is held responsible for any deficiencies noted by the PRHTA. The Subrecipient is responsible for supervision of the project, periodic inspections and final acceptance of the project from the Contractor or Supplier. Even though, the PRHTA has inspected the project, the Subrecipient is still responsible and liable for completion of the project. A final report will be made in writing and submitted to the Subrecipient. Upon completion of any deficiencies, the final voucher (10% retainage) will be processed to the Subrecipient. Once the final voucher has been released, the PRHTA will initiate closeout procedures.

A monitoring tool, *Follow-up Compliance Checklist*, has been developed which will facilitate follow-up with Subrecipients to assure comply with program and Federal requirements. The monitoring system differs slightly depending on whether the projects are for construction activities or for rolling stock acquisition. Detailed procedures for both
types of projects are described in the “Grant Administration Manual”; however, a brief summary follows:

**Construction Projects - The PRHTA will:**

- Review procurement process prior to reimbursing project costs including, among others, published bid notice, minutes of pre bid and bid meetings, award letter, bonding requirements.
- Review all contract documents related to the facility construction project, including those for professional services and third party contractors to assure inclusion of required Federal clauses and provisions. Subrecipients are provided a copy of FTA’s matrix of required clauses, as identified in the Master Agreement.
- Conduct field inspections when start the project, in the construction and 100% complete.
- Utilize the *Follow-upCompliance Checklist* to review status of the project, accounting system, real property acquisition process and documentation, procurement and contracting procedures, and grant administration.
- Send letter to the Subrecipient regarding any findings.
- Conduct follow-up activities with Subrecipient to check on resolution of findings.
- Review timely submission of quarterly progress reports describing status of activities undertaken during construction. Reimbursements will not be processed unless reporting is current.
- Visit facility, upon completion and once operational, to check on the condition and operation of the facility and talk to transportation providers about use.
- Verify submission of annual certification that facility is used for intended purposes under the grant agreement.
- Request single audits report for applicable Subrecipients (over $300,000 in Federal awards) according to OMB Circular A-133.

**Vehicle Acquisition Projects - Each Subrecipient is responsible for acquiring its own vehicles according to Local and Federal procurement procedures. To monitor compliance the PRHTA will:**

- Assure that before processing the final reimbursement the Subrecipient has:
  - Established a **Drug and Alcohol Testing Program**
  - Established an ADA compliant Complementary Paratransit Service, as well as procedures for complying with ADA fixed route service provisions.
  - Submitted the vehicle license and registration tags for inventory purposes.
- Review the procurement process, including, among others, published bid notice, minutes of pre bid and bid meetings, award letter, bonding requirements, pre-award
certifications, bus testing certification, and other Federal clauses in bid and contract documents.

- Monitor compliance utilizing the **Follow-up Compliance Checklist**, which identifies and verifies submission of documentation and information by the Subrecipient including the following:
  - Pre-Award Certifications (3)
  - Post-Delivery Certifications (3)
  - Bus Testing Certification from manufacturer
  - Debarment and Suspension Certification from manufacturer and supplier
  - Lobbying Certification from supplier
  - Vehicle Insurance Policy (once acquired)
  - Sub recipient checklist and vehicle acceptance certificate
  - Annual Certification of Vehicle Use (once vehicle is in operation)
  - Submittal of an annual report on the operation and use of the vehicle.

- Conduct on-site visit to review and/or verify:
  - Accounting process.
  - Procurement procedures and contracts (including Federal provisions).
  - Title VI compliance and monitoring of subcontractors compliance.
  - Compliance with School Bus and Charter Service Assurances.

- Conduct annual visit to:
  - Ensure proper use and maintenance of federally funded vehicles, including review of maintenance activities, condition of the vehicle, status of equipment inventory, etc.
  - ADA compliance (complementary paratransit and fixed route service) utilizing **ADA –Compliant Transit Service Monitoring Form**.

- Review compliance with drug and alcohol testing, using **Drug and Alcohol Monitoring Review Form** as well as quarterly reports from testing suppliers.

- Verify PSC notify letter of trolley operation.

- Review submission of quarterly progress reports; provide necessary feedback.

**Reporting**

Subrecipients must submit **Quarterly Reports** ("Informe de Estado Financiero", RPT 82-60; **Progress Report**, RPT 82-80 and **Variance Report**, RPT 82-90) to the PRHTA which will indicate the progress of the project; identify any problems which may have occurred; and show what corrective measures were taken to remedy the problem. **Failure to submit reports could result in the PRHTA not renewing the grant agreement and reassigning the funds allocated for the project.** Even if there is no progress on the project
since the last reporting period, a report must be submitted which would indicate why there is no progress and what actions you are taking to get the project back on schedule. Reporting consists of a performance report.

Between the progresses reporting periods, favorable or unfavorable events may occur, which will have a significant impact upon the project. In these cases, the Subrecipient should notify the PRHTA as soon as possible so that pertinent actions can be taken.

**Schedule of Reporting Requirements**
Listed below is a schedule of reports to be submitted to the PRHTA and their due dates. **One copy of each report** should be submitted to the PRHTA: (Appendix G for a copy of the RPT 82-60, RPT 82-80, RPT 82-90, Appendix J Drug and Alcohol Testing MIS Report, and Appendix K Facility and Equipment Use Certification form).

<table>
<thead>
<tr>
<th>TYPE OF REPORT</th>
<th>PERIOD COVERED</th>
<th>DUE DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>RPT 82-60, RPT 82-80 and RPT 82-90</td>
<td>Jan. - June; July - Dec.</td>
<td>July 31; January 31</td>
</tr>
<tr>
<td>Audit Report (over $300,000)</td>
<td>Annually</td>
<td>12 months after the end of the fiscal year, from which it received funding (June 30).</td>
</tr>
<tr>
<td>Public Transportation Service Report (vehicle acquisition projects only)</td>
<td>Annually</td>
<td>September 30 of each year, after service is initiated.</td>
</tr>
<tr>
<td>Drug and Alcohol Testing MIS Reports (vehicle acquisition projects only)</td>
<td>Jan. – Dec.</td>
<td>March 1st. of the year following the end of data collection.</td>
</tr>
<tr>
<td>Facility and Equipment Use Certification</td>
<td>Entire Grant Year.</td>
<td>Each January, after project completion, for useful life of facility or equipment.</td>
</tr>
<tr>
<td>Federal Fiscal Year Certifications and Assurances</td>
<td>Entire Grant Year.</td>
<td>Each January.</td>
</tr>
<tr>
<td>Inventory of Equipment</td>
<td>Bi-annually</td>
<td>Every two (2) years from date of acquisition to end of useful life.</td>
</tr>
</tbody>
</table>
Continuing Control and Disposition of Vehicles

Continuing Control
The PRHTA has developed procedures to assure that it maintains control over Federally-funded facilities and equipment to ensure that they are used to provide transit service. These procedures include actions at the application as well as the project management stages. NUA applications include a description of the arrangements that the Subrecipient will make to ensure their control over the operations or use of the facilities or equipment acquired with FTA funds, whether publicly or privately operated. The applicant includes a statement that, in the event facilities are sold or devoted to another use, it will refund the proportionate share of Federal funds based on sale proceeds or the market value of the facilities to the PRHTA. Applicants also include a vehicle inventory listing with their application.

As explained in the PRHTA’s “Grant Administration Manual”, the Subrecipients must maintain records on the use of equipment including submittal of an annual certification. The PRHTA will put a lien on vehicles when the Subrecipients receive them, since the subrecipients procure the vehicles themselves. Thus, Subrecipients will not be able to sell or transfer title to the vehicle until it has been released by the PRHTA upon completion of its useful life.

The PRHTA will conduct inspections of the facilities and equipment at least biennially. The projects must submit an annual report on the use (mileage) and maintenance of the vehicles once operational. If a facility or equipment is damaged, stolen or vandalized for the end of its useful life, the Municipality must notify the PRHTA and follow appropriate equipment disposition procedures.

Insurance
Subrecipients must maintain collision and liability insurance to protect equipment throughout the period it provides transportation services at levels compatible with state law. Compliance will be reviewed during site visits and will be assured since municipalities are required by state law to maintain insurance on public facilities and equipment.

Useful Life
The PRHTA’s policy is that it will not replace vehicles before the end of their useful life. The PRHTA will notify, by written, subrecipients at the end of the useful life of their vehicles. The fair market value of the vehicle will be based on state insurance agency standards. Once a vehicle’s useful life is completed, it will be removed from the PRHTA’s
inventory of vehicles. The minimum useful life for vehicles will parallel those for Section 5310, projects which are based on years and/or mileage as follows:

<table>
<thead>
<tr>
<th>Vehicle Type</th>
<th>Passenger Capacity</th>
<th>Mileage</th>
<th>Years</th>
</tr>
</thead>
<tbody>
<tr>
<td>Paratransit</td>
<td>Up to 16</td>
<td>60,000</td>
<td>Or 5</td>
</tr>
<tr>
<td>Minibus</td>
<td>17-25</td>
<td>72,000</td>
<td>Or 7</td>
</tr>
<tr>
<td>Light duty small bus</td>
<td>26-36</td>
<td>70,000</td>
<td>Or 8</td>
</tr>
<tr>
<td>Medium heavy duty transit bus</td>
<td>Over 37</td>
<td>100,000</td>
<td>And 10</td>
</tr>
</tbody>
</table>

**Maintenance**

Subrecipients submit as part of their application their plans for maintaining equipment acquired with FTA funds including paratransit vehicles and lifts. Specifically, the plan includes an explanation of existing maintenance facilities, personnel and equipment as well as a description of all the activities and a maintenance schedule, provision for major repairs, warranties and inventory control of equipment and facilities.

As part of the project’s final inspection process (before final reimbursement) the PRHTA will review the subrecipient’s maintenance plan. No reimbursement will be made until the plan is deemed satisfactory by the PRHTA. To monitor continued maintenance the PRHTA will annually inspect the maintenance records and condition of vehicle. The PRHTA has provided sample preventive maintenance forms for use by the municipalities. Failure to adequately maintain vehicles could result in loss of eligibility to replace current vehicles or receive additional FTA funds for this purpose. As part of its maintenance review, the PRHTA will check ADA features including the operation of wheelchair lifts and ramps.

**Vehicle Disposition**

Subrecipients may not sell, encumber, or dispose of equipment without the PRHTA’s permission. Subrecipients may dispose of vehicles after they have reached the minimum useful life and required mileage. If the vehicle is used two years beyond the minimum life, but the mileage requirements have not been met, the Subrecipient may dispose of the vehicle, subject to fair market value. Subrecipients may lease Federally-funded vehicles to other public entities or private for-profit operators only after consultation with the PRHTA.

**Financial Systems**

Subrecipients generally directly procure construction services and vehicles. However, the PRHTA has the option of procuring vehicles for subrecipients when it deems convenient and in the best interest of subrecipients. For example, paratransit vehicles were procured for Section 5310, 5311, 5316, 5317, and 5339 subrecipients. In this case, subrecipients pay
the 20% match to the PRHTA prior to delivery of said vehicle. A lien is placed on the title of these vehicles until the end of their useful life at which time the PRHTA transfers title to the subrecipient.

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The FCO staff and Fiscal Section FTA Programs charge direct staff time and travel expenses to the NUA or NF/JACR program. Staff prepares timesheets allocating time by project number (grant number). The Fiscal Section FTA Programs prepares the drawdown request and payment voucher based upon the timesheets.

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- Is kept on a program year basis to facilitate audits and closeout.
- Is in accordance with acceptable accounting procedures.
- Maintains separate accounts for the project, either independently or within the existing account system.
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The PRHTA reviews the documentation, including payroll, invoices paid, reimbursements received, cancelled checks, contracts, and vouchers during the project inspection visits.

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- That all Federal cost shares have been adjusted.
- That all cash transactions between the PRHTA and Subrecipient have been settled.

The procedures used for closing out a grant include the submission of a final financial status report, summarizing project expenses together with the single audit report (if applicable). Once the project has been completed, the Subrecipient will submit to the PRHTA an annual certification that the facilities or equipment acquired with Federal funds are being used for the purposes for which the grant was approved.
Appendix
Appendix A

Daily Preventive Maintenance Schedule

Vehicle Number: ________________  Date: ________________
Inspector: ______________________

Pre-Trip Inspection:

Before each scheduled day of lift service, operate lift minimum one complete cycle and inspect each of the following:

☐ Does the lift interlock (if equipped) function as intended?
☐ Does the lift cargo door light (if equipped) function as intended?
☐ Does the lift deploy when the lift interlock is activated as intended?
☐ Does the lift safely clear the cargo door as the lift is deployed and stowed?
☐ Does the lift operate smoothly (no jerking or abnormal movement)?
☐ Does the lift operate at normal speed?
☐ Is the lift power source adequate?
☐ Does the roll stop(s) operate properly?
☐ Does the outboard roll stop latch operate properly?
☐ Do the handrails operate properly?
☐ Is the platform angle normal?
☐ Is lift operation quiet (no rattles, abnormal sounds, etc.)?
☐ Has the hand-held switch box cable been damaged?
☐ Do the lift control switches function properly?
☐ Do the lift cargo door securement devices function as intended?
☐ Is the manual back-up pump handle in place?
☐ Is the hand pump valve closed securely (tight)?
Appendix A

☐ Are the lift-posted and door-posted decals worn, missing or illegible?

☐ Is the lift protective padding (if equipped) in place, worn or damaged?

☐ Can you visually detect any lift wear, damage, misalignment, hydraulic leaks, loose bolts, broken welds or any abnormal conditions?

**Post-Trip Inspection:**

Operate lift minimum one complete cycle and check each of the above daily pre-trip inspections if applicable for your daily inspection routine (outlined by your transit agency).

☐ Clean lift surfaces where wheelchairs travel

☐ Clean and lubricate key locations based on lift usage frequency and climate conditions (outlined by your transit agency). Lubrication procedures should be performed by transit agency maintenance personnel.
3,000 MILE MAINTENANCE PROGRAM

Vehicle Reg. #: _________
Vehicle Mileage: _________
Date Removed From Service: _______

☐ Ok
☐ Adjustment Made
☐ Needs Attention
☐ Test Drive Vehicle
☐ Change Oil and Filter
☐ Check Lube Level, Rear End & Transmission
☐ Lube Chassis
☐ Lube Throttle Linkage
☐ Check Fluid Level, Battery, Radiator & windshield Washer
☐ Check Fluid Level, Master Cylinder & Power Steering
☐ Inspect Upper & Lower Control Arms & Bushings
☐ Inspect All Drive Belts & Alternator Belt & Bracket
☐ Adjust Air in Tires to 65 LBS.
☐ Inspect All Interior Lights, Exterior Lights, Hi & Low Beams
☐ Visual Inspection of General Vehicle Condition
☐ Visually Inspect All Brakes

3,000 MILE LIFT MAINTENANCE

☐ Inspect All Lift Hinges
☐ Inspect For Hydraulic Fluid and Loose Fittings
Appendix A

☐ Inspect Wiring Conditions

☐ Check Hydraulic Fluid Level

☐ Inspect Stress Points For Wear, Lip Hinge & Lock, Platform

☐ Hinges, Floor & Upper Anchor Bolts & Cable Tension if used

☐ Inspect Rise & Lower Speed of Lift, Adjust if Necessary

☐ Inspect General Condition of Entire Lift

☐ Inspect Control Cord and Toggle/Switch

ADDITIONAL COMMENTS

_______________________________________________________

_______________________________________________________

_______________________________________________________

_______________________________________________________

_______________________________________________________
Appendix A

Pre-Trip Inspection Report

Name: ___________________________  Mileage
Bus/Van #: ________________________ End: ___________________________
Date: ____________________________ Begin: _______________________
Total: ____________________________

Instructions: "X" all body damage.

Instructions: "X" only those items needing maintenance & supply the details; leave all other items blank.

<table>
<thead>
<tr>
<th>Registration</th>
<th>Wipers/Washers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inspection Sticker</td>
<td>Exterior Mirrors</td>
</tr>
<tr>
<td>Gauges/Indicators</td>
<td>Tires</td>
</tr>
<tr>
<td>Horn</td>
<td>Wheel Lugs</td>
</tr>
<tr>
<td>First Aid Kit</td>
<td>Coolant Level</td>
</tr>
<tr>
<td>Fire Ext.</td>
<td>Oil/Coolant Leaks</td>
</tr>
<tr>
<td>Reflectors/Triangles</td>
<td>Hubometer</td>
</tr>
<tr>
<td>Interior Hardware</td>
<td>Suspension Level</td>
</tr>
<tr>
<td>Interior Mirrors</td>
<td>Back-Up Alarm</td>
</tr>
<tr>
<td>Seats</td>
<td>Door Operation</td>
</tr>
<tr>
<td>Window Glass</td>
<td>A/C-Heaters-Defrost</td>
</tr>
<tr>
<td>Interior Leaks</td>
<td>Wheelchair Lift</td>
</tr>
<tr>
<td>Interior Lights</td>
<td>Securement Devices</td>
</tr>
<tr>
<td>Stepwell Lights</td>
<td>Radio</td>
</tr>
<tr>
<td>Headlights</td>
<td>Brakes</td>
</tr>
<tr>
<td>4-Way Flashers</td>
<td>Parking Brake</td>
</tr>
<tr>
<td>Directionals</td>
<td>Engine Power</td>
</tr>
<tr>
<td>Marker Lights</td>
<td>Engine Smoke</td>
</tr>
<tr>
<td>Tail Lights</td>
<td>Transmission</td>
</tr>
<tr>
<td>Stop Lamps</td>
<td>Steering</td>
</tr>
</tbody>
</table>
Appendix A

**Driver's Bag**

<table>
<thead>
<tr>
<th>Item</th>
</tr>
</thead>
<tbody>
<tr>
<td>4 Bunny Belts</td>
</tr>
<tr>
<td>1 Street Guide</td>
</tr>
<tr>
<td>1 Atlas Map</td>
</tr>
<tr>
<td>1 Clip Board</td>
</tr>
<tr>
<td>1 Flash Light</td>
</tr>
</tbody>
</table>

**Other/Details:**
**DRIVER'S DAILY REPORT**

<table>
<thead>
<tr>
<th>Date</th>
<th>Mileage Fueled</th>
</tr>
</thead>
<tbody>
<tr>
<td>Driver</td>
<td>Vehicle #</td>
</tr>
<tr>
<td></td>
<td>Gals. Fuel Qts. Oil $</td>
</tr>
<tr>
<td>Opening Mileage</td>
<td></td>
</tr>
</tbody>
</table>

**Not Ok**
- Fluid Levels/Leaks
- Belts
- Exhaust System
- Air Compressor Leaks
- Batt. & Elec. System
- Gauges & Warning Devices
- Steering
- Wipers & Washer
- Horn(s)
- Air Conditioner
- Mirrors & Windshields
- Trans. Clutch & Gear Shift
- Service & Parking Brakes
- Signals & Indicators
- Lights & Reflectors
- Tires & Wheel Assemblies
- Suspension
Appendix A

☐ ☐ Fuel Tank
☐ ☐ Doors & Windows
☐ ☐ Emergency Equip./Exits
☐ ☐ Seats
☐ ☐ Body

• Special Access Related Features

☐ ☐ Wheelchair Lift
☐ ☐ W/L Tie Downs
☐ ☐ Seat Belts
☐ ☐ Lift Access Doors
☐ ☐ Red-Lensed Flashing Lights

Remarks:

________________________________________________________________________
________________________________________________________________________

This form is to be completed when driver is ready to start the daily use of the vehicle.
### VEHICLE MAINTENANCE INSPECTION & CONDITION SHEET

<table>
<thead>
<tr>
<th>Lubrication</th>
<th>Code</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Check engine oil and filters</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check transmission lubricant and filters</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check suspension and accessories lubrication</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check steering system lubrication</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check differential lubricant</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chassis</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check steering system (king pins, tie rod ends, etc.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check axles and bulkheads</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check shock absorbers springs and U-bolts</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check and adjust service brakes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check and adjust emergency brake</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check condition/operation of brake sys. components</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check all radius rod bushings</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check drive line spline &amp; U-joints</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check differential breather</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check steering fluid</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Engine</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check fuel filters</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check air cleaner hoses</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check air cleaners</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check engine mounts and bolts</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check oil pressure</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check exhaust system</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check fuel lines</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check water hoses</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check starter wires and ground strap</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check surge tank and pressure relief valve</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check radiator (cleanliness, damage, mounting, etc.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check coolant</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check fluid fan. fan &amp; shroud</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Codes:**
- **V** - Inspected & O.K.
- **X** - Needs Repair
- **R** - Repaired
Appendix A

<table>
<thead>
<tr>
<th>Check accelerator linkage &amp; lubricant</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Check idling RPM</td>
<td></td>
</tr>
<tr>
<td>Check for any leaks</td>
<td></td>
</tr>
</tbody>
</table>

**Engine Compartment**

<table>
<thead>
<tr>
<th>Check charging system</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Check and service air conditioner system</td>
<td></td>
</tr>
<tr>
<td>Check air conditioner &amp; heating filters</td>
<td></td>
</tr>
<tr>
<td>Check brake and power steering reservoirs</td>
<td></td>
</tr>
<tr>
<td>Check transmission accessory bolts &amp; lines</td>
<td></td>
</tr>
<tr>
<td>Check for transmission leaks</td>
<td></td>
</tr>
</tbody>
</table>

**Body (inside)**

<table>
<thead>
<tr>
<th>Check floor and step conditions</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Check seats</td>
<td></td>
</tr>
<tr>
<td>Check all signs</td>
<td></td>
</tr>
<tr>
<td>Check stanchions and grab rails</td>
<td></td>
</tr>
<tr>
<td>Check for loose screws</td>
<td></td>
</tr>
<tr>
<td>Check lights and lenses</td>
<td></td>
</tr>
<tr>
<td>Check safety equipment (triangles, fire ext., first aid)</td>
<td></td>
</tr>
<tr>
<td>Check all switches</td>
<td></td>
</tr>
<tr>
<td>Check wiper engines, blades and arms</td>
<td></td>
</tr>
<tr>
<td>Check windsield washer operation</td>
<td></td>
</tr>
<tr>
<td>Check all mirrors</td>
<td></td>
</tr>
<tr>
<td>Check accelerator and brake pedals (wear &amp; operation)</td>
<td></td>
</tr>
<tr>
<td>Check horn</td>
<td></td>
</tr>
<tr>
<td>Check gauges and accessories</td>
<td></td>
</tr>
<tr>
<td>Check heater and defroster motors</td>
<td></td>
</tr>
</tbody>
</table>

**Body (outside)**

<table>
<thead>
<tr>
<th>Check fenders and bumpers</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Check mirrors</td>
<td></td>
</tr>
<tr>
<td>Check mud flaps</td>
<td></td>
</tr>
<tr>
<td>Check all access doors</td>
<td></td>
</tr>
<tr>
<td>Check for body damage</td>
<td></td>
</tr>
<tr>
<td>Check lights and lenses</td>
<td></td>
</tr>
<tr>
<td>Clean and service batteries</td>
<td></td>
</tr>
<tr>
<td>Lubricate battery carriage</td>
<td></td>
</tr>
<tr>
<td>Lubricate doors</td>
<td></td>
</tr>
<tr>
<td>Check tires, rims and lugs</td>
<td></td>
</tr>
<tr>
<td>Record tire inflation:</td>
<td></td>
</tr>
<tr>
<td>RF</td>
<td></td>
</tr>
<tr>
<td>LF</td>
<td></td>
</tr>
<tr>
<td>RRO</td>
<td></td>
</tr>
<tr>
<td>RRI (mini-buses only)</td>
<td></td>
</tr>
<tr>
<td>LRO</td>
<td></td>
</tr>
<tr>
<td>LRI (mini-buses only)</td>
<td></td>
</tr>
</tbody>
</table>
### Appendix A

**Record tire tread depth:**
- RF
- LF
- RRO
- RRI (mini-buses only)
- LRO
- LRI (mini-buses only)

**Lift**
- Check operation
- Check lubrication

**Road Test**
- Check transmission shifting
- Check general operation
- Check brakes and steering

Inspector/Mechanic: ________________  Remarks: ____________________________
Vendor Official:  __________________  ____________________________
Appendix A

Please indicate body damage by placing an "X" in the appropriate spot.

Mechanic/Inspector:

__________________________

Vehicle #:

__________________________

Vendor:

__________________________
**Uniform Certification Application**

**Roadmap for Applicants**

1. **Should I apply?**
   - Is your firm at least 51%-owned by a socially and economically disadvantaged individual(s) who also controls the firm?
   - Is the disadvantaged owner a U.S. citizen or lawfully admitted permanent resident of the U.S.?
   - Is your firm a small business that meets the Small Business Administration’s (SBA’s) size standard and does not exceed $17.42 million in gross annual receipts?
   - Is your firm organized as a for-profit business?

   ➞ If you answered “Yes” to all of the questions above, you may be eligible to participate in the U.S. DOT DBE program.

2. **Is there an easier way to apply?**
   - If you are currently certified by the SBA as an 8(a) and/or SDB firm, you may be eligible for a streamlined certification application process. Under this process, the certifying agency to which you are applying will accept your current SBA application package in lieu of requiring you to fill out and submit this form. **NOTE: You must still meet the requirements for the DBE program, including undergoing an on-site review.**

3. **Be sure to attach all of the required documents listed in the Documents Check List at the end of this form with your completed application.**

4. **Where can I find more information?**
   - U.S. DOT – [http://osdbuw.dot.gov/business/dbe/index.html](http://osdbuw.dot.gov/business/dbe/index.html) (this site provides useful links to the rules and regulations governing the DBE program, questions and answers, and other pertinent information)
   - 49 CFR Part 26 (the rules and regulations governing the DBE program)

Under Sec. 26.107 of 49 CFR Part 26, dated February 2, 1999, if at any time, the Department or a recipient has reason to believe that any person or firm has willfully and knowingly provided incorrect information or made false statements, the Department may initiate suspension or debarment proceedings against the person or firm under 49 CFR Part 29, take enforcement action under 49 CFR Part 31, Program Fraud and Civil Remedies, and/or refer the matter to the Department of Justice for criminal prosecution under 18 U.S.C. 1001, which prohibits false statements in Federal programs.
Section 1: CERTIFICATION INFORMATION

A. Prior/Other Certifications

<table>
<thead>
<tr>
<th>Is your firm currently certified for any of the following programs? (If Yes, check appropriate box(es))</th>
<th>DBE</th>
<th>Name of certifying agency:</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ Yes, on □ No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☑ 8(a) STOP! If you checked either the 8(a) or SDB box, you may not have to complete this application. Ask your state UCP about the streamlined application process under the SBA-DOT MOU.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>☐ SDB</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Has your firm’s state UCP conducted an on-site visit?

| Yes, on □ No                                                                                                   | State: |
| □ Yes, on / / State: ☐ No                                                                                      |       |

B. Prior/Other Applications and Privileges

Has your firm (under any name) or any of its owners, Board of Directors, officers or management personnel, ever withdrawn an application for any of the programs listed above, or ever been denied certification, decertified, or debarred or suspended or otherwise had bidding privileges denied or restricted by any state or local agency, or Federal entity?

| Yes, on / / No                                                                                                  | State: |
| □ Yes, on / / No                                                                                               |       |

If Yes, identify State and name of state, local, or Federal agency and explain the nature of the action:

Section 2: GENERAL INFORMATION

A. Contact Information

1. Contact person and Title: _____________________________
2. Legal name of firm: _____________________________
3. Phone #: _____________________________
4. Other Phone #: _____________________________
5. Fax #: _____________________________
6. E-mail: _____________________________
7. Website (if have one): _____________________________
8. Street address of firm (No P.O. Box): City: _____________ County/Parish: _____________ State: _____________ Zip: _____________
9. Mailing address of firm (if different): City: _____________ County/Parish: _____________ State: _____________ Zip: _____________

B. Business Profile

1. Describe the primary activities of your firm: _____________________________
2. Federal Tax ID (if any): _____________________________
3. This firm was established on ____ / ____ / ____
4. I/We have owned this firm since: ____ / ____ / ____
5. Method of acquisition (check all that apply):
   □ Started new business  □ Bought existing business  □ Inherited business  □ Secured concession  □ Merger or consolidation  □ Other (explain)

□ Secured concession  □ Merger or consolidation  □ Other (explain)
(6) Is your firm "for profit"? □ Yes □ No

STOP! If your firm is NOT for-profit, then you do NOT qualify for this program and do NOT need to fill out this application.

(7) Type of firm (check all that apply):
- Sole Proprietorship
- Partnership
- Corporation
- Limited Liability Partnership
- Limited Liability Corporation
- Joint Venture
- Other, Describe:

(8) Has your firm ever existed under different ownership, a different type of ownership, or a different name?
- Yes □ No □
If Yes, explain:

(9) Number of employees: Full-time Part-time Total

(10) Specify the gross receipts of the firm for the last 3 years:
- Year ______ Total receipts $
- Year ______ Total receipts $
- Year ______ Total receipts $

C. Relationships with Other Businesses

(1) Is your firm co-located at any of its business locations, or does it share a telephone number, P.O. Box, office space, yard, warehouse, facilities, equipment, or office staff, with any other business, organization, or entity?
- Yes □ No □
If Yes, identify: Other Firm's name:
Explain nature of shared facilities:

(2) At present, or at any time in the past, has your firm:
- (a) been a subsidiary of any other firm? □ Yes □ No
- (b) consisted of a partnership in which one or more of the partners are other firms? □ Yes □ No
- (c) owned any percentage of any other firm? □ Yes □ No
- (d) had any subsidiaries? □ Yes □ No

(3) Has any other firm had an ownership interest in your firm at present or at any time in the past? □ Yes □ No

(4) If you answered "Yes" to any of the questions in (2)(a)-(d) and/or (3), identify the following for each (attach extra sheets, if needed):
- Name
- Address
- Type of Business

1.
2.
3.
D. Immediate Family Member Businesses

Do any of your immediate family members own or manage another company?  
- Yes  
- No

If Yes, then list (attach extra sheets, if needed):

<table>
<thead>
<tr>
<th>Name</th>
<th>Relationship</th>
<th>Company</th>
<th>Type of Business</th>
<th>Own or Manage?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>


Section 3: OWNERSHIP

Identify all individuals or holding companies with any ownership interest in your firm, providing the information requested below (If more than one owner, attach separate sheets for each additional owner):

A. Background Information

<table>
<thead>
<tr>
<th>(1) Name:</th>
<th>(2) Title:</th>
<th>(3) Home Phone #:</th>
<th>(4) Home Address (street and number):</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>City: State: Zip:</td>
</tr>
</tbody>
</table>

| (5) Gender:  
- Male  
- Female |
| (6) Ethnic group membership (Check all that apply):  
- Black  
- Hispanic  
- Native American  
- Asian Pacific  
- Subcontinent Asian  
- Other (specify): |

| (7) U.S. Citizen:  
- Yes  
- No |
| (8) Lawfully Admitted Permanent Resident:  
- Yes  
- No |

B. Ownership Interest

<table>
<thead>
<tr>
<th>(1) Number of years as owner:</th>
<th>(2) Initial investment to acquire ownership interest in firm:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Cash $</td>
</tr>
<tr>
<td></td>
<td>Real Estate $</td>
</tr>
<tr>
<td></td>
<td>Equipment $</td>
</tr>
<tr>
<td></td>
<td>Other $</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(3) Percentage owned:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>(4) Familial relationship to other owners:</th>
</tr>
</thead>
</table>

| (5) Shares of Stock:  
- Number  
- Percentage  
- Class  
- Date acquired  
- Method |
|---------------------------------------------|

| (6) Does this owner perform a management or supervisory function for any other business?  
- Yes  
- No |

If Yes, identify:

<table>
<thead>
<tr>
<th>Name of Business:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Function/Title:</td>
</tr>
</tbody>
</table>

| (7) Does this owner own or work for any other firm(s) that has a relationship with this firm (e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.)?  
- Yes  
- No |

If Yes, identify:

<table>
<thead>
<tr>
<th>Name of Business:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Function/Title:</td>
</tr>
<tr>
<td>Nature of Business Relationship:</td>
</tr>
</tbody>
</table>

C. Disadvantaged Status – NOTE: Complete this section only for each owner applying for DBE qualification (i.e., for each owner claiming to be socially and economically disadvantaged)

| (1) What is the Personal Net Worth (PNW) of the owner(s) applying for DBE qualification? (Use and attach the Personal Financial Statement form at the end of this application; attach additional sheets if more than one owner is applying) |
(2) Has any trust been created for the benefit of this disadvantaged owner(s)? □ Yes □ No
If Yes, explain (attach additional sheets if needed):

Section 4: CONTROL

A. Identify your firm’s Officers & Board of Directors (If additional space is required, attach a separate sheet):

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Date Appointed</th>
<th>Ethnicity</th>
<th>Gender</th>
</tr>
</thead>
<tbody>
<tr>
<td>(1) Officers</td>
<td>(a)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>of the</td>
<td>(b)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Company</td>
<td>(c)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(d)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(e)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Date Appointed</th>
<th>Ethnicity</th>
<th>Gender</th>
</tr>
</thead>
<tbody>
<tr>
<td>(2) Board</td>
<td>(a)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>of Directors</td>
<td>(b)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(c)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(d)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(e)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

(3) Do any of the persons listed in (1) and/or (2) above perform a management or supervisory function for any other business? □ Yes □ No
If Yes, identify for each: Person: _______________ Title: _______________ Business: _______________ Function: _______________

(4) Do any of the persons listed (1) and/or (2) above own or work for any other firm(s) that has a relationship with this firm (e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.)? □ Yes □ No
If Yes, identify for each: Firm Name: _______________ Person: _______________ Nature of Business Relationship: _______________

B. Identify your firm’s management personnel who control your firm in the following areas
(If more than two persons, attach a separate sheet):

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Ethnicity</th>
<th>Gender</th>
</tr>
</thead>
</table>
| (1) Financial Decisions
(responsibility for acquisition of lines of credit, surety bonding, supplies, etc.) | a.    |           |        |
|               | b.    |           |        |
| (2) Estimating and bidding | a.    |           |        |
|               | b.    |           |        |
(3) Negotiating and Contract Execution
a. 

b. 

(4) Hiring/firing of management personnel
a. 

b. 

(5) Field/Production Operations Supervisor
a. 

b. 

(6) Office management
a. 

b. 

(7) Marketing/Sales
a. 

b. 

(8) Purchasing of major equipment
a. 

b. 

(9) Authorized to Sign Company Checks (for any purpose)
a. 

b. 

(10) Authorized to make Financial Transactions
a. 

b. 

(11) Do any of the persons listed in (1) through (10) above perform a management or supervisory function for any other business? ☐ Yes ☐ No
If Yes, identify for each: Person: __________________________ Title: __________________________
Business: __________________________ Function: __________________________

(12) Do any of the persons listed in (1) through (10) above own or work for any other firm(s) that has a relationship with this firm (e.g., ownership interest, shared office space, financial investments, equipment, leases, personnel sharing, etc.)? ☐ Yes ☐ No
If Yes, identify for each: Firm Name: __________________________ Person: __________________________
Nature of Business Relationship: __________________________

C. Indicate your firm’s inventory in the following categories (attach additional sheets if needed):

(1) Equipment

<table>
<thead>
<tr>
<th>Type of Equipment</th>
<th>Make/Model</th>
<th>Current Value</th>
<th>Owned or Leased?</th>
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<tbody>
<tr>
<td>(a)</td>
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<td>(c)</td>
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(2) Vehicles

<table>
<thead>
<tr>
<th>Type of Vehicle</th>
<th>Make/Model</th>
<th>Current Value</th>
<th>Owned or Leased?</th>
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</thead>
<tbody>
<tr>
<td>(a)</td>
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</tbody>
</table>
D. Does your firm rely on any other firm for management functions or employee payroll?  
☐ Yes  ☐ No  
If Yes, explain:

E. Financial Information

(1) Banking Information:
(a) Name of bank: ____________________________  (b) Phone No: ( )
(c) Address of bank: _________________________ City: __________ State: _____ Zip: ______

(2) Bonding Information: If you have bonding capacity, identify:  
(a) Binder No: ________________________________
(b) Name of agent/broker ______________________  (c) Phone No: ( )
(d) Address of agent/broker: __________________ City: __________ State: _____ Zip: ______
(e) Bonding limit: Aggregate limit $ __________ Project limit $ __________

F. Identify all sources, amounts, and purposes of money loaned to your firm, including the names of any persons or firms securing the loan, if other than the listed owner:

<table>
<thead>
<tr>
<th>Name of Source</th>
<th>Address of Source</th>
<th>Name of Person Securing the Loan</th>
<th>Original Amount</th>
<th>Current Balance</th>
<th>Purpose of Loan</th>
</tr>
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<tbody>
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<td>1.</td>
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</table>
G. List all contributions or transfers of assets to/from your firm and to/from any of its owners over the past two years (attach additional sheets if needed):

<table>
<thead>
<tr>
<th>Contribution/Asset</th>
<th>Dollar Value</th>
<th>From Whom</th>
<th>To Whom</th>
<th>Relationship</th>
<th>Date of Transfer</th>
<th>Transfer</th>
<th>Project</th>
<th>Type of Work</th>
<th>Location of Project</th>
<th>Project Partner</th>
<th>Contribution and Project Partner (if applicable)</th>
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H. List current licenses/permits held by any owner and/or employee of your firm (e.g., contractor, engineer, architect, etc.) (attach additional sheets if needed):

<table>
<thead>
<tr>
<th>Name of License/Permit Holder</th>
<th>Type of License/Permit</th>
<th>Expiration Date</th>
<th>License Number and State</th>
<th>License Type</th>
<th>Holders</th>
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</table>

I. List the three largest contracts completed by your firm in the past three years, if any:

<table>
<thead>
<tr>
<th>Name of Owner/Contractor</th>
<th>Location of Project</th>
<th>Type of Work Performed</th>
<th>Dollar Value of Project</th>
<th>Completion Date</th>
<th>Contract Number and State</th>
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J. List the three largest active jobs on which your firm is currently working:

<table>
<thead>
<tr>
<th>Prime Contractor</th>
<th>Location of Project</th>
<th>Type of Work</th>
<th>Anticipated Dollar Value of Contract</th>
<th>Project Start Date</th>
<th>Project Completion Date</th>
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</table>

K. List all contributions or transfers of assets to/from your firm and to/from any of its owners over the past two years (attach additional sheets if needed):

<table>
<thead>
<tr>
<th>Contribution/Asset</th>
<th>Dollar Value</th>
<th>From Whom</th>
<th>To Whom</th>
<th>Relationship</th>
<th>Date of Transfer</th>
<th>Transfer</th>
<th>Project</th>
<th>Type of Work</th>
<th>Location of Project</th>
<th>Project Partner</th>
<th>Contribution and Project Partner (if applicable)</th>
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</table>
AFFIDAVIT OF CERTIFICATION

This form must be signed and notarized for each owner upon which disadvantaged status is relied.

A MATERIAL OR FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THIS APPLICATION IS SUFFICIENT CAUSE FOR DENIAL OF CERTIFICATION, REVOCATION OF A PRIOR APPROVAL, INITIATION OF SUSPENSION OR DEBARMENT PROCEEDINGS, AND MAY SUBJECT THE PERSON AND/OR ENTITY MAKING THE FALSE STATEMENT TO ANY AND ALL CIVIL AND CRIMINAL PENALTIES AVAILABLE PURSUANT TO APPLICABLE FEDERAL AND STATE LAW.

I ___________________________ (full name printed), swear or affirm under penalty of law that I am ___________________________ (title) of applicant firm ___________________________ (firm name) and that I have read and understood all of the questions in this application and that all of the foregoing information and statements submitted in this application and its attachments and supporting documents are true and correct to the best of my knowledge, and that all responses to the questions are full and complete, omitting no material information. The responses include all material information necessary to fully and accurately identify and explain the operations, capabilities and pertinent history of the named firm as well as the ownership, control, and affiliations thereof.

I recognize that the information submitted in this application is for the purpose of inducing certification approval by a government agency. I understand that a government agency may, by means it deems appropriate, determine the accuracy and truth of the statements in the application, and I authorize such agency to contact any entity named in the application, and the named firm’s bonding companies, banking institutions, credit agencies, contractors, clients, and other certifying agencies for the purpose of verifying the information supplied and determining the named firm’s eligibility.

I agree to submit to government audit, examination and review of books, records, documents and files, in whatever form they exist, of the named firm and its affiliates, inspection of its places(s) of business and equipment, and to permit interviews of its principals, agents, and employees. I understand that refusal to permit such inquiries shall be grounds for denial of certification.

If awarded a contract or subcontract, I agree to promptly and directly provide the prime contractor, if any, and the Department, recipient agency, or federal funding agency on an ongoing basis, current, complete and accurate information regarding (1) work performed on the project; (2) payments; and (3) proposed changes, if any, to the foregoing arrangements.

I agree to provide written notice to the recipient agency or Unified Certification Program (UCP) of any material change in the information contained in the original application within 30 calendar days of such change (e.g., ownership, address, telephone number, etc.).

I acknowledge and agree that any misrepresentations in this application or in records pertaining to a contract or subcontract will be grounds for terminating any contract or subcontract which may be awarded; denial or revocation of certification; suspension and debarment; and for initiating action under federal and/or state law concerning false statement, fraud or other applicable offenses.

I certify that I am a socially and economically disadvantaged individual who is an owner of the above-referenced firm seeking certification as a Disadvantaged Business Enterprise (DBE). In support of my application, I certify that I am a member of one or more of the following groups, and that I have held myself out as a member of the group(s) (circle all that apply):

Female - Black American - Hispanic American
Native American - Asian-Pacific American
Subcontinent Asian American - Other (specify) ___________________________
I certify that I am socially disadvantaged because I have been subjected to racial or ethnic prejudice or cultural bias, or have suffered the effects of discrimination, because of my identity as a member of one or more of the groups identified above, without regard to my individual qualities.

I further certify that my personal net worth does not exceed $750,000, and that I am economically disadvantaged because my ability to compete in the free enterprise system has been impaired due to diminished capital and credit opportunities as compared to others in the same or similar line of business who are not socially and economically disadvantaged.

I declare under penalty of perjury that the information provided in this application and supporting documents is true and correct.

Executed on __________ (Date)

Signature _____________________________ (DBE Applicant)

**NOTARY CERTIFICATE**

**For Puerto Rico Use Only**

AFFIDAVIT NO.: ________________

SWORN and subscribed before me by ____________________, of legal age, ____________________,

Name ____________________, marital status ____________________,

Resident of ____________________, occupation ____________________, SSC# ________________

c, known to me personally or whom I have identified by means of

Indicate Id. # of government issued Id.

In ________________ Puerto Rico this __________ day of ___________ 20 ___.

__________________________________________
Notary Public
DBE UNIFORM CERTIFICATION APPLICATION SUPPORTING DOCUMENTS CHECKLIST

In order to complete your application for DBE certification, you must attach copies of all of the following documents as they apply to you and your firm.

All Applicants
☐ Work experience resumes (that include places of ownership/employment with corresponding dates), for all owners and officers of your firm
☐ Personal Financial Statement (form available with this application)
☐ Personal tax returns for the past three years, if applicable, for each owner claiming disadvantaged status
☐ Your firm’s tax returns (gross receipts) and all related schedules for the past three years
☐ Documented proof of contributions used to acquire ownership for each owner (e.g. both sides of cancelled checks)
☐ Your firm’s signed loan agreements, security agreements, and bonding forms
☐ Descriptions of all real estate (including office/storage space, etc.) owned/leased by your firm and documented proof of ownership/signed leases
☐ List of equipment leased and signed lease agreements
☐ List of construction equipment and/or vehicles owned and titles/proof of ownership
☐ Documented proof of any transfers of assets to/from your firm and/or to/from any of its owners over the past two years
☐ Year-end balance sheets and income statements for the past three years (or life of firm, if less than three years); a new business must provide a current balance sheet
☐ All relevant licenses, license renewal forms, permits, and haul authority forms
☐ DBE and SBA 8(a) or SDB certifications, denials, and/or decertifications, if applicable
☐ Bank authorization and signatory cards
☐ Schedule of salaries (or other compensation or remuneration) paid to all officers, managers, owners, and/or directors of the firm
☐ Trust agreements held by any owner claiming disadvantaged status, if any

Partnership or Joint Venture
☐ Original and any amended Partnership or Joint Venture Agreements

Corporation or LLC
☐ Official Articles of Incorporation (signed by the state official)
☐ Both sides of all corporate stock certificates and your firm’s stock transfer ledger
☐ Shareholders’ Agreement
☐ Minutes of all stockholders and board of directors meetings
☐ Corporate by-laws and any amendments
☐ Corporate bank resolution and bank signature cards
☐ Official Certificate of Formation and Operating Agreement with any amendments (for LLCs)

Trucking Company
☐ Documented proof of ownership of the company
☐ Insurance agreements for each truck owned or operated by your firm
☐ Title(s) and registration certificate(s) for each truck owned or operated by your firm
☐ List of U.S. DOT numbers for each truck owned or operated by your firm

Regular Dealer
☐ Proof of warehouse ownership or lease
☐ List of product lines carried
☐ List of distribution equipment owned and/or leased

NOTE: The specific state UCP to which you are applying may have additional required documents that you must also supply with your application. Contact the appropriate certifying agency to which you are applying to find out if more is required.
INSTRUCTIONS FOR COMPLETING THE DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM
UNIFORM CERTIFICATION APPLICATION

NOTE If you require additional space for any question in this application, please attach additional sheets or copies as needed, taking care to indicate on each attached sheet/copy the section and number of this application to which it refers.

Section 1: CERTIFICATION INFORMATION

A. Prior/Other Certifications
Check the appropriate box indicating for which program your firm is currently certified. If you are already certified as a DBE, indicate in the appropriate box the name of the certifying agency that has previously certified your firm, and also indicate whether your firm has undergone an onsite visit. If your firm has already undergone an onsite visit/review, indicate the most recent date of that review and the state UCP that conducted the review.

NOTE: If your firm is currently certified under the SBA’s 8(a) and/or SOB programs, you may not have to complete this application. You should contact your state UCP to find out about a streamlined application process for firms that are already certified under the 8(a) and SOB programs.

B. Prior/Other Applications and Privileges
Indicate whether your firm or any of the persons listed has ever withdrawn an application for a DBE program or an SBA 8(a) or SOB program, or whether any have ever been denied certification, decertified, debarred, suspended, or had bidding privileges denied or restricted by any state or local agency or Federal entity. If your answer is yes, indicate the date of such action, identify the name of the agency, and explain fully the nature of the action in the space provided.

Section 2: GENERAL INFORMATION

1. Contact Information
   (A) State the name and title of the person who will serve as your firm’s primary contact under this application.
   (B) State the legal name of your firm, as indicated in your firm’s Articles of Incorporation or charter.
   (C) State the primary phone number of your firm.
   (D) State a secondary phone number, if any.
   (E) State your firm’s fax number, if any.
   (F) State your firm’s website address, if any.
   (G) State the street address of your firm (i.e. the physical location of its offices -- not a post office box address).
   (H) State the mailing address of your firm, if it is different from your firm’s street address.

2. Business Profile
   (1) In the box provided, briefly describe the primary business and professional activities in which your firm engages.
   (2) State the Federal Tax ID number of your firm as provided on your firm’s filed tax returns, if you have one. This could also be the Social Security number of the owner of your firm.
   (3) State the date on which your firm was officially established, as stated in your firm’s Articles of Incorporation or charter.
   (4) State the date on which you and/or each other owner took ownership of the firm.
   (5) Check the appropriate box that describes the manner in which you and each other owner acquired ownership of your firm. If you checked “Other,” explain in the space provided.
   (6) Check the appropriate box that indicates whether your firm is “for profit.”
   
   NOTE: If you checked “No,” then you do NOT qualify for the DBE program and therefore do not need to complete the rest of this application. The DBE program requires all participating firms be for-profit enterprises.
   (7) Check the appropriate box that describes the legal form of ownership of your firm, as indicated in your firm’s Articles of Incorporation. If you checked “Other,” briefly explain in the space provided.
   (8) Check the appropriate box that indicates whether your firm has ever existed under different ownership, a different type of ownership, or a different name. If you checked “Yes,” specify which and briefly explain the circumstances in the space provided.
   (9) Indicate in the spaces provided how many employees your firm has, specifying the number of employees who work on a full-time and part-time basis.
   (10) Specify the total gross receipts of your firm for each of the past three years, as declared in your firm’s filed tax returns.

3. Relationships with Other Businesses
   (1) Check the appropriate box that indicates whether your firm is co-located at any of its business locations, or whether your firm shares a telephone number(s), a post office box, any office space, a yard, warehouse, other facilities, any equipment, or any office staff with any other business, organization, or entity of any kind. If you answered “Yes,” then specify the name of the other firm(s) and briefly explain the nature of the shared
facilities or other items in the space provided.

(2) Check the appropriate box that indicates whether at present, or at any time in the past:
   (a) Your firm has been a subsidiary of any other firm;
   (b) Your firm consisted of a partnership in which one or more of the partners are other firms;
   (c) Your firm has owned any percentage of any other firm; and
   (d) Your firm has had any subsidiaries of its own.

(3) Check the appropriate box that indicates whether any other firm has ever had an ownership interest in your firm.

(4) If you answered “Yes” to any of the questions in (2)(a)-(d) or (3), identify the name, address and type of business for each.

4. Immediate Family Member Businesses
Check the appropriate box that indicates whether any of your immediate family members own or manage another company. An “immediate family member” is any person who is your father, mother, husband, wife, son, daughter, brother, sister, grandmother, grandfather, grandson, granddaughter, mother-in-law, or father-in-law. If you answered “Yes,” provide the name of each relative, your relationship to them, the name of the company they own or manage, the type of business, and whether they own or manage the company.

Section 3: OWNERSHIP
Identify all individuals or holding companies with any ownership interest in your firm, providing the information requested below (if your firm has more than one owner, provide completed copies of this section for each additional owner):
A. Background Information
   (1) Give the name of the owner.
   (2) State his/her title or position within your firm.
   (3) Give his/her home phone number.
   (4) State his/her home (street) address.
   (5) Check the appropriate box that indicates this owner’s gender.

   (6) Check the appropriate box that indicates this owner’s ethnicity (check all that apply). If you checked “Other,” specify this owner’s ethnic group/identity not otherwise listed.

   (7) Check the appropriate box to indicate whether this owner is a U.S. citizen.

   (8) If this owner is not a U.S. citizen, check the appropriate box that indicates whether this owner is a lawfully admitted permanent resident. If this owner is neither a U.S. citizen nor a lawfully admitted permanent resident of the U.S., then this owner is NOT eligible for certification as a DBE owner. This, however, does not necessarily disqualify your firm altogether from the DBE program if another owner is a U.S. citizen or lawfully admitted permanent resident and meets the program’s other qualifying requirements.

B. Ownership Interest
(1) State the number of years during which this owner has been an owner of your firm.

(2) Indicate the dollar value of this owner’s initial investment to acquire an ownership interest in your firm, broken down by cash, real estate, equipment, and/or other investment.

(3) State the percentage of total ownership control of your firm that this owner possesses.

(4) State the familial relationship of this owner to each other owner of your firm.

(5) Indicate the number, percentage of the total, class, date acquired, and method by which this owner acquired his/her shares of stock in your firm.

(6) Check the appropriate box that indicates whether this owner performs a management or supervisory function for any other business. If you checked “Yes,” state the name of the other business and this owner’s title or function held in that business.

(7) Check the appropriate box that indicates whether this owner owns or works for any other firm(s) that has any relationship with your firm. If you
checked "Yes," identify the name of the other business and this owner's title or function held in that business. Briefly describe the nature of the business relationship in the space provided.

C. Disadvantaged Status

**NOTE:** You only need to complete this section for each owner that is applying for DBE qualification (i.e. for each owner who is claiming to be "socially and economically disadvantaged" and whose ownership interest is to be counted toward the control and 51% ownership requirements of the DBE program).

1. Indicate in the space provided the total Personal Net Worth (PNW) of each owner who is applying for DBE qualification. Use the PNW calculator form at the end of this application to compute each owner's PNW.

2. Check the appropriate box that indicates whether any trust has ever been created for the benefit of this disadvantaged owner. If you answered "Yes," briefly explain the nature, history, purpose, and current value of the trust(s).

Section 4: CONTROL

A. Identify your firm's Officers and Board of Directors:

1. In the space provided, state the name, title, date of appointment, ethnicity, and gender of each officer of your firm.

2. In the space provided, state the name, title, date of appointment, ethnicity, and gender of each individual serving on your firm's Board of Directors.

3. Check the appropriate box that indicates whether any of your firm's officers and/or directors listed above perform a management or supervisory function for any other business. If you answered "Yes," identify each person by name, his/her title, the name of the other business in which s/he is involved, and his/her function performed in that other business.

4. Check the appropriate box that indicates whether any of your firm's officers and/or directors listed above own or work for any other firm(s) that has a relationship with your firm. If you answered "Yes," identify the name of the firm, the name of the person, and the nature of his/her business relationship with that other firm.

B. Identify your firm's management personnel (by name, title, ethnicity, and gender) who control your firm in the following areas:

1. Making of financial decisions on your firm's behalf, including the acquisition of lines of credit, surety bonds, supplies, etc.;

2. Estimating and bidding, including calculation of cost estimates, bid preparation and submission;

3. Negotiating and contract execution, including participation in any of your firm's negotiations and executing contracts on your firm's behalf;

4. Hiring and/or firing of management personnel, including interviewing and conducting performance evaluations;

5. Field/Production operations supervision, including site supervision, scheduling, project management services, etc.;

6. Office management;

7. Marketing and sales;

8. Purchasing of major equipment;

9. Signing company checks (for any purpose); and

10. Conducting any other financial transactions on your firm's behalf not otherwise listed.

11. Check the appropriate box that indicates whether any of the persons listed in (1) through (10) above perform a management or supervisory function for any other business. If you answered "Yes," identify each person by name, his/her title, the name of the other business in which s/he is involved, and his/her function performed in that other business.

12. Check the appropriate box that indicates whether any of the persons listed in (1) through (10) above own or work for any other firm(s) that has a relationship with your firm. If you answered "Yes," identify the name of the firm, the name of the person, and the nature of his/her business relationship with that other firm.

C. Indicate your firm's inventory in the following categories:

A. Equipment

State the type, make and model, and current dollar value of each piece of equipment held and/or used by your firm. Indicate whether each piece is either owned or leased by your firm.

B. Vehicles

State the type, make and model, and current dollar value of each motor vehicle held and/or used by your firm. Indicate whether each vehicle is either owned or leased by your firm.

C. Office Space

State the street address of each office space held and/or used by your firm. Indicate whether your firm owns or
leases the office space and the current dollar value of that property or its lease.

D. Storage Space
State the street address of each storage space held and/or used by your firm. Indicate whether your firm owns or leases the storage space and the current dollar value of that property or its lease.

D. Does your firm rely on any other firm for management functions or employee payroll?
Check the appropriate box that indicates whether your firm relies on any other firm for management functions or for employee payroll. If you answered “Yes,” briefly explain the nature of that reliance and the extent to which the other firm carries out such functions.

E. Financial Information
(1) Banking Information
(a) State the name of your firm’s bank.
(b) Give the main phone number of your firm’s bank branch.
(c) Give the address of your firm’s bank branch.

(2) Bonding Information
(a) State your firm’s Binder Number.
(b) State the name of your firm’s bond agent and/or broker.
(c) Give your agent’s/broker’s phone number.
(d) Give your agent’s/broker’s address.
(e) State your firm’s bonding limits (in dollars), specifying both the Aggregate and Project Limits.

F. Identify all sources, amounts, and purposes of money loaned to your firm, including the names of persons or firms securing the loan, if other than the listed owner:
State the name and address of each source, the original dollar amount and the current balance of each loan, and the purpose for which each loan was made to your firm.

G. List all contributions or transfers of assets to/from your firm and to/from any of its owners over the past two years:
Indicate in the spaces provided, the type of contribution or asset that was transferred, its current dollar value, the person or firm from whom it was transferred, the person or firm to whom it was transferred, the relationship between the two persons and/or firms, and the date of the transfer.

H. List current licenses/permits held by any owner or employee of your firm.
List the name of each person in your firm who holds a professional license or permit, the type of license, the expiration date of the permit or license, and the license/permit number and issuing State of the license or permit.

I. List the three largest contracts completed by your firm in the past three years, if any.
List the name of each owner or contractor for each contract, the name and location of the projects under each contract, the type of work performed on each contract, and the dollar value of each contract.

J. List the three largest active jobs on which your firm is currently working.
For each active job listed, state the name of the prime contractor and the project number, the location, the type of work performed, the project start date, the anticipated completion date, and the dollar value of the contract.

1. AFFIDAVIT & SIGNATURE
Carefully read the attached affidavit in its entirety. Fill in the required information for each blank space, and sign and date the affidavit in the presence of a Notary Public, who must then notarize the form.
Section 26.45: Overall Goal Calculation

Amount of Goal

1. [Recipient]'s overall goal for FY 20__ is the following: ___% of the Federal Financial assistance we will expend in DOT-assisted contracts. [FTA recipients add: exclusive of FTA funds to be used for the purchase of transit vehicles.]

or

1. [Recipient]'s overall goal for the following time period 20__-20__ is the following: ___% of the Federal financial assistance we will expend in DOT-assisted contracts. [FTA recipients add: exclusive of FTA funds to be used for the purchase of transit vehicles.]

2. $ ____ is the dollar amount of DOT-assisted contracts that [Recipient] expects to award during FFY20___. This means that [Recipient] has set a goal of expending $ ____ with DBEs during this fiscal year/project.

Methodology used to Calculate Overall Goal

**Step 1:** 26.45(c)

Determine the base figure for the relative availability of DBEs.

The base figure for the relative availability of DBE's was calculated as follows:

\[
\text{Base figure} = \frac{\text{Ready, willing, and able DBEs}}{\text{All firms ready, willing and able}}
\]

The data source or demonstrable evidence used to derive the numerator was:

The data source or demonstrable evidence used to derive the denominator was:

When we divided the numerator by the denominator we arrived at the base figure for our overall goal and that number was

**Step 2:** 26.45(d)

After calculating a base figure of the relative availability of DBEs, evidence was examined to determine what adjustment was needed to the base figure in order to arrive at the overall goal.

In order to reflect as accurately as possible the DBE participation we would expect in the absence of discrimination we have adjusted our base figure by ___%.

The data used to determine the adjustment to the base figure was:

The reason we chose to adjust our figure using this data was because:

From this data, we have adjusted our base figure to:

Public Participation

We published our goal information in these publications:
Appendix C

We received comments from these individuals or organizations:

Summaries of these comments are as follows:

Our responses to these comments are:
Departamento de Transportación y Obras Públicas
Autoridad de Carreteras y Transportación
Oficina de Coordinación Federal

Informe Semi-anual de Usos y Gastos
Vehículo Paratransito
Programa de Mejoras Capitales en Áreas No-Urbanizadas,
Sección 5311
de la Administración Federal de Transportación Colectiva
(FTA, por sus siglas en inglés)

<table>
<thead>
<tr>
<th>Subreceptor:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Persona Contacto:</td>
</tr>
<tr>
<td>Teléfono:</td>
</tr>
<tr>
<td>Periodo del Informe: Desde:</td>
</tr>
<tr>
<td>Hasta:</td>
</tr>
<tr>
<td>Tablilla:</td>
</tr>
<tr>
<td>Número de Serie:</td>
</tr>
<tr>
<td>Total de asientos:</td>
</tr>
<tr>
<td>Total de millas recorridas en este periodo:</td>
</tr>
<tr>
<td>Promedio de millas por dia:</td>
</tr>
<tr>
<td>Total de millas acumuladas:</td>
</tr>
</tbody>
</table>

Gastos Operacionales

<table>
<thead>
<tr>
<th>Salaríos:</th>
<th>$</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gasolina:</td>
<td>$</td>
</tr>
<tr>
<td>Aceites:</td>
<td>$</td>
</tr>
</tbody>
</table>
Informe Semi-anual de Usos y Gastos
Vehículo Paratránsito
Sección 5311 de FTA
Página 2 de 4

| Total de Gastos: | $ |

<table>
<thead>
<tr>
<th>Mantenimiento Preventivo</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total de Gastos:</td>
</tr>
<tr>
<td>Fecha en que se realizó:</td>
</tr>
<tr>
<td>Millaje:</td>
</tr>
<tr>
<td>Descripción:</td>
</tr>
<tr>
<td>Reparaciones mayores:</td>
</tr>
<tr>
<td>Descripción:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Ingresos</th>
</tr>
</thead>
<tbody>
<tr>
<td>Municipales:</td>
</tr>
<tr>
<td>Otras Fuentes:</td>
</tr>
<tr>
<td>Total de Ingresos:</td>
</tr>
</tbody>
</table>

Información sobre el Servicio

A. Viajes Solicitados
   - Número de Pasajeros:
   - Número de Personal de Cuido:
   - Número de Acompañantes:
   Total de Personas:

B. Viajes en Itinerario
   - Número de Pasajeros:
   - Número de Personal de Cuido:
Información Semi-anual de Usos y Gastos
Vehículo Paratránsito
Sección 5311 de FTA
Página 3 de 4

- Número de Acompañantes: 
Total de Personas: 

<table>
<thead>
<tr>
<th>C. Viajes Denegados</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Número de Pasajeros:</td>
</tr>
<tr>
<td>- Número de Personal de Cuido:</td>
</tr>
<tr>
<td>- Número de Acompañantes:</td>
</tr>
<tr>
<td>Total de Personas:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>D. Viajes Cancelados</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Número de Pasajeros:</td>
</tr>
<tr>
<td>- Número de Personal de Cuido:</td>
</tr>
<tr>
<td>- Número de Acompañantes:</td>
</tr>
<tr>
<td>Total de Personas:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>E. “No Shows”</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Número de Pasajeros:</td>
</tr>
<tr>
<td>- Número de Personal de Cuido:</td>
</tr>
<tr>
<td>- Número de Acompañantes:</td>
</tr>
<tr>
<td>Total de Personas:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>F. Viajes Completados:</th>
</tr>
</thead>
<tbody>
<tr>
<td>(= B - D - E)</td>
</tr>
</tbody>
</table>

| G. Viajes recogidos a tiempo: |

| H. Viajes llegados a tiempo: |

<p>| I. Total de Pasajeros por Mes: |</p>
<table>
<thead>
<tr>
<th>Número de días en que no se ofreció el Servicio:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Por problemas mecánicos:</td>
</tr>
<tr>
<td>• Porque el &quot;lifter/ramp&quot; no funciona:</td>
</tr>
<tr>
<td>• Otros (explique):</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Accidentes (Explique):</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
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<td></td>
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</tbody>
</table>

Firma Autorizada ____________________________  Fecha ____________________________
# ADA-COMPLIANT TRANSIT SERVICE MONITORING FORM

<table>
<thead>
<tr>
<th>Grantee:</th>
<th>Site Visit Date:</th>
</tr>
</thead>
</table>

**ADA Coordinator:**

<table>
<thead>
<tr>
<th>Telephone:</th>
</tr>
</thead>
</table>

**System Supervisor:**

<table>
<thead>
<tr>
<th>Telephone:</th>
</tr>
</thead>
</table>

**Total No. of Trolleys:**

<table>
<thead>
<tr>
<th>Date Acquired</th>
<th>FTA Funds (Mark X)</th>
<th>Local Funds (Mark X)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Total No. of ADA Paratransit Vehicles:**

<table>
<thead>
<tr>
<th>Date Acquired</th>
<th>FTA Funds (Mark X)</th>
<th>Local Funds (Mark X)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Plans to Acquire Vehicles:**

<table>
<thead>
<tr>
<th>Type of Vehicle</th>
<th>Estimated Date of Acquisition</th>
<th>Funds to Be Used</th>
<th>If Federal, are included in TIP?</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
<td>[ ] Yes [ ] No</td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
<td>[ ] Yes [ ] No</td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
<td>[ ] Yes [ ] No</td>
</tr>
</tbody>
</table>

**Name of Participants in Site Visit:**

<table>
<thead>
<tr>
<th>Title</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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<tr>
<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

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Appendix E
<table>
<thead>
<tr>
<th>Review Questions</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>FIXED ROUTE SERVICE</strong></td>
<td></td>
</tr>
<tr>
<td>1. Does the grantee comply with the following fixed route service provisions?</td>
<td></td>
</tr>
<tr>
<td>a. Maintenance of accessibility features? Are lifts included in Maintenance Plan?</td>
<td></td>
</tr>
<tr>
<td>Yes____ No____</td>
<td></td>
</tr>
<tr>
<td>How often are features checked?</td>
<td></td>
</tr>
<tr>
<td>b. Procedures to ensure lift availability? (complies with 3 and 5 day limit?)</td>
<td></td>
</tr>
<tr>
<td>Yes____ No____</td>
<td></td>
</tr>
<tr>
<td>c. Procedures for use of lifts and securement systems, including use of lifts by standees?</td>
<td></td>
</tr>
<tr>
<td>Yes____ No____</td>
<td></td>
</tr>
<tr>
<td>d. Stop announcements on fixed-route vehicles?</td>
<td></td>
</tr>
<tr>
<td>Yes____ No____</td>
<td></td>
</tr>
<tr>
<td>e. Vehicle identification mechanism?</td>
<td></td>
</tr>
<tr>
<td>Yes____ No____</td>
<td></td>
</tr>
<tr>
<td>f. Service animals?</td>
<td></td>
</tr>
<tr>
<td>Yes____ No____</td>
<td></td>
</tr>
<tr>
<td>Review Questions</td>
<td>Comments</td>
</tr>
<tr>
<td>--------------------------------------------------------------------------------</td>
<td>----------</td>
</tr>
<tr>
<td>g. Use of accessibility features?</td>
<td></td>
</tr>
<tr>
<td>Yes __ No __</td>
<td></td>
</tr>
<tr>
<td>h. Adequate public information in accessible formats?</td>
<td></td>
</tr>
<tr>
<td>Yes __ No __</td>
<td></td>
</tr>
<tr>
<td>i. Service to persons using respirators or portable oxygen?</td>
<td></td>
</tr>
<tr>
<td>Yes __ No __</td>
<td></td>
</tr>
<tr>
<td>j. Adequate time for vehicle boarding/disembarking?</td>
<td></td>
</tr>
<tr>
<td>Yes __ No __</td>
<td></td>
</tr>
<tr>
<td>2. Have the fixed route service operators received equipment and sensitivity training?</td>
<td></td>
</tr>
<tr>
<td>Yes __ No __</td>
<td></td>
</tr>
<tr>
<td>If so, describe the type and number of training activities carried out, resources used, participant lists, etc.</td>
<td></td>
</tr>
<tr>
<td>3. Can the driver operate the following equipment?</td>
<td></td>
</tr>
<tr>
<td>☐ Elevator for wheelchairs</td>
<td></td>
</tr>
<tr>
<td>☐ Securement devices</td>
<td></td>
</tr>
<tr>
<td>☐ Emergency system</td>
<td></td>
</tr>
</tbody>
</table>
### HIGHWAY AND TRANSPORTATION AUTHORITY
### DRUG AND ALCOHOL PROGRAM MONITORING REVIEW

**Subrecipient/Contractor:** __________________________  **Review Date:** ____________

**Reviewer:** __________________________  **Office:** __________________________

**Type of Review:**  
- [ ] Site Visit  
- [ ] Desk Review/Files

<table>
<thead>
<tr>
<th>Review Questions</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Name of drug and alcohol testing supplier (laboratory which will collect the specimen.)</td>
<td></td>
</tr>
<tr>
<td>2. Does the subrecipient/contractor have a drug and alcohol policy as required by FTA drug and alcohol regulations?</td>
<td>Yes ____  No ____</td>
</tr>
<tr>
<td>3. Does the policy contain the following elements:</td>
<td></td>
</tr>
<tr>
<td>Identity of contract persons</td>
<td>Yes ____  No ____</td>
</tr>
<tr>
<td>Employee categories subject to testing</td>
<td>Yes ____  No ____</td>
</tr>
<tr>
<td>Prohibited behavior</td>
<td>Yes ____  No ____</td>
</tr>
<tr>
<td>Testing circumstances</td>
<td>Yes ____  No ____</td>
</tr>
<tr>
<td>Testing procedures</td>
<td>Yes ____  No ____</td>
</tr>
<tr>
<td>Review Questions</td>
<td>Comments</td>
</tr>
<tr>
<td>--------------------------------------------------------------------------------</td>
<td>----------</td>
</tr>
<tr>
<td>Participation is a requirement of employment</td>
<td></td>
</tr>
<tr>
<td>Yes _____  No _____</td>
<td></td>
</tr>
<tr>
<td>Required hours of compliance (alcohol)</td>
<td></td>
</tr>
<tr>
<td>Yes _____  No _____</td>
<td></td>
</tr>
<tr>
<td>Behavior that constitutes a refusal to submit to a test</td>
<td></td>
</tr>
<tr>
<td>Yes _____  No _____</td>
<td></td>
</tr>
<tr>
<td>Consequences of using drugs and misusing alcohol</td>
<td></td>
</tr>
<tr>
<td>Yes _____  No _____</td>
<td></td>
</tr>
<tr>
<td>Effects of alcohol</td>
<td></td>
</tr>
<tr>
<td>Yes _____  No _____</td>
<td></td>
</tr>
<tr>
<td>Approval by governing board</td>
<td></td>
</tr>
<tr>
<td>Yes _____  No _____</td>
<td></td>
</tr>
</tbody>
</table>

4. Are there any additional (optional) provisions not required by FTA included in the policy? Are they clearly identified?

   Yes _____  No _____

5. Were any revisions made to the policy during the year?

   Yes _____  No _____

   If yes, were they board approved?

   Yes _____  No _____
<table>
<thead>
<tr>
<th>Review Questions</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>6. Was the policy distributed to all safety sensitive employees?</td>
<td></td>
</tr>
<tr>
<td>Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>7. Were safety sensitive employees trained on the abuses of alcohol?</td>
<td></td>
</tr>
<tr>
<td>Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>Date of Training: ______________________________________________________________________</td>
<td></td>
</tr>
<tr>
<td>Resource(s) Used: ______________________________________________________________________</td>
<td></td>
</tr>
<tr>
<td>8. Were all new safety sensitive employees trained and received a copy of the policy?</td>
<td></td>
</tr>
<tr>
<td>Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>9. Did all supervisors receive at least 120 minutes of training (effects of alcohol and drug abuse)?</td>
<td></td>
</tr>
<tr>
<td>Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>Date of Training: ______________________________________________________________________</td>
<td></td>
</tr>
<tr>
<td>Resource(s) Used: ______________________________________________________________________</td>
<td></td>
</tr>
<tr>
<td>10. Does the contractor use a certified?</td>
<td></td>
</tr>
<tr>
<td>MRO Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>SAP Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>BAT Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>Name: ___________________________________________________________________________</td>
<td></td>
</tr>
<tr>
<td>Name: ___________________________________________________________________________</td>
<td></td>
</tr>
<tr>
<td>Name: ___________________________________________________________________________</td>
<td></td>
</tr>
<tr>
<td>11. Were all employees who tested positive referred to a SAP?</td>
<td></td>
</tr>
<tr>
<td>Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>12. Has the contractor submitted annual MIS reports to the HTA by no later than February 28 of each year?</td>
<td></td>
</tr>
<tr>
<td>Yes ____  No ____</td>
<td></td>
</tr>
<tr>
<td>Date Submitted: ______________________________________________________________________</td>
<td></td>
</tr>
<tr>
<td>13. Does the contractor utilize the most recently approved USDOT Drug Testing Custody and Control Form?</td>
<td></td>
</tr>
<tr>
<td>Yes ____  No ____</td>
<td></td>
</tr>
</tbody>
</table>
### Review Questions

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>14. Does the contractor utilize the most recently approved USDOT Breath Alcohol Testing Form?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yes ______ No ______</td>
<td></td>
<td></td>
</tr>
<tr>
<td>15. Does the contractor use drug-testing laboratories certified by SAMHSA?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yes ______ No ______</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Name of laboratory:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>16. Are drug and alcohol testing program records maintained in a secure location with controlled access?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yes ______ No ______</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Comments

17. Are the following records maintained?

- for at least one year?
  - Alcohol test results less than 0.02
    - Yes [ ] No [ ]
  - Verified negative drug test results
    - Yes [ ] No [ ]

- for at least two years?
  - Collection process for alcohol testing except calibration of EBT devices
    - Yes [ ] No [ ]
  - Collect process for drug testing
    - Yes [ ] No [ ]
  - Drug education and training records
    - Yes [ ] No [ ]

- for at least five years?
  - Alcohol test records of 0.02 or greater
    - Yes [ ] No [ ]
  - Drug test records with verified positive results
    - Yes [ ] No [ ]
  - Calibration documentation of EBT devices
    - Yes [ ] No [ ]
Appendix G

RPT 82-80

Department of Transportation and Public Works (DTPW)
Highway and Transportation Authority (HTA)
Formula Program for Non-Urbanized Area, Section 5311
of
Federal Transit Administration (FTA)

Periodic Progress Report

1. Subgrantee

2. Project

3. Reporting Period:
   From          To

4. % of Project Completed

5. Project Starting Date:

6. Activity/Tasks

7. Percent of Work Completed

8. Check which box below best describes the status of each activity:
   On Schedule   Not on Schedule

9. For each activity not on Schedule, complete Variance Report form (RPT 82-90)

Director
Federal Program Office

Date
### Variance Report

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>3. Reporting Period:</td>
<td>4. Project Starting Date:</td>
</tr>
<tr>
<td>From</td>
<td>To</td>
</tr>
</tbody>
</table>

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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<tbody>
<tr>
<td>5. What is the delayed activity?</td>
<td></td>
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</table>

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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<tbody>
<tr>
<td>6. What caused the delay?</td>
<td></td>
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</table>

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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<tbody>
<tr>
<td>7. What corrective action do you plan to take?</td>
<td></td>
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<p>| | |</p>
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<th></th>
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<tbody>
<tr>
<td>8. How long has the project been delayed?</td>
<td></td>
</tr>
</tbody>
</table>

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>9. Will the delayed activity affect the projected total cost of the project?</td>
<td>Yes [ ] No [ ]</td>
</tr>
<tr>
<td>If yes, what is the total cost overrun of the project?</td>
<td></td>
</tr>
</tbody>
</table>

__________________________  __________________________
Director                     Date
Federal Program Office
Financial Report


3. Reporting Period: 4. % of Project Completed ______
   From _______ To _______

5. Functions

   a. Total Funds Authorized.
   b. Reimbursed Expenses.
   c. Balance (line a - line b).
   d. Unreimbursed Expenses.
   e. Available Balance.

<table>
<thead>
<tr>
<th>Total Amount (100%)</th>
<th>Federal Amount (80%)</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

I certify that I examined this report, which really made the expenses referred to therein, have not been claimed previously and are in accordance with the accounting books and records of the Project.

__________________________  _________________________
Director                      Date
Financial Office
# Monitoría Bimensual

## Departamento de Transportación y Obras Públicas
Autoridad de Carreteras y Transportación
Sección 5310

### A: Nombre de la Entidad

<table>
<thead>
<tr>
<th>Fecha</th>
<th>Dirección</th>
<th>Teléfono</th>
<th>Director</th>
<th>Vehículos Adquiridos</th>
<th>Proyecto</th>
<th>Millaje</th>
</tr>
</thead>
</table>

### B: Información Expediente en Oficina

<table>
<thead>
<tr>
<th>Póliza de Seguro</th>
<th>Fecha de vencimiento:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Cubierto completo Sí ( ) No ( )</td>
</tr>
<tr>
<td></td>
<td>Vigente ( ) Vencida ( )</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Informe de Accidentes</th>
</tr>
</thead>
</table>

### Informe Trimestral

<table>
<thead>
<tr>
<th>Fecha Último Informe Trimestral:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Al día ( ) Atrasos ( )</td>
</tr>
</tbody>
</table>

### Certificación Annual

<table>
<thead>
<tr>
<th>Enviada: Sí ( ) No ( )</th>
</tr>
</thead>
</table>

### “Federal Certification and Assurances”

<table>
<thead>
<tr>
<th>Enviada: Sí ( ) No ( )</th>
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</table>

### Servicio de Transportación

<table>
<thead>
<tr>
<th>Aprobado</th>
</tr>
</thead>
</table>

### C: Información Monitórial
### Sección 5310

#### Monitoría Bipartia

<table>
<thead>
<tr>
<th>Nombre del Representante de la Entidad entrevistado y puesto:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>D: Estatus de la Póliza del seguro del vehículo</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fecha de vencimiento:</td>
</tr>
<tr>
<td>En vigor ( ) Vencida ( )</td>
</tr>
<tr>
<td>Asegurado “Full Cover” Sí ( ) No ( )</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Informe de Accidentes</th>
</tr>
</thead>
<tbody>
<tr>
<td>¿Ha ocurrido algún accidente? Sí ( ) No ( )</td>
</tr>
<tr>
<td>¿Se ha recobrado el importe de los daños? Sí ( ) No ( ) N/A ( )</td>
</tr>
<tr>
<td>¿La ACT fue debidamente informada? Sí ( ) No ( ) N/A ( )</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Determinar si la Entidad está completando los formularios e informes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Record de Viajes Diarios Sí ( ) No ( )</td>
</tr>
<tr>
<td>Record de Pasajeros Sí ( ) No ( )</td>
</tr>
<tr>
<td>Informe del Vehículo Sí ( ) No ( )</td>
</tr>
<tr>
<td>Informe Diario del Conductor Sí ( ) No ( )</td>
</tr>
<tr>
<td>Reparación al vehículo Sí ( ) No ( )</td>
</tr>
<tr>
<td>Informe Trimestral Sí ( ) No ( )</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Si la Entidad está utilizando el vehículo para el propósito que fue aprobado.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sí ( ) No ( )</td>
</tr>
<tr>
<td>Si contesta NO, determinar si la ACT ha sido debidamente informada:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Explique:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Plan de Mantenimiento y Servicio</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conforme a una revisión del Plan, Verificar si se está cumplimentando.</td>
</tr>
</tbody>
</table>

<p>| Sí ( ) No ( ) |</p>
<table>
<thead>
<tr>
<th>MANTENIMIENTO</th>
<th>Sí ( )  No ( )</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conforme a una inspección ocular, verificar si se está dando mantenimiento.</td>
<td></td>
</tr>
<tr>
<td>Comentarios</td>
<td></td>
</tr>
<tr>
<td>Elevador para sillas de ruedas</td>
<td>Sí ( )  No ( )</td>
</tr>
<tr>
<td>¿Se le da el mantenimiento, según las instrucciones del fabricante?</td>
<td></td>
</tr>
<tr>
<td>Comentarios</td>
<td></td>
</tr>
<tr>
<td>Si el elevador para sillas de ruedas o los aditamentos para asegurarla no funcionan. ¿Se mantuvieron adecuadamente los informes sobre reparación?</td>
<td>Sí ( )  No ( ) N/A ( )</td>
</tr>
<tr>
<td>Comentarios</td>
<td></td>
</tr>
<tr>
<td>CONDUCTOR</td>
<td>Sí ( )  No ( )</td>
</tr>
<tr>
<td>Mediante revisión de informes,</td>
<td></td>
</tr>
<tr>
<td>Determinar si el conductor está cumplimentando el Informe Diario del Conductor y Viajes Diarios.</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td><strong>Comentarios</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Mediante demostración, corroborar si el conductor es diestro en la operación del siguiente equipo:</strong></td>
<td></td>
</tr>
</tbody>
</table>
| Operación del Vehículo | Sí ( )  
No ( ) |
| Elevador para sillas de ruedas | Sí ( )  
No ( ) |
| Aditamentos de seguridad para la silla de ruedas | Sí ( )  
No ( ) |
| Operación de los sistemas de emergencia del vehículo | Sí ( )  
No ( ) |
| ¿El conductor anuncia las paradas? | Sí ( )  
No ( ) |
| ¿El personal ha recibido algún adiestramiento sobre seguridad, trato y comportamiento con los pasajeros? | Sí ( )  
No ( ) |
| ¿Qué Entidad ofreció el adiestramiento? (Corrobar quiénes fueron adiestrados, puestos y fechas.) |  |
| ¿Se permiten los perros guías en los vehículos? | Sí ( )  
No ( ) |
| ¿Se permite el uso de aditamentos tales como respiradores, oxígeno u otro equipo necesario para la condición del pasajero? | Sí ( )  
No ( ) |
| Política Pública de ADA en cuanto a las facilidades y servicio | Cumple ( )  
No cumple ( ) |
| **Derechos Civiles** |  |
| ¿Tiene la Entidad /Municipio carteles informando la política pública de no discriminación (Título VI-Código Federal de Derechos Civiles) en un lugar visible al público? | Sí ( )  
No ( ) |
| ¿Qué proceso utiliza la Entidad/ Municipio para atender quejas relacionadas a acciones discriminatorias, especialmente aquellas relacionadas a impedimentos o edad? | Cumple ( )  
No cumple ( ) |
| **Explique:** |  |
Sección 5310  Monitoría Bienual

<table>
<thead>
<tr>
<th>¿En los últimos tres años ha ocurrido algún caso o queja sobre el servicio ofrecido de transporte, discricmen, especialmente aquellos relacionados a impedimentos o edad?</th>
<th>Sí ( )  No ( )</th>
</tr>
</thead>
<tbody>
<tr>
<td>Si contesta Sí, explique brevemente en que consistió la querella y la acción tomada para resolver la misma.</td>
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</table>

Observaciones; Comentarios:

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

Firma del representante ACT
Appendix I

# DRIVER’S DAILY REPORT

<table>
<thead>
<tr>
<th>Date</th>
<th>Driver</th>
<th>Vehicle #</th>
<th>Mileage Fueled</th>
<th>Opening Mileage</th>
<th>Gals. Fuel</th>
<th>Qts. Oil</th>
<th>$</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Not</th>
<th>Ok</th>
<th>Fluid Levels/Leaks</th>
<th>Belts</th>
<th>Exhaust System</th>
<th>Air Compressor/Leaks</th>
<th>Batt. &amp; Elec. System</th>
<th>Gauges &amp; Warning Devices</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ] [ ]</td>
<td>[ ]</td>
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</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Steering</th>
<th>Wipers &amp; Washer</th>
<th>Horn(s)</th>
<th>Air Conditioner</th>
<th>Mirrors &amp; Windshields</th>
<th>Trans. Clutch &amp; Gear Shift</th>
<th>Service &amp; Parking Brakes</th>
<th>Signals &amp; Indicators</th>
<th>Lights &amp; Reflectors</th>
<th>Tires &amp; Wheel Assemblies</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ] [ ]</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Suspension</th>
<th>Fuel Tank</th>
<th>Doors &amp; Windows</th>
<th>Emergency Equip./Exits</th>
<th>Seats</th>
<th>Body</th>
<th>Special Access Related Features</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ] [ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ] [ ] Wheelchair Lift</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>W/L Tie Downs</th>
<th>Seat Belts</th>
<th>Lift Access Doors</th>
<th>Red-Lensed Flashing Lights</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ] [ ]</td>
<td>[ ]</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
</tbody>
</table>

**Remarks:**

---
Appendix I

This form is to be completed when the driver is ready to start the daily use of the vehicle.
Appendix I-1

DRIVER'S DAILY REPORT

<table>
<thead>
<tr>
<th>Date</th>
<th>Driver</th>
<th>Vehicle #</th>
<th>Mileage Fueled</th>
<th>Opening Mileage</th>
<th>Gals. Fuel</th>
<th>Qts. Oil</th>
<th>$</th>
</tr>
</thead>
</table>

Not Ok Ok

- [ ] Fluid Levels/Leaks
- [ ] Belts
- [ ] Exhaust System
- [ ] Air Compressor/Leaks
- [ ] Batt. & Elec. System
- [ ] Gauges & Warning Devices
- [ ] Steering
- [ ] Wipers & Washer
- [ ] Horn(s)
- [ ] Air Conditioner
- [ ] Mirrors & Windshields
- [ ] Trans. Clutch & Gear Shift
- [ ] Service & Parking Brakes
- [ ] Signals & Indicators
- [ ] Lights & Reflectors
- [ ] Tires & Wheel Assemblies
- [ ] Suspension
- [ ] Fuel Tank
- [ ] Doors & Windows
- [ ] Emergency Equip./Exits
- [ ] Seats
- [ ] Body

**Special Access Related Features**

- [ ] Wheelchair Lift
- [ ] W/L Tie Downs
- [ ] Seat Belts
- [ ] Lift Access Doors
- [ ] Red-Lensed Flashing Lights

Remarks:

________________________
________________________
________________________
PROGRAMA FEDERAL PARA SERVICIOS DE TRANSPORTE A PERSONAS ENVEJECIENTES Y/O CON IMPEDIMENTOS
SEGUN AUTORIZADO BAJO LA SECCION 5310 DE LA LEY FEDERAL DE TRANSPORTE COLECTIVO

RECORD DE PASAJEROS

1. FECHA ____________________ 2. VEHICULO NUM. ____________ 3. TABLILLA _________________

<table>
<thead>
<tr>
<th>DÍA</th>
<th>5. CLASIFICACIÓN DE PASAJEROS</th>
<th>6. PROPOSITO DEL VIAJE</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>A. ENVEJECIENTES</td>
<td>B. IMPEDIDOS</td>
</tr>
<tr>
<td>1</td>
<td>AMB.</td>
<td>NO AMB.</td>
</tr>
<tr>
<td>2</td>
<td>16</td>
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<td>3</td>
<td>17</td>
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<td>17</td>
<td>31</td>
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</tbody>
</table>

8. NOMBRE ENTIDAD ____________________________ 9. PERSONA ENCARGADA ____________________________
Programa Federal para Servicios de Transportación a Personas
Envejecientes y/o con Impedimentos
Sección 5310
 Administración Federal de Transporte Colectivo (FTA, por sus siglas en inglés)

Informe del Vehículo

1. Fecha: 2. Vehículo Núm.: 3. Tabilla:

<table>
<thead>
<tr>
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</table>

11. Sub- Total
12. Total
13 Observaciones
PROGRAMA FEDERAL PARA SERVICIOS DE TRANSPORTE A PERSONAS ENVEJECIENTES Y/O CON IMPEDIMENTOS
SEGÚN AUTORIZADO BAJO LA SECCIÓN 5310 DE LA LEY FEDERAL DE TRANSPORTE COLECTIVO

REPARACIONES AL VEHÍCULO

<table>
<thead>
<tr>
<th>1. FECHA</th>
<th>2. VEHÍCULO NUM.</th>
<th>3. TABLILLA</th>
<th>4. FECHA</th>
<th>5. MILLAJ.B</th>
<th>6. DESCRIPCIÓN</th>
<th>7. COSTO UNITARIO</th>
<th>8. COSTO TOTAL</th>
</tr>
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</table>
INSTRUCCIONES PARA COMPLETAR EL DAMIS POR INTERNET

Cuando tenga el número de ID y el “password”, debe entrar en el web: http://damis.dot.gov

- Marcar “Standard Log In”.
- Entrar el “User Name” y “Password”.
- Bajo “Data”:
  - “Enter or edit data”.
  - Verificar la información sobre el Municipio:
    - Llenar los items en blanco (ej. “E-mail”).
    - Si pertenece al Consocio: Llenar “Consortium/Third Party Administrator” como:
      - FirstLab
      - (800) 732-3784
- Bajo “COVERED EMPLOYEES”
  - Marcar todos lo que aplican e indicar el número de empleados por categoría.

- Bajo “DRUG TESTING DATA”:
  - Tiene que llenar una hoja por cada una de las categorías que tengan, aunque no tiene algunas personas en las categorías.
  - Marcar “Set blanks to zero”
  - Entrar (encima del cero) el número de pruebas que haya hecho por “type of test”. Los números en las columnas 2, 3, 9, 10, 11 y 12 deben sumar los de la 1.

- Bajo “ALCOHOL TESTING DATA”:
  - Tiene que llenar una hoja por cada una de las categorías aunque no tiene algunas personas en las categorías.
  - Marcar “Set blanks to zero”.
  - Entrar (encima del cero) el número de pruebas que haya hecho por “type of test”. Los números en las columnas 2, 3, 7 Y 8 deben sumar los de la 1.

- Bajo “WRAP UP”:
  - Tiene que firmar electrónicamente cuando completen todas las páginas. Bajo "Instructions", hacer una marca de cotejo, saldrá en verde si está completa.
  - Someter el informe. Los informes de:
    - Las áreas no-urbanizadas (rurales) deben ser enviadas a la ACT para su revisión y proceso al “Volpe Center/FTA”.
    - Las áreas urbanizadas deben ser enviadas directamente al “Volpe Center/FTA”.

Capítulo 6. Implantando el Programa de Pruebas de Drogas y Alcohol
Manual para Diseñar e Implantar el Programa de Alcohol y Drogas
preparado por la Oficina de Coordinación Federal de la
Autoridad de Carreteras y Transportación

Drug and Alcohol Testing MIS Report
COPIA DEL FORMULARIO DAMIS EN BLANCO

I. Employer:
Company Name:

Doing Business As (DBA) Name (if applicable):

Address:

Name of Certifying Official:
Signature:

Prepared by (if different):
Telephone (): Date Certified:

CFTA Name and Telephone (if applicable):

Check the DOT agency for which you are reporting MIS data; and complete the information on that same line as appropriate:

FMCSA – Motor Carrier: DOT #: Owner-operator (circle one) YES or NO. Exempt (Circle One) YES or NO

FAA – Aviation: Certificate # (if applicable): Plan / Registration # (if applicable):

RSPA – Pipeline: (Check) Gas Gathering, Gas Transmission, Gas Distribution, Transport Hazardous Liquids, Transport Carbon Dioxide,

FRA – Railroad: Total Number of observed/document Part 219 "Rule G" Observations for covered employees:

USCG – Maritime: Vessel ID# (USCG- or State-Issued): (If more than one vessel, list separately.)

FTA – Transit

II. Covered Employees: (A) Enter Total Number Safety-Sensitive Employees In All Employee Categories:

(B) Enter Total Number of Employee Categories:

(C) Enter Total Number of Employees In this Category:

III. Drug Testing Data:

<table>
<thead>
<tr>
<th>Type of Test</th>
<th>Total Number Of Tests</th>
<th>Total Number Of Positive Results</th>
<th>Verified Positive Results</th>
<th>Verified Positive Results - Positive For More Drugs</th>
<th>Positive For Marijuana</th>
<th>Positive For Cocaine</th>
<th>Positive For Fentanyl</th>
<th>Positive For Opiates</th>
<th>Positive For Amphetamines</th>
<th>Positive For PCP</th>
<th>Positive For Methadone</th>
<th>Positive For lSD</th>
<th>Positive For Sedatives</th>
<th>Positive For Hallucinogens</th>
<th>Positive For Benzodiazepines</th>
<th>Positive For Barbiturates</th>
<th>Positive For Medical</th>
<th>Positive For Non-Medical</th>
<th>Positive For Other</th>
<th>Positive For Alcohol</th>
<th>Positive For Medical</th>
<th>Positive For Non-Medical</th>
<th>Positive For Other</th>
<th>Positive For Alcohol</th>
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<tbody>
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IV. Alcohol Testing Data:

<table>
<thead>
<tr>
<th>Type of Test</th>
<th>Total Number Of Tests</th>
<th>Total Number Of Positive Results</th>
<th>Screened Tests With Results Below 0.02</th>
<th>Screened Tests With Results 0.02 or Greater</th>
<th>Number Of Confirmation Tests</th>
<th>Confirmation Tests With Results Below 0.02</th>
<th>Confirmation Tests With Results 0.02 or Greater</th>
<th>Refusal Results</th>
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</thead>
<tbody>
<tr>
<td>Pre-Employment</td>
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Capítulo 6. Implantando el Programa de Pruebas de Drogas y Alcohol
Annual Certification

Date

This is to certify that the vehicle(s) acquired for this entity, which was (were) financed in part with funds approved Project PR-16-__________ through federal program for transportation services for elderly and persons with disabilities pursuant to Section 5310 of the Federal Transit ACT of 1991, as amended:

1- Continue(s) to be used in accordance with the terms established as part of the agreement executed between this entity and the Puerto Rico Department of Transportation and Public Works, Puerto Rico Highway and Transportation Authority in relation to this project, and that

2- No part of the local contribution of the cost of the vehicle(s) has been refunded or reduced.

(Signed)
Authorized Representative

Vehicle(s) License Plate(s)

1- 
2- 
3- 
4- 