

2016

Grant Partner Manual



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1.0 INTRODUCTION

Welcome! The Colorado Department of Transportation (CDOT) Division of Transit and Rail (DTR) is pleased to have you as a partner in our efforts at promoting public mobility in the State of Colorado. This manual is your reference guide for all elements of your relationship with CDOT and provides you with general information on all of your areas of responsibility. By accepting state or federal funds, you enter into a partnership that obligates each of us to meet the requirements of the funding.

The role of CDOT is to support your efforts at providing public transit services and to ensure that you are in compliance with the regulations. It is our job to provide you with the tools, guidance, and support you need to be successful.

Our mission is to assist our grant partners with being successful in serving our mutual end customer: the passenger.

This grant partner manual is one of three sets of documents that form the basis of operations of the Division of Transit & Rail within the Colorado Department of Transportation. These documents are:

- State Management Plan (SMP)
- Grant Partner Manual (GPM)
- DTR Standard Operating Protocols (SOP)

The State Management Plan is the primary guidance document for the Division and is required by federal funding guidelines. The SMP outlines the policies under which DTR manages its transit funding. This includes both FTA funding as well as state transit programs.

This Grant Partner Manual is the reference guide for DTR grant partners and outlines DTR's expectations of you as well as your responsibilities as a grant partner.

The Standard Operating Protocols are internal guidance documents for DTR staff and provide guidance and direction for performing the work of the Division.

All three documents are linked by a common table of contents. This ensures that when a policy or procedure is changed, it can be tracked across all three documents easily and clearly. The primary document is the State Management Plan. In the event that a topic within the SMP is not related to either the GPM or the SOP, a different topic is used.

The following chart outlines the chapters in each document:

Section	State Management Plan	Grant Partner Manual	Standard Operating Protocols
01	Introduction	Introduction	Introduction
02	Definition of Terms	Definition of Terms	Definition of Terms
03	Transit Program Goals & Objectives	Transit Program Goals & Objectives	Administration
04	Planning	Planning	COTRAMS
05	Roles & Responsibilities	Roles & Responsibilities	Roles & Responsibilities
06	Transit Program Overview <ul style="list-style-type: none"> • 5310 • 5311 • 5311(f) • 5311(b)(3) • 5303 • 5304 • 5339 • 5309 • 5312 • FASTER 	Transit Program Overview <ul style="list-style-type: none"> • 5310 • 5311 • 5311(f) • 5311(b)(3) • 5303 • 5304 • 5339 • 5309 • 5312 • FASTER 	Transit Program Overview <ul style="list-style-type: none"> • 5310 • 5311 • 5311(f) • 5311(b)(3) • 5303 • 5304 • 5339 • 5309 • 5312 • FASTER
07	State Role in Program Administration	DTR Support Programs	Relationship/Account Management
08	Private Sector Participation	Communication	Communication
09	Annual Program Development & Project Approval	Annual Program Development & Project Approval	Project Management



10	Project Financial Management	Project Financial Management	Finance & Reimbursements
11	Program Management	Program Management	Program Management
12	Procurement	Procurement	Procurement
13	Asset Management	Asset Management	Asset Management
14	Construction	Compliance & Oversight	Compliance & Oversight
15	Required Federal Provisions	Templates	Reporting





2.0 DEFINITION OF TERMS

Adjusted Funding Request (AFR)	The amount determined by DTR staff to be a reasonable request for funding for each applicant under the specific funding program requested.
Administrative Expenses	Expenses related to the planning and/or administering of a local public transportation project and/or program.
Applicant	An organization which will potentially submit, or has submitted, an application for funding, but which has not yet been awarded a grant for the funding cycle under consideration.
Award	<p>There are two definitions for this term. The first refers to the point where a DTR grant partner has been notified that they will be receiving funding from CDOT for a specific project purpose. This notification is not a notice to proceed but a notification. A grant partner must have an executed grant agreement, contract, or purchase order to proceed with the project.</p> <p>The second refers to the notice by FTA of the availability of funds to CDOT which enables CDOT to move ahead with the drawdown of funds.</p>



Capital Expenses	Expenses directly related to the purchase of facilities or equipment used for public transportation purposes, including vehicles and related equipment. Capital expenses are limited to items that have a value greater than \$5,000 and a useful life of at least one year. The FTA allows for preventative maintenance to be considered a capital expense but CDOT has elected not to use this clause at this time.
CASTA	Colorado Association of State Transit Agencies
CCAM	The Federal Interagency Transportation Coordinating Council on Access and Mobility
Census Designated Place (CDP)	A densely settled concentration of population that is not legally incorporated as a political subdivision but is identifiable by a name assigned by the decennial U.S. Census.
COTRAMS	Colorado Transit & Rail Awards Management System – the software program utilized by CDOT to manage its transit and rail grants.
Cost Per Passenger Trip	The total operating expense (including administration and maintenance) divided by the total annual number of passengers.
Days	Unless otherwise noted, any reference to a span of time is in calendar days.



Designated Recipient (DR) also called Direct Recipient

A “recipient” is an entity that receives a grant of formula program funds directly from FTA. The “designated recipient” (DR) is the entity selected by the State’s chief executive officer, responsible local officials, and publicly owned operators of public transportation to “receive and apportion” the amounts made available by Congress and FTA.

Disadvantaged Business Enterprise (DBE)

A for-profit small business 51% owned and controlled by a socially and economically disadvantaged individual or individuals that has been certified by a member of the Colorado Unified Certification Program as meeting the criteria of 49 CFR Part 26. A list of all DBEs is provided at www.coloraddbe.org.

Drug and Alcohol Testing

FTA provision found at 49 CFR Part 655, and 49 CFR Part 40 that requires recipients of certain FTA funding to conduct procedures for detecting the use of drugs and alcohol by safety sensitive employees.

Facility

Facility means all or any portion of buildings, structures, sites, complexes, equipment, roads, walks, passageways, parking lots, or other real or personal property, including the site where the building, property, structure, or equipment is located.

Fair Market Value

The value of an asset determined by one of the following methods: a) sale of asset in a competitive manner (i.e. auction), b) review of local comparative sales such as from dealers, c) use of asset valuation tools such as Kelly Blue Book for vehicles, or proceeds from insurance for totaled vehicles



FAST Act	Fixing America's Surface Transportation Act – the federal transportation bill that was signed by President Obama on December 4, 2015.
FASTER	Funding Advancement for Surface Transportation and Economic Recovery Act - a bill that was passed by the Colorado State Legislature in 2009 to improve roadway safety, repair deteriorating bridges, and support and expand transit. The bill generates about \$200 million every year for state transportation projects across Colorado with \$15 million of that set aside for local transit projects (\$5 Million) and statewide projects (\$10 Million).
Federal Interest	The amount of fiduciary involvement in capital equipment, facilities, and real property purchased with federal funds that is retained by the federal government. DTR will consider there to be a federal interest in capital equipment until its fair market value is \$5,000 or less.
Grant Partner	An organization that has applied for, and been awarded, funds and has executed a grant agreement with the CDOT/DTR. FTA refers to grant partners as "subawardees."
In-Kind Contributions	Eligible property or services contributed to or by a grant partner and used for the purposes of the grant project without charge to the grant partner. An example of such would be the contribution of office space to a grant partner by another entity.



Interagency Advisory Committee (IAC)	Any one of the committees that evaluates and scores applications for FTA funding. Roles and responsibilities of the IAC are outlined in chapter 5, Roles & Responsibilities .
Intercity Bus Service (ICB)	Regularly scheduled bus service for the general public connecting two or more urban areas not in close proximity to each other over a fixed route with limited stops, making meaningful connections with scheduled intercity bus service to points that are more distant and providing the capacity for transporting baggage carried by passengers.
Large Urbanized Area	An urban area with a population exceeding 200,000.
Limited English Proficient (LEP) persons	Persons for whom English is not their primary language and who have a limited ability to read, write, speak, or understand English. It includes people who reported to the U.S. Census that they speak English less than very well, not well, or not at all.
MAP-21	Moving Ahead for Progress in the 21st Century Act - the funding and authorization bill to govern federal surface transportation spending that was signed by President Obama in July 2012.
Metropolitan Planning Organization (MPO)	An agency designated by law with the lead responsibility for developing transportation plans and programs within an urbanized area.



Mobility Management	A program that consists of short-range planning and management activities and projects for improving coordination among public transportation and other transportation service providers. It includes personnel and technology activities, and, for matching ratio purposes, is considered by FTA as a capital project.
Multi-Year Application	A grant application, which covers a two-year or longer period.
Non-Urbanized Area	A non-urbanized area (herein also referred to as a rural area) is any area with a population of less than 50,000. It can also be defined as an area not included in an urbanized area.
Operating Expenses	Expenses directly connected with the provision of services, including but not limited to: driver and dispatcher salaries and fringe benefits, maintenance costs, fuel, insurance, and licenses.
Operating Deficit	A calculation of the difference between operating expenses and operating revenues.
Operating Revenues	Revenues derived through the operation of a public transportation program, which includes fares, passes, rider donations, concessions, and advertising placed inside or outside a service vehicle. In the case of Section 5311(b)(3) RTAP funds, this may include revenue from conferences and trainings.
Passenger Trips Per Capita	A measure derived from the total number of boardings divided by the service area population.



Passenger Trips Per Service Hour	A measure derived from the total number of passenger trips divided by revenue hours of service.
Persons with Disabilities	Any person who (a) has a physical or mental impairment that substantially limits one or more major life activities, (b) has a record of such an impairment, or (c) is regarded as having such an impairment.
Program of Projects (POP)	The program of projects (POP) identifies the subawardees and projects for which the state is applying for financial assistance. The program of projects must show, for each project, a brief description of counties, or tribal needs served, total project cost, and the federal share. POP contents are specified in circulars 9040.1G (5311), 9070.1G (5310), and 5100.1 (5339).
Project	The services to be provided, or the capital to be procured by a grant partner using the federal or state funds provided as described in a grant agreement's Scope of Work in compliance with the FTA master agreement.
Public Transportation	Regular, continuing shared-ride surface transportation services that are open to the general public or open to a segment of the general public defined by age (older adults), disability, or low income; and does not include: intercity passenger rail transportation provided by an entity described in Chapter 243 (Amtrak) (or a successor to such entity); intercity bus service; charter bus service; school bus service; sightseeing service; courtesy shuttle service for patrons of one or more specific establishments; or intraterminal or intrafacility shuttle services.



Regional Transportation Plan (RTP)	A technically-based, twenty-year plan designed to meet the future mobility needs for a Transportation Planning Region (TPR), including, but not limited to, anticipated funding, priorities, and implementation plans pursuant to, but not limited to, 43-1-1103(1) and (2) C.R.S. 1991, as further described in 43-1-1103(6) C.R.S. 1991.
Regional Transit Plan	A planning document developed by stakeholders that is designed to address the transit planning needs for a Transportation Planning Region (TPR) in concert with the Regional Transportation Plan (see above) that specifies visions and implementation strategies for the provision of transit within that TPR.
Rural Transit Assistance Program (RTAP)	A sub-program within the Section 5311 program, which provides funding for training and technical assistance for rural transit operators.
SAFETEA-LU	Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users - the funding and authorization bill to govern federal surface transportation spending that was signed by President Bush in August 2005.
Service Area Population	The total non-urbanized population within the geographic areas where a Project is provided, herein limited to the population of incorporated areas and Census Designated Places.
Small Urbanized Area	An urbanized area with a population of 50,000 to 200,000.



State Administration	Expenses incurred and charged to an FTA grant by the state to administer the FTA grant in carrying out its responsibilities.
Statewide Transportation Plan (STP)	The twenty-year, comprehensive, intermodal state transportation plan, synthesized from the RTPs and adopted by the Colorado Transportation Commission (CTC) pursuant to the provisions of 43-1-1103(5), C.R.S. 1991, as further described in 43-1-1102(8) C.R.S.
Statewide Transit Plan	A planning document developed in concert with the Statewide Transportation Plan (see above) that specifies visions and implementation strategies for the provision of transit in Colorado. The plan is synthesized from the Regional Transit Plans.
Statewide Transportation Improvement Program (STIP)	A short-term programming document in which the state lists priority projects for which funds are being obligated, including projects from the TIPs from the MPOs.. The document is regularly updated to reflect additional priority projects that are added, revised or removed. Projects in the STIP must be consistent with the Statewide Transportation Plan (as defined above).
Subcontractor	A subcontractor works for a contractor on project activities. Subcontractors do not have a relationship with CDOT for the purposes of the project and are subject to oversight by the award recipient.

**TrAMS**

Transit Award Management System – the system by which FTA manages its grant awards. This system replaced TEAM in 2016 as FTA’s grant award and management system.

Transit Vehicle Manufacturer (TVM)

Any manufacturer whose primary business purpose is to manufacture vehicles specifically built for public mass transportation. Such vehicles include, but are not limited to: Buses, rail cars, trolleys, ferries, and vehicles manufactured specifically for paratransit purposes. Producers of vehicles that receive post-production alterations or retrofitting to be used for public transportation purposes (e.g., so-called cutaway vehicles, vans customized for service to people with disabilities) are also considered transit vehicle manufacturers. Businesses that manufacture, mass-produce, or distribute vehicles solely for personal use and for sale “off the lot” are not considered transit vehicle manufacturers.

Transportation Improvement Program (TIP)

A short-term programming document in which an MPO lists priority projects for which funds are being obligated. The document is regularly updated to reflect additional priority projects that are added, revised or removed, and it is incorporated into the STIP.



Transportation Planning Region (TPR)	A geographically contiguous area of the state, as defined by Section IV. – A. of the Rules and Regulations for the Statewide Transportation Planning Process and Transportation Planning Regions, and meeting some or all of the criteria for transportation commonality, and in which a regional transportation plan is required to be developed pursuant to the provisions of 43-1-1102 and 1103 C.R.S. 1991. A TPR consists of a defined set of counties.
Urbanized Area (UZA)	A contiguous metropolitan area with a population of 50,000 or more and meeting the urban density requirements of the U.S. Census Bureau.
Vehicle Overhaul	A series of efforts prior to the expiration of a vehicle's useful lifespan that 'refresh' the vehicle for an additional two - three years of operation. This process can include Overhaul of existing equipment including engines, transmissions, suspension, exhaust, heating/air conditioning, and cosmetic interior/exterior repairs/replacements. Overhauls are distinct from vehicle Rebuilds in that most componentry is overhauled but not replaced.
Vehicle Rebuild	Major mechanical overhaul, which would include all or many of the following replacement components: new engine, transmission, drive shaft, axle, differential, brakes, wheel bearing, fuel system, suspension system, steering system, electrical system, coolant system, exhaust system, and heating/air conditioning of a vehicle, which may include but not be limited to cosmetic body or interior work.





3.0 TRANSIT PROGRAM GOALS AND OBJECTIVES

Effective as of the current revision date, CDOT and DTR are responsible for managing and/or processing the following FTA funding programs:

- Section 5303 – Metropolitan Planning (Pass through to MPOs)
- Section 5304 – Statewide Planning
- Section 5310 – Enhanced Mobility for Seniors and Individuals with Disabilities
- Section 5311 – Rural Public Transportation
 - Section 5311(b)(3) – Rural Transportation Assistance Program
 - Section 5311(f) – Intercity Bus
- Section 5339 – Bus and Bus Facility
- Sections 5309/5312 – Specialized programs

DTR is also responsible for managing the State's FASTER (Funding Advancement for Surface Transportation and Economic Recovery) transit program.

- Local Pool as defined by CRS 43-4-811, and
- Statewide Pool as defined by CRS 43-4-206 (3)

PURPOSE, VISION & MISSION

The purpose of the Colorado Department of Transportation (CDOT) is to Provide Freedom, Connection and Experience through Travel.

CDOT's vision is: To enhance the quality of life and the environment of the citizens of Colorado by creating an integrated transportation system that focuses on safely moving people and goods by offering convenient linkages among modal choices.

CDOT's mission is: To provide the best multi-modal transportation system for Colorado that most effectively and safely moves people, goods, and information.



The Division of Transit & Rail strives to achieve this vision by working together with local and regional grant partners to develop, fund, and provide guidance to serve our mutual end customer: the passenger.

GOALS AND OBJECTIVES

To accomplish its mission, the Division of Transit & Rail will:

- Fund safe and efficient public transportation services throughout Colorado that meets the needs of our residents and tourists alike
- Preserve and maintain existing transportation services and infrastructure
- Facilitate the interconnectivity of our systems to provide seamless access from one end of the state to the other
- Increase communication, collaboration, and coordination with and among providers within the statewide transportation network
- Facilitate and support the creation of an interconnected system from transit systems (and systems) that will contribute to the economic vitality of the state, its regions, and its communities to reduce transportation costs for residents, businesses, and visitors
- Facilitate and support a transit system in which travelers feel safe and secure and in which transit facilities are protected
- Provide meaningful access to the national intercity bus network and support regional and interregional connections
- Support and foster the coordination of services across all modes of transportation from pedestrian and bicycle to human services and medical transportation
- Encourage new and innovative means of providing mobility to all Coloradans
- Develop a framework to implement a transit system that is sustainable and environmentally beneficial over time
- Create a transit system that will contribute to the economic vitality of the state, its regions, and its communities to reduce transportation costs for residents, businesses, and visitors



- Create a transit system in which travelers feel safe and secure and in which transit facilities are protected





4.0 PLANNING

Effective stewardship of federal and state monies requires DTR to work with its grant partners to make the most of the available funding. Staff in DTR routinely communicate and cooperate with other agencies within the state, including the Colorado Interagency Coordinating Council for Access and Mobility and United We Ride participants, whose clientele have transportation needs. Participating agencies include the Colorado Departments of Employment, Education, Local Affairs, Human Services, and Health Care Policy and Financing. Coordination efforts extend to federal agencies (including Health and Human Services, HUD and the Veterans Administration), to Colorado's transit providers, and to agencies that serve populations of interest, including welfare recipients, low-income persons, seniors, and persons with disabilities.

Coordination with agencies at the state and federal level is under the auspices of the Federal Interagency Transportation Coordinating Council on Access and Mobility (CCAM) and the United We Ride model. Coordination activities are oriented largely to statewide interests, policy development, and communication. The provision of human services in Colorado is conducted primarily at the local level. Human service transportation coordination efforts occur at the county or regional level and must be orchestrated and managed by interested local individuals, agencies, and organizations.

DTR staff regularly meet with human service transportation providers throughout the state to encourage and/or establish local coordinating entities, committees, authorities, etc., to build new, or expand existing communication links. DTR staff will support local coordination efforts by providing technical assistance, educational or instructional references, workshops, or other training, as local coordinating bodies may request directly from DTR.

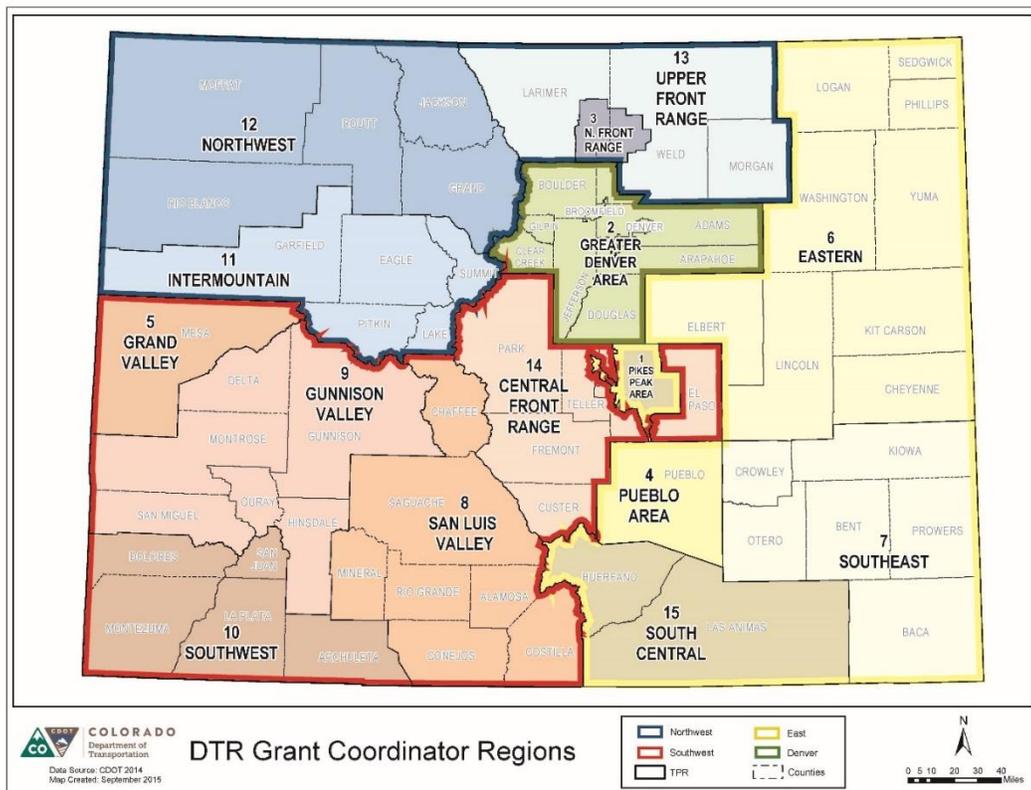
All transit agencies are required to participate in the local and regional planning process in order for their projects to be funded by CDOT. Participation in the Regional Transit Plans is crucial for a coordinated effort of providing transit in Colorado.

STATEWIDE PLANNING PROCESS

Per Chapter 53 of title 49, United States Code, Statewide transportation planning is required by federal and state regulations and provides a direction and framework for decision making at CDOT. The statewide planning process, with an extensive public involvement component, utilizes a broad spectrum of disciplines within DTR to develop innovative and informed approaches for decision making. These approaches support sound investment choices that promote responsible and effective use of taxpayer dollars.

TRANSPORTATION PLANNING REGIONS

For transportation planning purposes, Colorado is divided into 15 Transportation Planning Regions (TPR). Ten of these are rural and five are urban. The urban areas are designated as Metropolitan Planning Organizations (MPOs). Each planning region comprises municipalities and





counties within its given boundaries and is responsible for preparing a long range Regional Transportation Plan (RTP) to address the long-term transportation needs within that area. The RTPs form the basis for developing the Statewide Transportation Plan as well as the Regional and Statewide Transit Plans.

STATEWIDE TRANSPORTATION PLAN

The Statewide Transportation Plan represents the people of Colorado's vision for the transportation system. Prepared by CDOT's Division of Transportation Development (DTD), this 20-year multimodal plan integrates Transportation Commission policies with input from a variety of stakeholders. It also outlines the state's transportation needs from both an unconstrained vision and fiscally constrained perspective.

In addition, the Statewide Transportation Plan guides project selection and the development of the Statewide Transportation Improvement Program (STIP) that identifies projects for funding. After projects from the STIP are funded, they move to project development, subsequent permitting, and eventual construction.

Colorado's Statewide Transportation Plan may be accessed at:

<http://coloradotransportationmatters.com>

STATE & REGIONAL TRANSIT PLANS

In 2014, DTR completed a multi-year project to develop Regional Transit Plans that were rolled up into a Statewide Transportation plan. These plans focus on the regional planning process for mobility and include all stakeholders involved in the mobility of individuals in the region. Projects funded by CDOT must be referenced in some manner in the Regional Transit Plan.

Regional Transit Plans are based in the TPR and entities funded by CDOT are not only encouraged to participate in their TPR, they are required to participate in the Regional Transit Plans.

TIP/STIP

The purpose of this section is to provide background knowledge on Colorado Transportation Improvement Program (TIP) and Statewide Transportation Improvement Program (STIP) general history and rules, identify the roles and responsibilities among many stakeholders, such as Metropolitan Planning Organizations (MPOs), Colorado Department of Transportation Engineering Regions, Division of Transit and Rail (DTR), Division of Transportation Development (DTD), HQ Business Office and Office of Finance Management and Budget (OFMB).

TIP/STIP BACKGROUND

Federal Regulations require State Transportation Departments develop a Statewide Transportation Improvement Program (STIP). The STIP contains capital and non-capital transportation projects proposed for funding under Title 23 (highways) and Title 49 (transit) of the U.S. Code as well as all regionally significant transportation projects requiring an action by the Federal Highway Administration (FHWA) or the Federal Transit Administration (FTA). The STIP also contains transportation projects to be funded with state FASTER funds.

The STIP is the programming document that identifies the transportation projects CDOT intends to fund over a six year period. It is prepared in cooperation with local government entities throughout the State, including rural Transportation Planning Regions (TPRs) and Metropolitan Planning Organizations (MPOs). Projects included in the STIP must be consistent with strategies identified in the Statewide and Regional Transit Plans and with the corridor visions outlined in the long-range Regional and Statewide Transportation Plans.



Federal regulations require the five MPOs in Colorado to develop Transportation Improvement programs, or TIPs, which are similar to the STIP. TIP project selection at the MPO level follows a formal process adopted by each individual MPO. Each MPO uses its technical and policy committees and Boards as a forum for TIP project selection. People living and working within the boundaries of the MPO have the opportunity to be involved through this formal process in the MPOs. Federal regulations require that the TIPs be adopted into the STIP without modification. Though each MPO follows its own specific process for TIP development, the projects selected are still required to be included in the long-range Regional and Statewide Transportation Plans.

There are two types of projects included in the STIP – Regionally Significant and Pool projects. Regionally Significant projects are stand-alone projects that meet specific federal criteria or are deemed significant to the entire region. These projects are required to undergo more scrutiny if they are added, deleted or amended in the STIP.

STIP Pools are groups of projects that are generally smaller in scope. Money within a STIP Pool may be moved between projects much more easily which allows more flexibility in funding projects which are ready to move forward in the design and construction process. Money may also be placed on an “unassigned” placeholder for use as projects require funds.

The Colorado STIP uses the concept of pooling. Together with our planning partners, CDOT determined this provides more flexibility and less administrative effort, while still providing sufficient detail to make the STIP a useful and accountable public document. Examples of STIP pools include Surface Treatment, Bridge On and Off System, Transit and Hazard Elimination projects. While regionally significant projects remain as separate line items in the STIP, other projects are pooled under one STIP number. The projects within a STIP pool are displayed with a level of information commensurate to regionally significant projects. The advantage to the pooling concept is that funding is rolled up in the pool total, and within the first four years of the STIP, projects may be moved forward as they are ready, as long as the total cost for the number of projects in one fiscal year does not exceed the pool’s annual



total. STIP policy amendments are only required if the pool's annual amount changes due to additional funding distribution by the Transportation Commission, for an unforeseen budget shortfall, or if a project is being added or deleted from the pool.

Once the Draft STIP has been developed, OFMB verifies fiscal constraint. Fiscal constraint is the analysis of available funding and the total amount of transportation projects programmed in the STIP against that total. Fiscal constraint is determined by a combination of fiscal year, CDOT Region and funding program.

To account for fluctuations between what is reasonably expected through Resource Allocation forecasts and what may be received when analyzing an upcoming annual budget cycle, CDOT is implementing illustrative programs to include those projects that meet constraint with Resource Allocation, but are above projections for the upcoming fiscal year. In other words, if revenue projections for the annual budget fall below the expected revenues for the same fiscal year illustrated in Resource Allocation, the illustrative program will be used as a holding place for projects. If funding is then received, projects will move out of the illustrative program into the regular funding program.

After fiscal constraint is verified, OFMB recommends that the draft document is released by the Colorado Transportation Commission for public review and comment. The review period is conducted for a minimum of 30 days and includes a public hearing with the Commission. Any comments received during this period are incorporated, where appropriate, into the STIP prior to final adoption by the Commission. Once the STIP is adopted, it is forwarded to the Federal Highway Administration and the Federal Transit Administration (FHWA/FTA) for final approval. The STIP takes effect at the start of a fiscal year on July 1 upon adoption by the TC and approval by FHWA and FTA.

TRANSPORTATION COMMISSION APPROVAL

During a typical cycle, the Transportation Commission approves the Draft STIP for distribution at its February meeting. Public review and comment occurs



between February and April. All comments and concerns received must be responded to within one week of their receipt. All comments and responses are collated and summarized by the STIP Manager in OFMB. The Transportation Commission holds a public meeting in April allowing the public to provide comments.

Transportation Commission adoption of the Draft STIP usually occurs at its May meeting. At that meeting, OFMB provides a summary of major issues or comments received during the public review and comment period. Unless there are issues that require further discussion, the Transportation Commission adopts the Draft STIP. If there are issues which need further discussion, the Transportation Commission may choose to delay the adoption of the STIP until those issues have been resolved.

Once the STIP has been adopted by the Transportation Commission, it is forwarded to the Federal Highway (FHWA) and Federal Transit (FTA) Administrations for their approval, and goes into effect at the beginning of the State fiscal year on July 1.

AMENDING THE ADOPTED STIP

Once adopted and approved, the STIP may be amended as needed. CDOT has developed amendment guidelines to provide consistency across the CDOT Regions. There are three types of STIP amendments – Policy Amendments, Administrative Actions, and TIP Amendments. Each type of amendment has a different set of criteria and requirements. All amendments must meet fiscal constraint or they will not be approved. Likewise, any amendments must also align with the corridor goals and strategies set forth in the Statewide Transportation Plan and the Regional and Statewide Transit Plans. If they do not align, a plan amendment may be required prior to amending the STIP. CDOT Region Planners are required to work with their respective MPOs and TPRs to agree upon, and submit amendments to the TIPs and STIP.

POLICY AMENDMENTS

An amendment is considered a Policy Amendment whenever a project is added or deleted from the STIP, there is a scope change to a project, or whenever the change would result in a new air quality determination or environmental finding. Also, per CDOT guidelines, a policy amendment is required when adding or deleting projects to STIP project pools. The process for Policy Amendments includes a minimum 30 day public involvement period and must then be approved by the Transportation Commission and FHWA/FTA. The overall process for Policy Amendments can take up to 60 days to complete.

ADMINISTRATIVE ACTIONS

Administrative actions are typically minor changes to STIP projects that do not fall under any of the Policy Amendment requirements. An example of this is a change in the cost of materials, such as asphalt or steel. These actions do not require a public involvement period or approval by the Commission or FHWA/FTA and can be approved by OFMB staff. These changes are minor in nature and can be completed in one to two business day(s).

TIP AMENDMENTS

As with the development of their TIPs, MPOs must follow specific federal regulations to amend their TIPs. The MPOs must complete their TIP amendment and submit to CDOT prior to being amended into the STIP. Once adopted by the MPO, the Governor must approve the new TIP or any amendments made to the TIP. At present, the Governor has delegated authority to the CDOT Executive Director to approve TIP amendments (the Governor still approves new TIPs). Once the CDOT Executive Director has approved the TIP amendments, they are incorporated into the STIP as administrative actions. The timeline for processing TIP amendments varies with each MPO, but they may take more than 90 days to complete.

ROLES AND RESPONSIBILITIES

The following descriptions provide a high level overview of what each entity is responsible for in terms of getting a project into the STIP and budget:



FEDERAL AND STATE TRANSIT RELATED GRANT RECIPIENTS OR SUB-RECIPIENTS

For projects in MPO areas, local entities who receive transit funds from federal and state directly or indirectly (through CDOT) are responsible for initiating TIP requests for transit projects and working with that areas MPO to have transit projects entered into the MPO TIP for both Non-CDOT and CDOT transit projects.

MPOS

Upon receipt of the TIP requests, MPOs enter transit projects into that areas TIP by following the TIP policy and procedure set forth by each MPO.

CDOT REGIONS

Each of CDOT's five engineering regions are responsible for working with their respective Transportation Planning Regions (TPR) to make sure projects are included in a TIP in the five urban MPOs and in the STIP for the 10 rural TPRs. The urban area TIPs are included without modification into the STIP.

CDOT Region Planners are required to work with their respective MPOs and TPRs to agree upon, and submit amendments to the TIPs and enter transit project managed by regions into STIP.

CDOT Region Business managers submit requests to DTR, HQ Business Office and OFMB for FASTER transit fund transferring after region has STIPed projects.

DIVISION OF TRANSPORTATION DEVELOPMENT

DTD Regional liaisons review TIP amendments from the MPOs in their respective areas and provide information to the Business Office for (non-transit projects) and to DTR (for transit projects) to be STIPed. Current practice is the TIP amendment is printed out and given to the business office for both transit and non-transit. In the meantime, DTD calls out all transit projects for DTR to process.



DIVISION OF TRANSIT AND RAIL

DTR currently handles

- Submitting FASTER transit project STIP and Budget Requests to the HQ Business Office for FASTER Transit projects managed by DTR. STIP requests are handled through COTRAMS. Based on project information entered into COTRAMS, the project manager completes a Project STIP and Budget request form which is submitted to the HQ Business Office.
- Researching and confirming the FASTER transit fund transfer request submitted by regions for FASTER transit projects managed by regions.
- Submitting FTA transit project STIP request forms to the HQ Business Office for FTA transit projects managed by DTR.
- Submitting FTA transit project STIP request forms to HQ Business Office for FTA transit projects managed by local entities directly.

CDOT HQ BUSINESS OFFICE

The Business Office is responsible for entering transit projects requested by DTR into the STIP and budgeting the FASTER transit projects that will be managed by DTR.

HQ Business Office is also responsible for entering non-transit projects into STIP.

DIVISION OF ACCOUNTING AND FINANCE

The Office of Financial Management and Budget (OFMB) within the Division of Accounting and Finance is responsible for developing and amending the STIP, processing MPO TIP amendments for Governor approval (delegated to CDOT Executive Director), and verifying fiscal constraint.

The Project Priority Programming Process (4P) is used as a guide for the development of Colorado's STIP. This process is overseen by OFMB. OFMB works with the CDOT Region Planners who, in turn, work with their planning partners to establish a short-range, fiscally constrained, program of transportation projects. The OFMB STIP Manager approves STIP requests entered by the HQ Business Office as well as the Regional Business Offices.



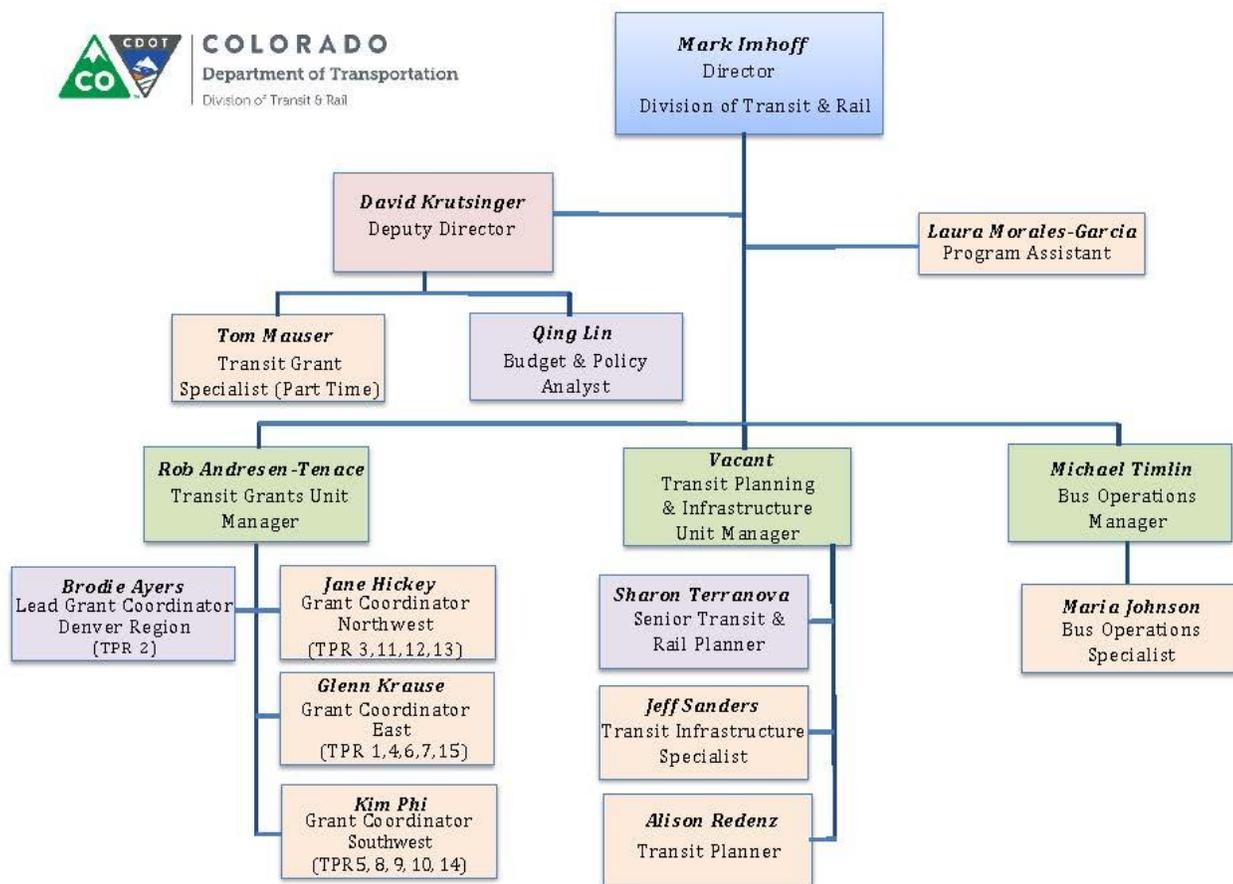
5.0 ROLES AND RESPONSIBILITIES

The Colorado Department of Transportation is the state agency given the responsibility for the transportation infrastructure within the State of Colorado. This includes the development and maintenance of state roads, bridges, and tunnels as well as supporting the movement of people and goods throughout the state. This includes all modes of transportation from bike and pedestrian paths to regional airports and public transit.

DTR is the designated recipient of FTA funds for the provision of rural public transit, the provision of enhanced services for seniors and persons with disabilities in the rural and small urban areas, as well as for the Denver metro region. DTR passes these funds through to local and regional entities to provide these services.

ORGANIZATION CHART

The Division of Transit & Rail consists of three operational units and an administrative group.



Rev: August 30, 2016

The Bus Operations Unit is responsible for the state’s first owned and operated regional bus service, Bustang, as well as the regional, interregional, and intercity bus programs (FTA 5311(f) program and FASTER operating). Their primary focus is on enabling Colorado residents to get from their home to another destination outside their local area, from a regional destination to a national one.



The Planning & Infrastructure Unit is responsible for all planning activities for the division and manages the pre-award activities associated with state and federal funds. They issue the calls for projects, manage the regional and statewide transit planning process, and oversee the statewide fleet and facility inventory as well as the state's Transit Asset Management system.

The Transit Grants Unit is the unit tasked with the primary oversight of all agencies receiving state or federal funds through CDOT. They are the primary contact for you, as a grant partner, to provide answers to your questions about your projects or general operational requirements.

CONTACT INFORMATION

Division Offices		4201 East Arkansas Avenue	303.757.9646
Division Director	Mark Imhoff	mark.imhoff@state.co.us	303.757.9007
Deputy Director	David Krutsinger	david.krutsinger@state.co.us	303.757.9008
Bus Operations	Michael Timlin	michael.timlin@state.co.us	303.757.9648
Planning & Infrastructure			303.757.9347
Grants Unit	Rob Andresen-Tenace	rob.andresen@state.co.us	303.757.9766

PROJECT MANAGERS

Project Managers are the individuals responsible for providing oversight to any grants or contracts issued to you utilizing state or federal funds. Each project may have a different project manager, depending on the type of project.

Projects funded with FTA Section 5311(f) Intercity bus funds or the FASTER Regional operating pool are managed by the Bus Operations Unit. Michael Timlin is the primary project manager.

Projects funded with FTA Section 5304 Planning funds are managed by the Planning & Infrastructure Unit. David Averill is the primary project manager.



Construction projects are usually managed by the CDOT engineering region staff. The specific project manager is then monitored by the grants coordinator assigned to the agency for compliance. The Division uses the Transportation Planning Regions (TPRs) as the means of organizing the state into support areas. These TPRs are then used to develop the grant coordinator support regions. There are currently four such regions:

METRO DENVER

This region consists of the eight counties within the Denver Regional Council of Governments (DRCOG). **Brodie Ayers** is the Grant Coordinator for this region and is available at 720.990.0095 or by email at brodie.ayers@state.co.us.

NORTHWEST

The Northwest region consists of four TPRs:

TPR Number	TPR Name
3	North Front Range (MPO)
11	Intermountain
12	Northwest
13	Upper Front Range

The grant coordinator for this region is **Jane Hickey** and she can be reached at 720.990.0147 or at jane.hickey@state.co.us.

EASTERN

The Eastern region consists of five TPRs:

TPR Number	TPR Name
1	Pikes Peak Area
4	Pueblo
6	Eastern
7	Southeast
15	South Central

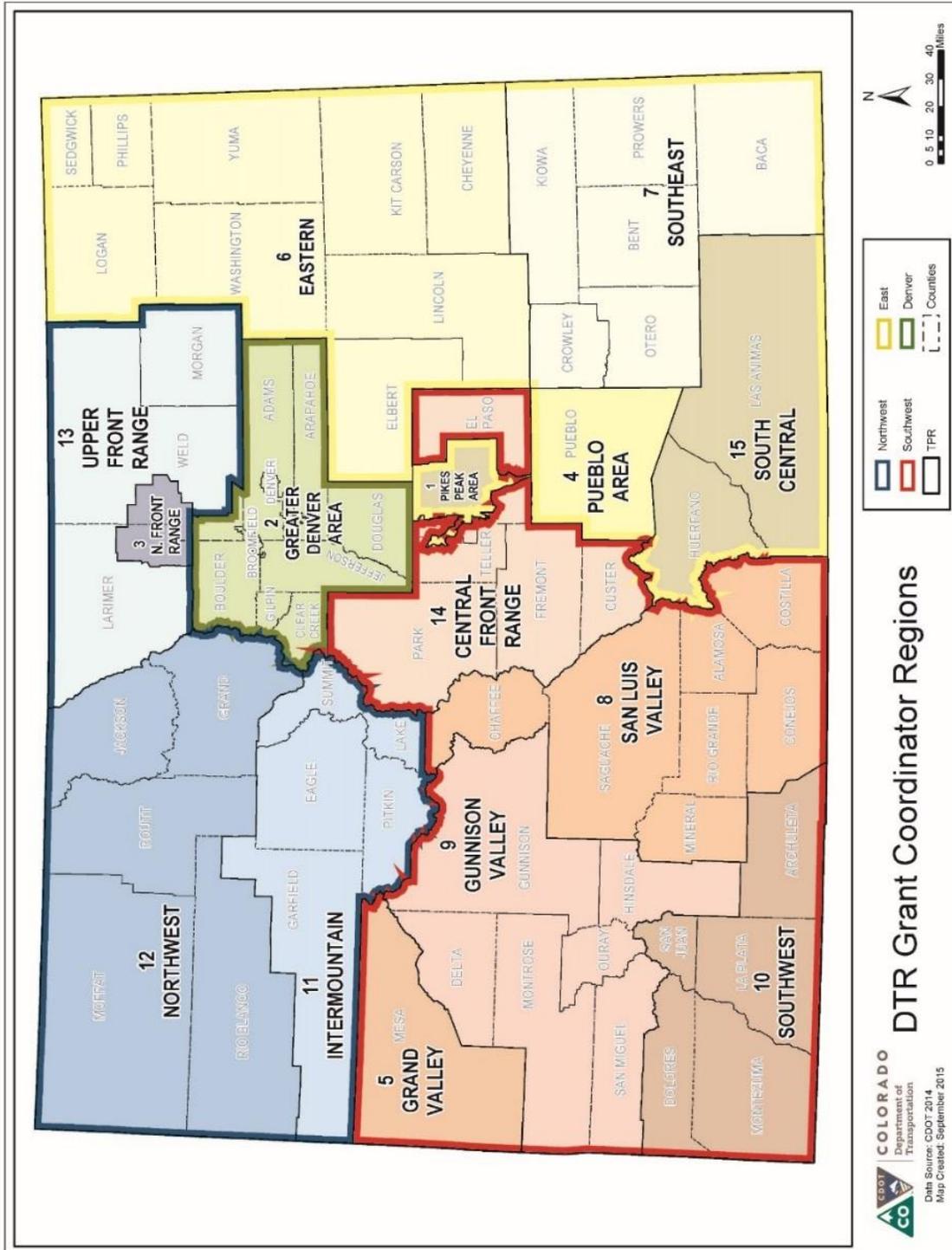
Glenn Krause is the assigned grant coordinator and can be reached at 720.990.0096 or by email at glenn.krause@state.co.us.

SOUTHWEST

The final region is the Southwest region which contains the following five TPRs:

TPR Number	TPR Name
5	Grand Valley
8	San Luis Valley
9	Gunnison Valley
10	Southwest
14	Central Front Range

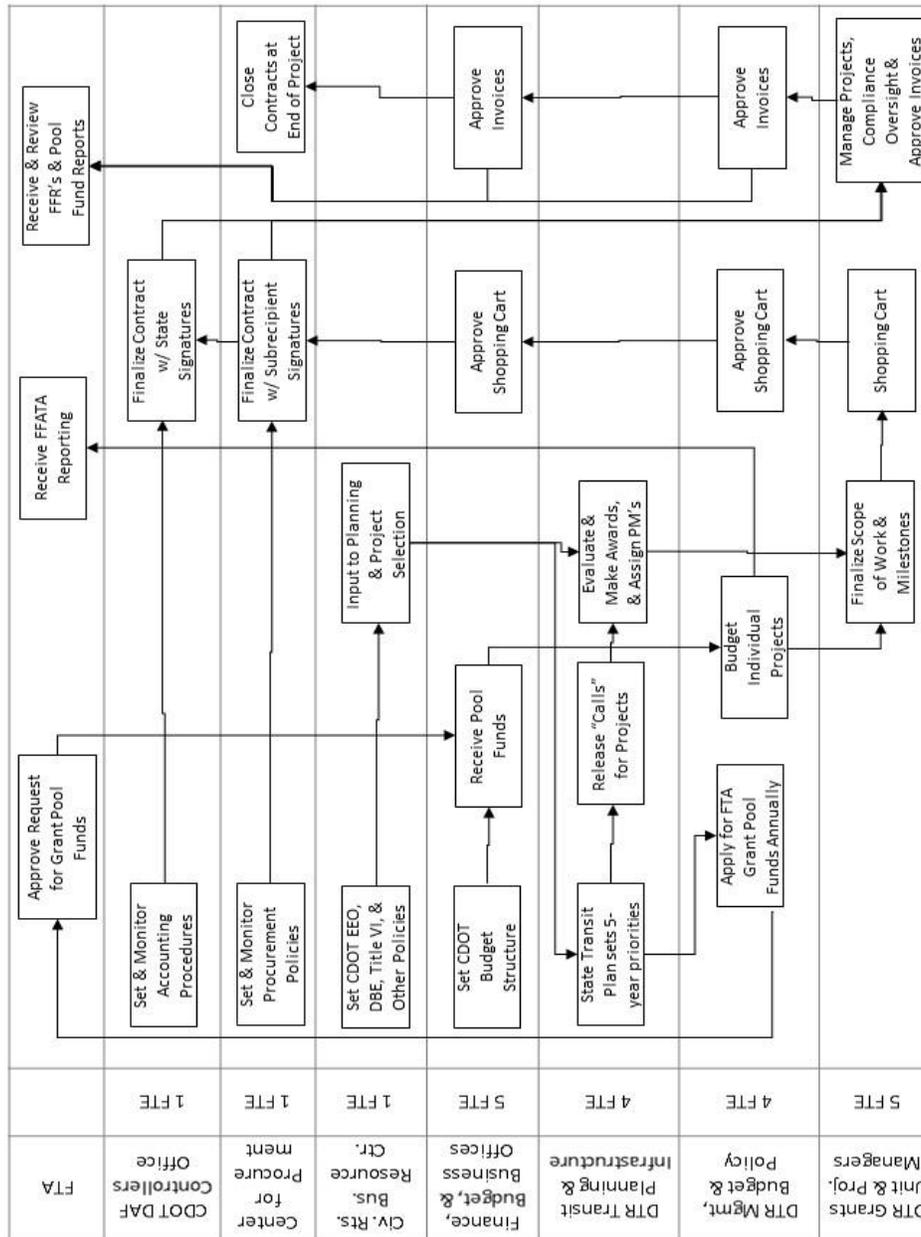
Kim Phi is the assigned grant coordinator and you can reach him at 720.990.0088 or at kim.phi@state.co.us.





FUNCTIONAL CHART

The following chart outlines the functional areas of responsibility within CDOT:



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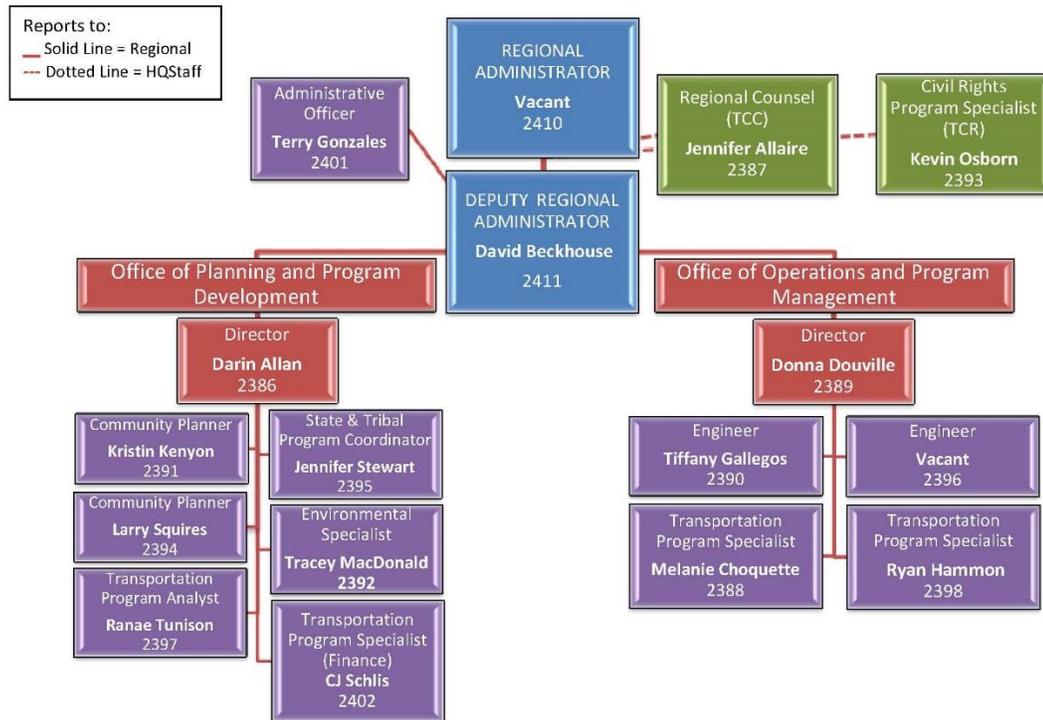


FTA REGION VIII

Ten FTA Regional Offices work with local transit officials in developing and processing grant applications. CDOT reports to FTA Region VIII (TRO-8) located in Denver, Colorado. Region VIII works with the following states: Colorado, Montana, North Dakota, South Dakota, Utah, and Wyoming.



U.S. Department of Transportation
Federal Transit Administration, Region VIII
Bryon Rogers Building
1961 Stout Street, Suite 13301
Denver, CO 80294-3007
Main Line: 303-362-2400
All extension phone numbers begin with: 303-362-XXXX



September 2016

6.0 OVERVIEW OF TRANSIT PROGRAMS

FTA SECTION 5310

The Section 5310 Program, *Enhanced Mobility for Seniors and Individuals with Disabilities*, provides funding for eligible agencies to meet the mobility needs of individuals aged 65 and over, and persons with disabilities. The funding is distributed to CDOT in three separate pots: Large Urbanized, Small Urbanized, and Rural.

CDOT is the designated recipient for the small urbanized and rural area pots. CDOT has also been designated as the recipient for the Large Urbanized Section 5310 program for the Denver/Aurora UZA. CDOT is not the designated recipient for the Fort Collins and Colorado Springs Large UZAs.

PROGRAM GOALS

The following goals were established for CDOT in its Section 5310 policy and programs for transportation serving seniors and individuals with disabilities.

- Provide quality transportation in Colorado to meet the needs of elderly persons, persons with disabilities, and other transportation disadvantaged persons, especially those without ready access to other means of transportation.
- Preserve and upgrade existing transportation services and facilities, and encourage new and innovative forms of transportation.
- Ensure that private sector transportation operators, minority organizations, disadvantaged business enterprises, and the public have the maximum feasible opportunity to participate in the design, provision and evaluation of public transportation services.
- Maximize the degree of coordination at both the state and local level in the provision of transportation services.
- Ensure a fair and equitable distribution of the Section 5310 funds across the state.



- Encourage services to be made widely available and not directly or indirectly limited to a particular client or population group.

ELIGIBLE RECIPIENTS

Historically, Section 5310 funding was primarily provided to private non-profit organizations for transportation services. Federal guidance was changed to allow public entities to be recipients of Section 5310 funding under two circumstances: when the public entity (1) is approved by the state to coordinate services for seniors and individuals with disabilities; or, (2) when the public entity certifies to the state that there are no non-profit organizations readily available in the area to provide the service. Because of its emphasis on coordination, DTR has emphasized usage of the first criterion, relying on its planning processes to allow communities to identify a lead, coordinating operator within their geographic area, whether it be a private or public entity. Where the capital operating funding is for the capitalized cost of contracted services, only a governmental agency is eligible for the funding.

Under MAP-21, large urbanized areas were given the opportunity to name the designated recipient for funding under Section 5310. In 2014, the Governor designated CDOT as the designated recipient of Section 5310 funds for the Denver/Aurora UZA after receiving a request for such designation by the Denver Regional Council of Governments, with the concurrence of the Regional Transportation District (RTD). In carrying out this responsibility, DTR will enlist the assistance of the Denver Regional Council of Governments (DRCOG) in the process of soliciting, evaluating and selecting projects.

In order to avoid duplication of effort and maintain a statewide standard, DTR will coordinate with the MPOs of the other two large UZAs by sharing information about grant requests, given that some projects eligible for Section 5310 funding are also eligible for state FASTER funding; this effort can help avoid duplicative awards and enable all parties to better address a fairer and equitable distribution of funds.



COORDINATION

Title 49 U.S.C. 5310, as amended by MAP-21, requires a recipient of Section 5310 funds to certify that projects selected for funding under this program are included in a locally developed, coordinated public transit-human service transportation plan and that the plan was developed and approved through a process that included participation by seniors; individuals with disabilities; representatives of public, private, nonprofit transportation and human service providers; and other members of the public. FTA strongly encourages coordination and consistency between the local coordinated public transit-human service transportation plan and metropolitan or statewide transportation planning processes, as described in 23 CFR part 450 and 49 CFR part 613 and previously described in section 4.6.1.

ELIGIBLE PROJECTS

Section 5310 provides funding for operating, capital and mobility management expenses. Up to 45% of the funding (after deducting funds for State Administration) may be awarded for operating expenses of local projects. Projects which were eligible under the former Section 5317 New Freedom program are also eligible under Section 5310. At present, operating assistance is primarily awarded to the Large Urbanized and Small Urbanized service areas, where Section 5311 operating funding is unavailable and where operating projects funded under the discontinued Section 5317 program have been "grandfathered" in with Section 5310 funds.

DTR currently awards the majority of its Section 5310 rural funding to capital projects. The need for operating funds far exceeds the limited amount available, so DTR believes it would be inefficient to make a large number of very small operating awards, particularly if made to existing Section 5311 grant partners who would somehow have to separate Section 5310 eligible services from their Section 5311 program. Furthermore, DTR is sensitive to the fact that once an award of operating funds is made, it is difficult to reduce or eliminate that award in the event that others submit worthy requests for the same funds.



Mobility management projects, which generally include travel training and brokerage programs, are considered capital projects when funded through the Section 5310 program, and therefore provide for an 80% federal share. However, they work more like operating expense grant agreements in that these projects normally have regular, ongoing expenses and salary costs, rather than the one-time purchase of equipment or construction of a facility.

The same is true of projects that provide capitalized contracted services. They reimburse contractors, other than the grant partner, for services provided with the contractor's equipment, but are considered capital projects with an 80% federal share.

These types of projects have monthly milestone reporting and invoicing requirements and include requirements for coordination. These projects are opened for application at the same time as the other operating programs.

DTR allows the use of Section 5310 funded vehicles in a coordinated setting with Section 5311 funded programs, so long as the service being provided is primarily for seniors and persons with disabilities, and provided that ridership by the general public is at an incidental level, which DTR would consider to be approximately no more than 20%.

You are responsible for ensuring compliance with this requirement and for tracking ridership data to support this assertion. DTR believes this allowance promotes greater coordination and consolidation. Furthermore, DTR seeks to award Section 5310 capital equipment to no more than one organization within a geographic area; exceptions can be made in more heavily populated communities where there are multiple providers that agree to work closely together under a coordination agreement. An exception can also be made when a provider requests a capital grant through a lead agency and the two parties agree to a formal coordination arrangement for that grant.

FTA SECTION 5311

The Section 5311 Rural Public Transportation program, including its sub programs, the Section 5311(b)(3) Rural Transportation Assistance Program and

the Section 5311(f) intercity bus program, are designed to provide administrative, operating, and capital assistance to transportation providers in rural areas.

PROGRAM GOALS

The federal goal of the Section 5311 program is to enhance the access of people in rural areas to health care, shopping, education, recreation, public services and employment by encouraging the development, maintenance, improvement, and use of public transportation services.

In order to ensure that Colorado achieves these goals, DTR has established the following policies for its programs for general public transportation in rural areas. They were used as a guide to develop this State Management Plan.

- Provide quality public transportation in Colorado to meet the needs of the general traveling public, especially those without ready access to other means of transportation.
- Provide for transit needs of special groups, particularly elderly persons, persons with disabilities, minority and low-income persons, and other transportation disadvantaged persons.
- Preserve and upgrade existing transportation services and facilities, and encourage new and innovative forms of transportation.
- Ensure that private sector transportation operators, minority organizations, disadvantaged business enterprises and the public have the maximum feasible opportunity to participate in the design, provision and evaluation of public transportation services.
- Maximize the degree of coordination at both the state and local level in the provision of transportation services.
- Ensure a fair and equitable distribution of the Section 5311 funds across the state.
- Ensure that services are made widely available and not directly or indirectly limited to a particular client or population group.



ELIGIBLE RECIPIENTS

Funding eligibility is open to any agency that provides general public transportation services within a recognized rural area. These services must operate at least three days per week for no less than 50 weeks per year to be eligible for funding

ELIGIBLE PROJECTS

CDOT/DTR will make funds available for capital, operating and administrative assistance to projects in non-urbanized areas. Operating project budgets will have priority over capital and administrative project budgets. The budget submitted by the grant partner through the application process will define the category and amount of funds the grant partner wishes to receive. Any variation will require prior approval DTR.

Eligible project costs under the Section 5311 Program will be determined in accordance with OMB Circular A-875, OMB Circular A-122, and 2 CFR PART 200 subparts A-F, FTA Circular 9040.1G and guidance issued by DTR. Project expenditures will be categorized as capital, operating, or administrative expenses.

FTA SECTION 5311(F)

States are required to commit a minimum of 15% of their Section 5311 funding to develop, support, and promote a network of intercity bus (ICB) transportation services, unless its governor submits a valid waiver demonstrating that intercity bus needs are being met in its state. Colorado submitted such waivers in the past, when insufficient or unacceptable ICB requests were submitted. Presently DTR is committing at the 15% or higher level and expects to do so into the future. These funds are awarded through a competitive process to companies and organizations who serve routes designated through the state Intercity and Regional Bus Plan.

CDOT also provides some limited operational funding assistance to regional bus service providers through its state FASTER program. These regional bus



services are expected to coordinate with the DTR-funded ICB projects as much as possible. The Bus Operations Unit of the DTR manages these programs.

In 2014, CDOT updated its Colorado Intercity and Regional Bus Network Plan. This update emphasized the development of regional services that meet a wide range of needs, including connections to the national intercity bus network and air, or rail, modes of travel, employment travel requiring regional travel, and essential travel needs from the far corners of Colorado.

In 2009, FASTER was passed which provided state funding for regional and interregional transit services. During that same timeframe, the DTR was established within CDOT to oversee and administer transit related projects.

There have been a number of changes to the intercity and regional bus network over the past few years, including the addition of FLEX regional bus service between Fort Collins and Longmont, and the elimination of the Front Range Express (FREX) regional bus service between Colorado Springs and Denver. In addition, Regional Bus Rapid Transit (BRT) on the Highway 82 corridor between Glenwood Springs and Aspen opened in September 2013.

The 2014 update focused on the next steps of refining a network plan for both intercity and regional bus routes and building a foundation to support financing and implementation of these services. The plan must have:

- Identified goals for the development of the intercity and regional bus networks
- Identified station and connectivity needs
- Defined preferred networks for intercity and regional bus services
- Identified a phased implementation plan for the intercity and regional bus networks
- Identified policy, performance, and financing issues associated with implementing the preferred networks

There is some overlap between the terms intercity bus and regional bus, and their definitions have changed over time. Thirty years ago, Greyhound and other carriers operated a comprehensive network of intercity services, but



today they focus only on connecting key cities. Regional services have been developed to provide connections that are no longer provided by private intercity carriers. The two types of bus services are defined below:

Intercity Bus Service is regularly scheduled bus service that connects two or more urban areas and serves passengers traveling long distances. It serves the general public, can transport passengers' baggage, and makes meaningful connections with national intercity bus service to points that are more distant. Intercity bus generally operates with only a few trips each day, but usually operates every day. Greyhound is a major provider of intercity services.

Regional Bus Service also crosses jurisdictional lines, but may operate within rural regions or connect to an urban area. Regional services are generally 20 - 60 miles in length. Regional services are often geared around certain markets (e.g., workers or airport shuttles) and operate on schedules geared to these markets. Regional services may also be designed to serve people who need to travel long distances to access government services, medical trips, or other destinations. Some regional services operate only one to two trips each day, while others have robust schedules.

Regional services in Colorado include many routes operated by RTD connecting suburban communities to the Denver Central Business District (CBD), services operated to resort communities, and services providing access to medical and other services.

BUSTANG

In 2015, the Division of Transit & Rail of the Colorado Department of Transportation inaugurated urban corridor commuter and regional service on I-70 called Bustang. This service filled the gap opened when the Front Range Express (FREX) service operated by the City of Colorado Springs was shut down by the city and it provided needed commuter service from Fort Collins and regional service from Glenwood Springs into Denver.

Operating out of Denver's Union Station, these three routes serve needs that are difficult for any single transit agency to fill, largely because of the



jurisdictional boundary issues inherent in the distances covered. The North and South lines are designated as commuter routes although there are runs during the midday period and currently a special RamsRoute that operates Friday and Sunday afternoons.

The West route is designated as an “essential services” route allowing individuals to take the morning bus into Denver, get their medical appointments, shopping, and other errands done, and return home that afternoon. The route makes meaningful connections with local and regional bus service in Glenwood Springs, Vail, and Frisco allowing passengers to access most of the mountain corridor communities via transit.

Bustang is funded by \$3 million from the FASTER program with capital support from FASTER and Senate bill 228 and makes meaningful connections to local and regional services. Bustang does not use any existing FTA 5311(f) funds which continue to be provided to grant partners under a competitive program.

PROGRAM GOALS

Legacy intercity Bus service is a vital link between otherwise isolated communities and the rest of the nation. The main objectives are to:

- Support the connection between nonurbanized areas and the larger regional or national system
- Support Services to meet the intercity travel needs of residents in nonurbanized areas
- Support the infrastructure of the legacy intercity bus network through planning and marketing assistance and capital investments in facilities.

Collaboration with the legacy intercity carriers through Colorado is imperative to meet the intercity travel needs of Colorado rural residents. Many of the intercity routes, through Colorado and the western United States, operate on a daily basis - with a few exceptions. Some carriers have very infrequent (usually no more than two round-trip routes each day) and serve Colorado at

inconvenient times. Many routes operate in the middle of the night, not meeting essential travel needs for rural residents to the regional urban areas to access services for such things as medical appointments, shopping, etc.

In 2018, Colorado hopes to transition its Section 5311(f) program into a coordinated, meaningful program that will provide rural residents with a more convenient, economical, and coordinated transit choices.

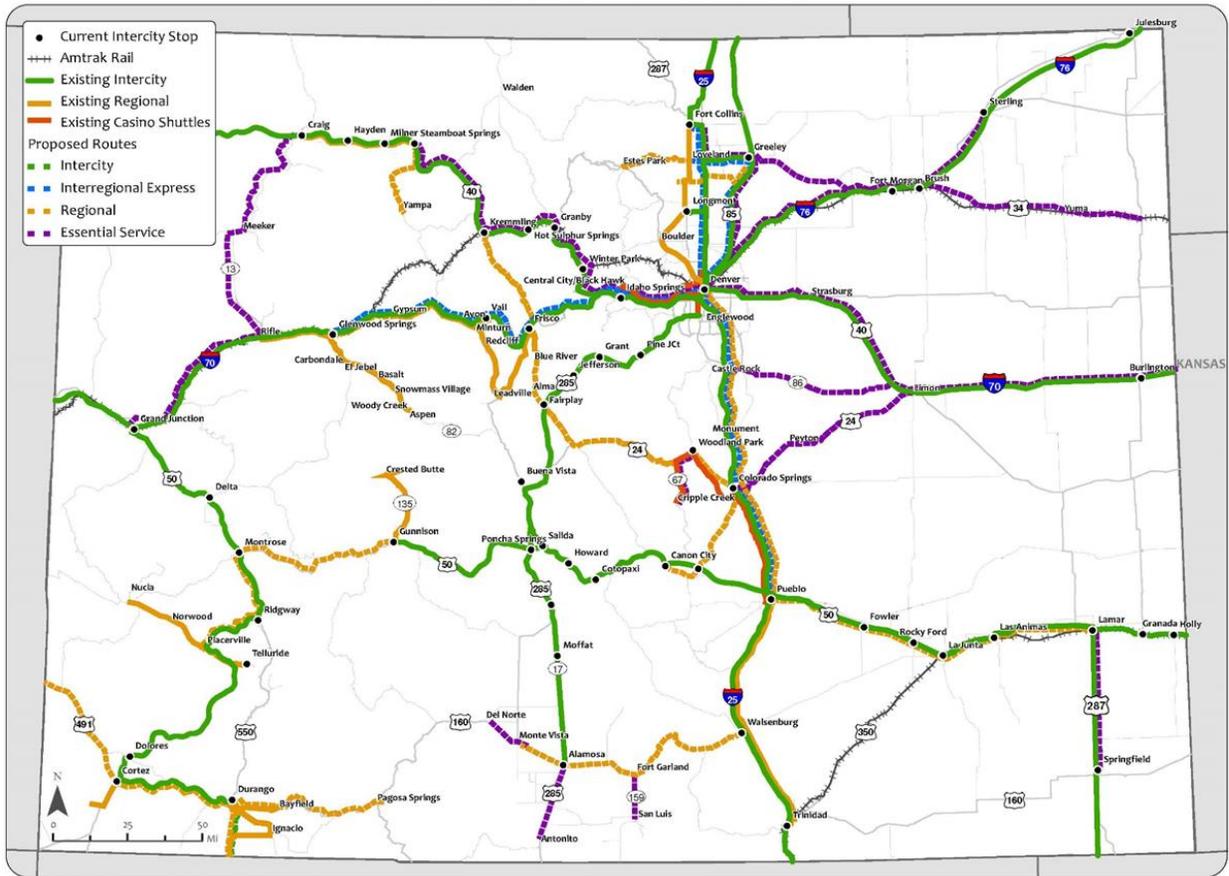
Program goals are outlined in the Colorado Intercity and Regional Bus Network Plan. More information about CDOT's Intercity and Region Bus Network, including schedules, may be found at:

<https://www.codot.gov/projects/intercityregionalbusnetworkstudy/intercity-and-regional-bus-network-plan>

Here is a map of Colorado's Intercity Bus Service – Existing and Proposed Routes:



Existing and Proposed Statewide Routes



Data sources: ESRI Census 2010 base map files, ACS 2007-2011, Census 2010, and provider bus schedules as of Jan. 2013.



Colorado Department of Transportation Division of Transit and Rail

March 13, 2014

ELIGIBLE RECIPIENTS

Eligible recipients include all public, nonprofit, and private for-profit carriers that possess Federal Motor Carrier Safety Administration (FMCSA) operating authority and maintain proper liability insurance. Private for-profit carriers must maintain a \$5,000,000 automobile liability policy, per occurrence, regardless of vehicle size. Public and nonprofits must maintain minimum state mandated coverage. Insurance pools are not accepted by FMCSA.



For-profit recipients must maintain an interline agreement with the legacy national intercity bus carriers via the National Bus Traffic Association (NBTA-intercity industry bus industry ticket clearinghouse). Nonprofit and public transit entities have the option of joining forces as a “sponsored” member with a “legacy” national intercity carrier such as Greyhound Lines, Inc. While any recipient’s services may operate solely within the state of Colorado, connecting with interstate carriers and serving interstate passengers qualifies these recipients as interstate carriers, requiring them to have FMCSA operating authority.

Note: Carriers such as Burlington Trailways, MegaBus, BoltBus, Los Angeles – El Paso Limo, and Los Paisanos, to name a few, do not belong to the NBTA. Providers that operate from street corners are not considered legacy carriers.

ELIGIBLE PROJECTS

Eligible operating projects must include a rural connection to the legacy national intercity bus network. The grant partner’s service must operate a minimum of five (5) days per week. Projects could be eligible for reimbursements of up to 50% of the grant partner’s net operating deficit.

Some legacy intercity carriers, such as Greyhound Lines, can offer some unsubsidized revenue miles to CDOT, as in-kind match, if the service meets a seven (7) day a week operating requirement, and meets a rural “meaningful” connection criteria of no more than 2½ to 3-hour connecting time, along with some marketing requirements. The result for the grant partner could be a reimbursement of greater than 50% of its net deficit by CDOT, up to a maximum 0% net deficit.

RTAP PROGRAM (5311(B)(3))

CDOT is responsible for providing technical assistance, support, and training to its rural providers through the Rural Transportation Assistance Program (RTAP). It publishes a Request for Proposals every five (5) years to identify a company or organization to assist CDOT with this program.

The goal of the RTAP program is to:

- Promote the safe and effective delivery of public transportation in rural areas and to make more efficient use of public and private resources
- Foster the development of state and local capacity for addressing the training and technical assistance needs of the rural transportation community
- Improve the quality of information and technical assistance available through the development of training, technology, and technical assistance resource materials
- Facilitate peer-to-peer self-help through the development of local networks of transit professionals
- Support the coordination of public, private, specialized, and human service transportation services
- Build a national database on the rural segment of the public transportation industry

To achieve these goals, CDOT provides the following:

- A statewide transit resources library, housed at the Colorado Association of Transit Agencies (CASTA)
- Training opportunities by providing regional and statewide training courses, including at the CASTA Spring and Fall conferences
- Scholarship opportunities for rural providers to attend in- and out-of-state training opportunities
- Peer-to-peer networking opportunities for sharing best practices, developing mentoring opportunities, and encourage regional sharing of resources
- A statewide transit & transportation resource directory to encourage and facilitate networking opportunities

To assist in ensuring that these efforts meet the needs of its rural transit providers, CDOT has established an RTAP Committee, composed of rural area members, which meets at least four (4) times per year to provide guidance on training topics, discuss issues of importance to rural providers, and maintain input on policy decisions relevant to the FTA 5311 program.

The RTAP contractor is tasked with providing regular reports on the status of the program. These reports consists of:



- Lists of trainings provided during the quarter including topics and attendance
- Scholarships provided to grant partners
- Meetings held/attended related to rural transportation
- Other activities that impact RTAP

The contractor shall deliver the updates to the resource directory annually

FTA SECTION 5304

CDOT is the designated agency responsible for managing the federal Section 5304 program for Statewide Transportation Planning and Technical Assistance. DTR is dedicated to providing assistance to agencies for planning activities that address the following goals:

- Support the economic vitality of the region, especially by enabling global competitiveness, productivity, and efficiency
- Increase the safety of the transportation system for motorized and non-motorized users
- Increase the security of the transportation system for motorized and non-motorized users
- Protect and enhance the environment, promote energy conservation, improve the quality of life, and promote consistency between transportation improvements and state and local planned growth and economic development patterns
- Enhance the integration and connectivity of the transportation system across and between modes
- Promote efficient system management and operation
- Emphasize the preservation of the existing transportation system.

Requests for funding under this program are evaluated by CDOT/DTR based on the Statewide Transit Plan and the applicability of the proposed activity.

Colorado's Rural Transportation Planning Regions (TPRs) are listed below:



[Central Front Range \(CFR\)](#) - administered by Upper Arkansas Area Council of Governments (UAACOG)

Eastern (EA)

[Gunnison Valley \(GV\)](#) - administered by Region 10 League for Economic Assistance and Planning

Intermountain (IM)

Northwest (NW)

San Luis Valley (SLV)

[South Central \(SC\)](#) - administered by South Central Council of Governments (SCCOG)

[Southeast \(SE\)](#) - administered by Southeast Colorado Enterprise Development (SECED)

[Southwest \(SW\)](#) - administered by the Region 9 Economic Development District of Southwest Colorado

Upper Front Range (UFR)

FTA SECTION 5339

The purpose of the Section 5339 program is to provide capital funding to replace, rehabilitate, and purchase buses and related equipment, and to construct bus-related facilities.

This program replaces the former Section 5309 - Bus and Bus Facilities program under MAP-21.

Section 5339 funds are eligible to be transferred by CDOT to supplement urban and rural formula grant programs (Section 5307 and Section 5311, respectively).

ELIGIBLE RECIPIENTS



Eligible recipients of Section 5339 funds include designated recipients and states that operate or allocate funding to fixed-route bus operators.

Grant partners that are public agencies, or private nonprofit organizations engaged in public transportation; including those providing services open to a segment of the general public, as defined by age, disability, or low income, are also eligible recipients of Section 5339 funding.

ELIGIBLE PROJECTS

Section 5339 funds may be used to subsidize capital projects to replace, rehabilitate and purchase buses, vans, and related equipment, and to construct bus-related facilities. These projects may include:

- 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
- Accessory and miscellaneous equipment such as:
 - mobile radio units
 - supervisory vehicles

- fare boxes
- computers
- shop and garage equipment
- Clean Fuels projects
- Introduction of new technology; Examples of transit-related ITS projects include:
 - real-time bus arrival information available to passengers through electronic displays at bus stops
 - automatic vehicle locators
 - automated passenger counters
 - vehicle component monitoring (diagnostics)
 - advanced fare payment methods
 - computer-aided dispatching and real-time ridesharing
 - automated information for travelers using more than one mode of transportation
- Costs associated with environmental compliance
- Design and art in transit.
- Leasing of capital assets
- Capital cost of contracting

NOTE: Planning activities, preventive maintenance activities (other than bus overhauls), and mobility management activities are not eligible under the section 5339 Program.

FTA SECTION 5312

The purpose of Section 5312 funding is to support research activities that improve the safety, reliability, efficiency, and sustainability of public transportation by investing in the development, testing, and deployment of innovative technologies, materials, and processes; carry out related endeavors; and to support the demonstration and deployment of low-emission and no-emission vehicles to promote clean energy and improve air quality.



ELIGIBLE PROJECTS

Eligible projects fall under the following categories:

Research; Public transportation research supporting the development and deployment of innovative ideas, practices and approaches that improve public transportation. These focus areas could include research on performance management, capital and operating efficiencies, alternative fuels, safety improvements, energy efficiency, data and communication systems, and other topics that advance the interests of public transportation.

Innovation and Development: Projects that seek to improve public transportation systems nationwide by developing, testing, and evaluating technologies, materials, and processes that may provide more efficient and effective delivery of public transportation services.

Demonstration, Deployment and Evaluation; Activities that promote the early deployment and demonstration of innovation in public transportation that have broad applicability to the transit industry. Project evaluation is required within two years of award. This activity also includes a Low or No Emission Vehicle Deployment program that includes eligibility for acquiring or leasing low- or no-emissions vehicles, constructing or leasing facilities and equipment, and rehabilitating or improving existing public transportation facilities to accommodate low- or no-emission vehicles.

STATE FASTER PROGRAM

The state's FASTER (Funding Advancement for Surface Transportation & Economic Recovery) statute allocates \$15 million per year to public transit projects. \$5 million is allocated to a "Local Pool," which is intended to fund local programs. From this pool, Fort Collins and Colorado Springs are allocated \$0.9 million in funds for capital projects, at \$0.2 million and \$0.7 million, respectively, based on being large urbanized areas that also receive an allocation of FTA Section 5339 and 5307 funds directly. The remaining \$4.1 million from the Local Pool is made available for competitive capital projects of a local nature throughout the remainder of the state.

The remaining \$10 million is allocated to a “Statewide Pool” and dedicated to projects with a statewide or regional focus. The funds are suballocated into a variety of subprograms, as follows:

- Approximately \$1.0 million for DTR administration, which is used for administration of the FASTER grants, planning, match for federal grants, and technical assistance programs; the amount used for DTR administration may vary slightly, depending on need in any given year
- \$3.0 million for operating, administrative or capital expenses of CDOT’s Interregional Express (IX) bus service, dba Bustang
- \$3.0 million for RTD for capital projects, based on being a large urbanized area. Up to \$1.0 million for Regional/Interregional bus services on a competitive basis anywhere in the state; if the full amount is not awarded to projects, the remainder is made available in the statewide competitive capital pool that year
- \$2.0 million for a statewide competitive capital pool

Funding is made available on July 1 of each year (The first day of Colorado’s fiscal year). Funding decisions for the Local and Statewide competitive capital pools are made during the annual consolidated capital call for projects each fall. (See Appendix C – Sample Call for Capital Projects)

When projects are selected for funding, the source of the funding is also determined by DTR, whether it be FTA or FASTER. When the best fit for funding is the FASTER program, the grant partner is notified and funding is made available in the following state fiscal year.

ELIGIBLE PROJECTS

FASTER and FTA funding may be used for any items defined as capital expenses by the Federal Transit Administration, including:

- Rolling stock (buses, vans, train cars, gondola cabins)
- Transit stations, transfer facilities, bus storage and/or maintenance facilities
- Multimodal facilities; i.e., facilities that accommodate some combination of services of multi-regional or statewide significance



- Park-and-ride facility construction or improvements
- Technology improvements that enable enhanced transit services in high priority corridors, including signal prioritization and ITS
- Technology improvements that significantly improve the coordination of human services transportation by means of mobility management tools
- HOV, HOT, queue jump, and bus pull-out lanes, Bus Rapid Transit projects, and bus lanes
- Bike racks, lockers and bike parking at multimodal stations
- Enhanced modal connections, including but not limited to trails, sidewalks and bike lanes leading to major transit stations, provided they have a transit connection and enhance transit ridership

Planning projects, transit technical assistance, service planning, research projects and special studies; however, no more than 10% of the total available FASTER funding will be made available for such purposes, because planning funds are available through FTA Section 5303 or 5307 (in urbanized areas) or Section 5304 funding (rural areas).

SENATE BILL 228

Funding made available through Senate bill 228 has been designated by the Transportation Commission for use exclusively by CDOT for projects of statewide significance. Local entities are not eligible for these funds. DTR will be using these funds for the capital needs of the Bustang and rural/regional network, park-n-rides managed by CDOT, and other capital programs identified in the 228 plan. All projects have been reviewed by the Transportation and Intermodal Committee of the Transportation Commission.

OTHER FUNDING PROGRAMS

From time to time, funding may become available, either from the FTA or through state funding sources, to target specific transit needs. It is the goal of DTR to ensure that any funding made available through this mechanism be used to further the vision embodied by the Statewide Transit Plan and the Statewide Transportation Plan. These projects will generally be administered following the timeline and selection criteria established by the particular funding source and program.



7.0 DIVISION OF TRANSIT & RAIL SUPPORT PROGRAMS

The Division of Transit & Rail provides a number of support programs to its grant partners. These programs are available to you by contacting your grant coordinator.

DRUG & ALCOHOL

All recipients of FTA 5311 funding are required to operate and maintain a Drug & Alcohol Testing Program for their safety sensitive employees. This program must meet the requirements of 49 CFR Parts 40 and 655.

FTA's regulation requires each grant partner to establish and implement a substance abuse prevention program consisting primarily of a testing program but with elements requiring training, educating, and evaluating safety-sensitive employees. The regulation requires the development of a detailed policy statement that must be distributed to all safety-sensitive employees and employee organizations. In addition, 49 CFR part 655 Subpart D establishes prohibited alcohol concentration levels and behavior, and employers are directed to take specific action on the basis of the level of alcohol concentration.

To assist with compliance, DTR contracts with a consultant to provide three specific functions:

1. Training
2. Compliance monitoring
3. Technical Assistance

Training is provided at both the Spring and Fall CASTA conferences and centers around determining reasonable suspicion for supervisors, training employees on D&A programs, and best practices for D&A programs. In addition, the consultant reports annually on the results of the annual Drug & Alcohol Management Information Systems (DAMIS) report which outlines trends in positive tests in Colorado.

Grant Partners are required to report their testing results to DAMIS in January and February for the prior year. More information is available in the Drug & Alcohol section of this manual.

COORDINATION/LOCAL & REGIONAL COORDINATING COUNCILS

Coordination is required in order to ensure that the funding available for public transit in Colorado is utilized to its maximum potential. With the balkanization of funding at the state and federal level, transportation programs are often limited to working under the programs with which they are most familiar while other funding is either used inefficiently or ineffectively. Coordination allows transportation providers to work together to serve the community, sharing information, resources, and forging a unified vision of service to the region.

Coordination may take several forms from ad hoc committees to organizations dedicated to directly coordinating services in a region. Grant partner participation can range from attending meetings to hosting coordination centers and merging operational functions with other agencies.

Each region is different and DTR supports all forms of coordination. Funding is made available to support coordination councils and to develop regional transit plans that include coordination efforts. Other support is made through the Colorado Mobility Action Coalition and through training provided through the RTAP program.

STATE COORDINATING COUNCIL

The Colorado Interagency Coordinating Council on Transportation, Access, and Mobility (State Coordinating Council – SCC) is the CDOT sponsored organization dedicated to the coordination of transportation and mobility for the state of Colorado.



The SCC meets bimonthly to tackle coordination issues between all of the relevant state agencies and organizations that fund and/or provide transportation. Current state agency membership includes:



Colorado Department of Transportation

Colorado Department of Veteran's Affairs

Colorado Department of Human Services (Medicaid)

Colorado Department of Education

LOCAL & REGIONAL COORDINATING COUNCILS

The process of coordination depends on the agencies that provide the services coming together to work on coordinating services. Depending on the operating and political dynamics of your area, these councils may consist of entities within a specific locality or may expand to cover larger regions.

DTR encourages the development of coordinating councils by annually offering seed funds for the development of a local or regional council. These grants are 100% FTA funds requiring no matching funds and are awarded to organizations interested in leading the development of the L/RCC. This funding is available for a maximum of two (2) years and must result in the development of an action plan for coordination for the area.

The action plan should identify the goals and objectives of the coordinating council and,

1. Identify a "champion" agency that will be tasked with managing the L/RCC moving forward, and
2. Identify the key needs of the region under coordination, and
3. Identify the financial and other support provided by the various partner agencies

The champion agency is then eligible to apply to DTR for 5310 or 5311 funding to support the mobility management activities identified in the action plan. These activities and needs should also be reflected clearly in the regional transit plan(s) and reference any other funding sources being used to support mobility.

MOBILITY MANAGEMENT

Mobility management is defined by CDOT as:

Activities by a transportation provider or coordinator designed to ensure the mobility of individuals from their trip origin to their trip destination regardless of the individual's age or disability status, using as many mobility options as are necessary and available along the route of travel to ensure the customer is able to reach their destination with as few interactions as possible (One stop shop concept).

In practice, mobility management requires several elements. First, the individual providing the mobility management service should have the ability and authority to act on behalf of the passenger to arrange their travel across multiple modes. This can range from walking to bicycling through for-profit transportation (taxi cabs, Uber, Lyft, etc.) to public transit and specialized transportation modes. The use of multiple modes may include arranging for transportation on one carrier for one direction of travel and on another for the return trip.

Second, the mobility manager must have a directory of potential service modes available to them at the time the request for transportation comes in. The development and administration of such a database is a core element of any successful mobility management or coordination program. It can be as simple as a guide of services or as sophisticated as a trip planning application.

Finally, the mobility manager is responsible for tracking the passenger's use of the service options provided to them, ensuring that the trip was accomplished. The mobility manager is also charged with tracking unsuccessful trip requests to aid in identifying gaps in service for future planning efforts.

CDOT is in the process of clarifying its definitions and developing a comprehensive state mobility management plan. Once this plan has been adopted, we will provide more information on how mobility management will be supported.



COLORADO MOBILITY ACTION COALITION

CMAC is the CDOT supported statewide industry organization dedicated to promoting and supporting mobility managers and their efforts in Colorado. The organization was created by mobility managers for mobility managers. DTR encourages and supports the organization and its efforts but does not participate in any capacity to direct or manage the organization.

Mobility managers are encouraged to participate in CMAC and scholarships are available for mobility managers to attend sessions at both of the CASTA conferences.

TECHNICAL ASSISTANCE

The Division of Transit & Rail provides a number of technical assistance options to its grant partners. This includes training programs offered through the RTAP contractor, CDOT provided training, CDOT funded training programs, and directly provided technical assistance.

DTR may, from time to time, employ contractors or consultants to assist you with specific projects. This depends largely on the complexity of the projects as well as your knowledge and expertise in managing these projects. Construction projects are a good example of projects where CDOT/DTR provides technical support services.

Technical assistance may be requested through DTR. Please contact your regional grant coordinator for additional information or to request this assistance. You are also encouraged to frequently check the CASTA website for information on regional and statewide training opportunities including the two annual conferences supported by CDOT.





8.0 COTRAMS

The Colorado Transit & Rail Awards Management System, COTRAMS, is the Division's primary tool for managing its programs with its Grant Partners. Based on the commercial Salesforce® customer relationship management (CRM) platform, COTRAMS is the repository for all information needed to manage the Division's programs.

There are several modules within COTRAMS that are designed to assist you with your relationship with CDOT.

PORTAL

The portal is your access into COTRAMS. Portal licenses are granted to you based on the size of your organization and access needs. A small agency may only have one or two licenses while a large agency may have five or more.

Each license is coded to an individual email and should never be shared. This ensures that any actions taken in COTRAMS can be traced back to the individual license holder.

AGENCY PROFILE

Key to the entire process is your agency profile. This links your profile to all of the modules within COTRAMS. You must ensure that your profile is up to date at all times. This includes updating contact information in the event of personnel changes. DTR uses the information in your agency profile to generate scopes of work, reimbursement requests and other documents.

In addition, some demographic and operational data is included in your profile. DTR requires you to update this information annually, usually around the first of the year when the National Transit Database (NTD) reporting is open.

INVENTORY MODULE

The inventory module is an essential element of the statewide asset management system and is designed to help CDOT with identifying the



composition of the transit fleet in Colorado, its condition and location, and to assist in planning for funding of replacement and expansion of services in the future.

The inventory module also includes information on capital equipment and facilities acquired with state or federal funding and will be used to track the DTR park-n-ride inventory used for intercity and regional bus services.

The inventory is critical for any grant partner seeking funding for replacement vehicles as the application must be tied to a specific vehicle being replaced. This will ensure that DTR manages the state fleet needs priorities in an effective and efficient manner.

You are required to update your inventory at several different periods during the year:

- When you place a vehicle into service – whether funded by CDOT or not, this helps us track the true scope of the state fleet.
- Once per year before applying for any capital vehicle, facility, or equipment funding. This is to ensure that the vehicle you wish to replace meets or exceeds the minimum requirements for replacement and where it ranks compared to other such requests. With limited funding available, these decisions may become increasingly important. An updated inventory helps you fit clearly within the ranking.
- When you take a vehicle out of service. This is to help CDOT assess the daily service needs of your agency as well as for the statewide fleet. For seasonal agencies, this means that the vehicle is no longer available for use at peak service periods. This could be as a result of an accident, major mechanical failure, or other condition which keeps it from being used in service.
- When you dispose of an asset. Equipment and rolling stock funded by CDOT maintains an interest, even after the item's useful life has expired. This module allows you to keep the status of these assets up to date all the way through its final disposition.



Your assistance in maintaining the inventory will make everyone's job smoother and keep CDOT aware of your capital needs.

VEHICLE DISPOSITION MODULE

This module is a future project for DTR that will enable us to track the disposition of your vehicle assets as required by the FTA. More information will be made available once the module has been fully developed and implemented.

APPLICATIONS MODULE

The applications module is the primary tool for you to apply for funding. Applications are designed to fit the funding specific pool and work to bring together current information from your agency profile, current inventory information, and contact information to provide DTR with a complete picture of your need for funding. DTR usually has three cycles for applications:

- April – Operating applications
- September – Capital applications
- Winter – Planning applications

While the format for the applications may vary depending on current federal and state requirements, the core information should be in COTRAMS when you begin your application meaning that you only have to supply the narrative for your specific project.

There may be other applications for funding available outside of COTRAMS. These would be for funding programs such as local coordinating council support, federal 5312, 5308, or 5339(b) and 5339(c) programs, or other incidental programs. Your grant coordinator may provide information on those opportunities when they arise.

PROJECT BUDGET MODULE

The project budget module is the primary tool for your grant coordinator to track your project. Every grant agreement has a project budget that tracks the



project progress and status. During the initial development of the project, this module will identify whether there is a scope, if it has been entered for a shopping cart (ordered in CDOT's SAP system), budgeted, executed, or withdrawn.

During the project period, this module tracks the current balances and provides you with a look at where your reimbursement requests are. When the project is ready to be closed out, it shows any remaining balances that will be liquidated.

The grants unit uses this module to house communications regarding your project such as sending initial scopes, tracking any changes, and keeping any relevant communications in the module for tracking purposes.

REIMBURSEMENT MODULE

The reimbursement module is DTR's new mechanism for you to submit your reimbursement requests. Using COTRAMS now allows us to show you your current project balance and to submit invoices for payment.

The module is based off the electronic form that has been in use for several years but is enhanced with the ability to actually show current balances and the status of previous requests.

A complete users guide is available to you through DTR.

PROCUREMENT MODULE

The procurement module is the repository for all documents and approvals needed for any procurement you do that uses state or federal funds to support it.

PROCUREMENT CONCURRENCE REQUEST

This section is the first gateway for your procurement, regardless of how you are procuring the item(s). You submit the form, along with any support



documentation such as justifications, copies of the solicitation, or lists of prospective vendors and your grant coordinator reviews it before providing you with an electronic approval to proceed.

PROCUREMENT AUTHORIZATION

This phase occurs once you have received all the responses from vendors and have performed your evaluation to determine the successful proposer. You submit the form along with your decision and justification, and the grant coordinator will review the information and approve your selection.

At this point, you have authorization to move ahead with the purchase or contract negotiation. If you do not obtain this authorization prior to committing funds, you may not be able to receive reimbursement for these costs. State fiscal rules require that you have an executed grant agreement prior to committing any funds and this authorization is DTR's assurance that those requirements have been met.

NOTICE OF ACCEPTANCE

When the item has been delivered, you will need to ensure that it is as ordered and advertised. At this stage, you can return the item or work with the vendor to have warranty work performed before you accept it.

For vehicles, this is a comprehensive inspection to ensure that everything is as ordered and that all required documentation has been delivered. Once you accept delivery of the item, you cannot return it and must rely on the warranty process for corrections.

SECURITY AGREEMENT

While this document is primarily used for rolling stock, it is also useful for equipment with an initial cost of \$5,000 or more. The security agreement states that you, the grant partner, recognize that the state/federal funding provided to assist in the procurement of the asset imparts a state or federal interest in the asset.



For rolling stock, this means that CDOT holds a lien on the vehicle. Completing the SA form also locks the information into the system for when you dispose of the vehicle after the expiration of its useful life. You will need to complete and print the SA and bring it with you to your County DMV to register/license your vehicle.

Because this places a lien on your vehicle, you will not be able to dispose of the vehicle in any manner until you have requested the title release from DTR. DTR retains the title until you are ready to dispose of the vehicle, regardless of the conclusion of the asset's useful life.



9.0 ANNUAL PROGRAM DEVELOPMENT AND PROJECT APPLICATION

CALLS FOR PROJECTS

The process by which DTR solicits projects for funding is the Call for Projects. This formal process informs the public of the availability of funding and outlines the process that needs to be followed to submit an application. The Call for Projects is also called the Notice of Funding Availability (NOFA) and announces the type of call, the funding sources available, and provides guidance on applying for the funds including identifying the amount of funding available.

The Planning & Infrastructure Unit is responsible for issuing the NOFA/Call for Projects and providing the guidance and directions for application.

APPLICATION PROCESS

Applications are submitted to DTR in one of two ways. For almost all funding sources and calls, you will use COTRAMS to apply for funding. Applications have been designed for operating, vehicle, facilities and equipment, and planning projects. On occasion, other types of funding may come available. These applications may consist of proposals (such as what are planned for future intercity and rural regional bus projects) or applications (such as for funding local coordinating council start-ups). These programs will be announced through a call for projects and application materials will be identified and provided at the same time.

Applications through COTRAMS are easier and provide more information by attaching to your current agency profile and inventory. We encourage you to work off line to develop your applications and then cut and paste your information into the application to minimize issues with connectivity. Your grant coordinators can assist you in developing good applications.

RISK ASSESSMENT PROCESS

With the issuance of the new Uniform Guidance (2 CFR 200), the federal government brought together a variety of grants management rules into a



single document that applies across all federal grant programs. Included in this guidance is the requirement for CDOT to perform a risk assessment of every grant partner for each federal grant.

DTR has chosen to require this risk assessment for all of the funding it distributes, including any state funding. The primary reason is that the capital application is funding agnostic, you could receive either federal or state funds, depending on the best fit for CDOT. In addition, the state has a vested interest in acknowledging the risk associated with the grant.

Grant partners perform a self-assessment first. This assessment will eventually become a part of the application process. Upon completion of the self-assessment, the document is scored and sent forward to the grant coordinator for the organization.

Your grant coordinator will then complete a second risk assessment form. The scores from the two forms are combined, and an aggregate risk score is calculated.

The final risk score is then tracked through to the award.

The risk score does not play a role in the evaluation of your application!

Once the decision on whether and how much to award your agency has been made, your risk assessment score will determine how DTR maintains compliance oversight. For low risk projects, DTR may perform annual site visits and minimal reporting.

For medium risk projects, the frequency may escalate to semiannually or quarterly. High risk projects will require a more active level of scrutiny and reporting.

LOCAL SHARE REQUIREMENTS

With very few exceptions, all CDOT grants require some form of local match. This can range from a 1:1 match for operating funds to providing \$1 for every \$4 in federal or state funds. Each grant program may have a different match level.



Local share can consist of several types of contributions from local cash to in-kind contributions and alternate grant funds. The more diverse your local funding sources are, the easier it may be to use these funds to match the FTA or state money.

In general, if you are not using local tax money, unrestricted cash donations, or other cash, you must ensure that there are no restrictions on the use of those funds that conflict with either state or federal regulations and requirements. For example, if the federal funds require charging a fare, you would not be able to use other funds which restrict you from charging a fare. Know the limits of your funding and how they interact.

If your project is 100% funded, please be aware that this does not remove you from any requirements for reporting or providing financial or other support. For example, projects may require staff time and participation to execute.

IN-KIND AS MATCH

One form of local share could be in-kind contributions. In general, CDOT restricts non-cash in-kind to no more than 50% of the total local match requirements. The in-kind must be verifiable, accountable, and fit within the parameters of the project being funded.

For example, an agency might include the value of a facility provided by a partner for free, if the facility serves the project for which the in-kind is being provided. Your grant coordinator can work with you to identify good (and bad) in-kind matches.

In-kind match does not include contributed goods that are integral to the operation of the project, such as when a government entity provides fuel for vehicles to you. The value of the fuel can be used as operational in-kind and does not count toward the 50% cap.

ALTERNATE MATCH RATIOS

In reviewing the State Management Plan and other federal documents, you may become aware of the opportunity for Colorado to offer alternate match

ratios for some projects. This may be as a result of allocation criteria that give us credit for the amount of federal land within the state or it may be due to the funding program itself.

In general, the funds that CDOT receives are not changed by the different matching ratios and the demand for the funding always exceeds the funds available. As a result, CDOT has made the decision to keep the matching ratios at the standard, 50:50 for operating, 80:20 for administration, capital operating, and capital. This keeps the funding stable, ensures that the funds are able to cover as many projects as possible, and the financial management remains simple.

If a project has a differing match ratio, usually due to the construction of the funding language, you will be notified in the call for projects, at the time of award, and throughout the life cycle of the project.



10.0 FINANCIAL MANAGEMENT

As a recipient of state or federal funds, you are required to have and maintain financial management systems that are adequate to the purpose of your project. As DTR develops its oversight systems more fully, you will be asked to provide more detailed information on your organization's finances through reports and reviews.

There are several key elements to a good financial management system:

- It is comprehensive – it covers all financial aspects of your organization from day to day operations, planning and budgeting, capital replacement, to cash management. The system should also be able to be detailed enough to show individual project budgets.
- It provides for adequate controls – the risk of embezzlement is low and your agency can track its funding across the work flow.
- There are checks and balances – the person writing the checks is not the person signing the checks and someone different reviews the bank statements. This is so there is no opportunity for an individual to funnel funds to a friend or to themselves. This can be difficult for smaller agencies but reduces our risk of funding your agency.
- It is subject to frequent review – recipients of federal funds are often required to submit annual audits or reviews. Smaller agencies may not be required to but it is definitely a best practice to have your agencies accounts regularly reviewed by an outside agency.
- It is reportable – you should be able to generate a report on your agency's financial status without having to spend a significant amount of time on it. A monthly financial report should not take a month to create. It is in your best interest to be on top of your financial situation.
- It meets federal requirements – in general, this means that your system and your organization adhere to Generally Accepted Accounting Principles (GAAP) set by the industry and the individual who is your chief financial officer has the appropriate training and background to fulfil the role. Some smaller agencies may rely on the skills of an accountant or outside bookkeeper to fulfil this position.

As a grant partner, you are obligated to meet the following goals and objectives:

- You submit your reimbursement requests on a regular basis
 - For operating it is quarterly at a minimum, monthly is required for over \$10,000
 - For capital, it is within 7 business days of receipt of all required documentation, or monthly as approved
 - For construction it is monthly
- You provide adequate supporting documentation for your reimbursement request
- You maintain an adequate and appropriate financial management system in place for the duration of your grant agreement with CDOT
- You request an appropriately determined amount in your applications
 - For capital, the total of funds returned should be less than 10% of the total grant – this is where the independent cost estimate is beneficial
 - For operating, CDOT should not be more than 30% of your overall funding so that your program would be able to continue in the event of reductions in federal or state funding or slowdowns in the availability of funding, such as government sequester or budget issues

CDOT strives to process reimbursement requests within 30 days of submission of a complete package. Using COTRAMS, the process has already seen improvement. The process for reimbursement is as follows:

- You submit your reimbursement request with all required support documentation using COTRAMS
- The project manager (usually your grant coordinator) reviews your request to ensure that costs are eligible under the specific program
- The project manager approves the reimbursement for allowability and enters the information into CDOT's SAP financial system for payment
 - At this point, COTRAMS shows the pending balance for the project



- The first level approver reviews the information and approves the payment (usually the program/unit manager)
- The business office reviews the documentation for financial verification, this is where most reimbursement requests are kicked back for missing or inaccurate backup documentation
- The business office approves the reimbursement request and processes the SAP service entry sheet (request for payment) to authorize the payment
 - At this point, COTRAMS shows the calculated balance
- The system issues the payment, usually an electronic transfer
- SAP updates COTRAMS with actual payment information

This process is designed to reduce processing time and allow staff to process reimbursement requests while traveling.

Your participation in this process is critical for the success of the program as a state. Having the appropriate financial systems in place is key to ensuring that the funding we have available in Colorado provides the most comprehensive and complete public transit system possible.

INDIRECT COSTS

Indirect cost are those costs borne by an agency that are not directly related to the fulfillment of the operational grant but which are required for the organization. For example, a county that operates public transit would not have a Human Resources department solely for the transit unit but the transit unit would need the resources of the HR department to hire staff.

Oftentimes these costs cannot be identified directly because they may be intermittent or shared, such as for a non-profit where the Executive Director's salary is borne by several projects. Other support services that may be shared/indirect are maintenance staff, accounting staff, human resources, facility rent, insurance, etc. Again, it depends on your specific organizational structure.



If you have indirect costs you want to charge to the operating grant, you must do one of the following:

- If you have a different federal cognizant agency, meaning the majority of your federal funds comes from HHS or DOL, you must submit the approved rate plan with their approval
- If DOT is your cognizant agency, submit an indirect cost plan to CDOT's Audit Division no later than October of the year prior to the operating funding. Indirect cost plans **MUST** be approved by our Audit Division before the grant is executed so the sooner you submit, the better chance of having the plan approved in advance.

Submit the documents by email to dot_audit@state.co.us with the following subject line:

Indirect Cost Rate for Fiscal Year 20XX – Agency Name

Submitting a reimbursement request for indirect costs without an approved plan or in excess of the approved rate will result in those costs being rejected.

Once approved, the indirect cost rate is entered into the project budget in COTRAMS and reimbursement requests for indirect costs are matched against that rate to verify that the request does not exceed the plan. If it does, the request will be rejected.

The indirect cost rate plan must be **approved annually** so make sure to get your plan in early. If you have an approved plan, it should move more quickly through the process.

If you do not yet have an indirect cost rate plan, you are allowed, under the uniform guidance (2 CFR 200) to use a *de minimus* rate of 10%, but only for a maximum of two years or until you've negotiated a different rate. More information on indirect cost rates is available online at 2 CFR 200.414:

<https://www.gpo.gov/fdsys/granule/CFR-2014-title2-vol1/CFR-2014-title2-vol1-sec200-414>.



Your agency may also select not to charge indirect costs against the grant. In that case, your application will note that you are not requesting an indirect cost plan and are not allowed to charge those costs. This is often used by grant partners who only charge direct operations to the grant. Resort communities often fall into this category as the CDOT funding is a smaller proportion of their operating budget.

CDOT is required to report on indirect cost rates for each of its FTA operating grants, requiring the collection of this information from our grant partners.

CAPITAL COSTS

In general, awards for capital projects allow you to only charge for the actual costs of the project property being acquired. Because of the nature of the funding provided by CDOT, you will always have some funds remaining after you have submitted your final invoice. The exceptions may occur when you have overmatched the grant or when your independent cost estimate matches the grant exactly, i.e. when you are buying off a state price agreement.

In the event that you have funds remaining and want to try to spend them down, you may request authorization to purchase accessories or options that were not included in your original request. This could include additional units, for example for a project to acquire 20 computers, you may have the funds and wish to purchase a 21st computer. Or options and add-ons such as additional spare tires for a vehicle.

However, the option or add-on must fit within the original scope of the procurement, not extend the grant agreement beyond the expiration date, and not be for "frivolous" extras which do not have a bearing on the original procurement's purpose. Check with your grant coordinator on using remaining funds in a capital grant agreement.

OPERATING COSTS

If you have received a grant for operating or capital operating, you are able to request reimbursement for those costs associated with the original funding purpose. For 53310 and 5311 operating, these costs include such items as:

- Fuel
- Oil
- Tires
- Vehicle Parts
- Driver wages
- Mechanic wages
- Dispatch wages
- Shop tools
- Software licenses (Specialized software, not general office)
- Fringe benefits
- Vehicle registration and insurance
- Printing costs (For schedules, maps, etc.)
- Other costs that can be tied directly to the operation of the service
 - Mobility management – contracted services
 - Travel training – travel costs (bus fares, etc.) and class supplies

Costs that may be operationally related but fall under the category of indirect costs include such items as:

- Management salaries and benefits
- Salaries and benefits for human resources, finance staff
- Rents and leases
- Property and facility maintenance
- General software licenses (Microsoft Office, accounting software, productivity software, etc.)

Please note that indirect costs may be reimbursed under an operating contract at 50:50 but are usually an element of an indirect cost rate plan that establishes a fixed rate or percentage instead of reimbursing for actual costs.

If you contract for operations or maintenance services, the billed cost may be reimbursed but will require backup documentation showing that you have approved the rate or review the charges to ensure that the elements that make up the rate are allowable under the grant and not covered by any other grant.



REIMBURSEMENT REQUESTS

Grant Partners are required to submit their reimbursement requests in a timely manner. For operating grants, you should be submitting these requests within 60 days of the close of the month. This should give you sufficient time to get proof of payment (copies of cashed checks, etc.) from your financial institution in order to provide the required supporting documentation.

Capital grants should be submitted within 7 days of payment. This is predominantly to reduce the lag between payment and reimbursement.

Grant partners who fall behind on their reimbursement requests may be placed in a high risk classification and be required to provide additional documentation with each reimbursement request. Additionally, new funds may have contingencies placed on them, meaning that you will not be able to receive any new funding until the backlog of invoices has been brought current.

Further, if your agency is able to operate with reimbursement requests more than 6 months in arrears, the perception may be that your agency does not truly need the grant funds and future grants may be more highly scrutinized to determine your actual need. With the limited available funding, this could result in lower grant amounts to your agency. Timeliness is beneficial to you.

FINANCIAL REVIEWS

As the responsible entity, CDOT is required to perform occasional financial reviews of its grant partners. There are several mechanisms available to CDOT to accomplish this. First, during your triennial agency review, there are a number of questions on your financial systems that are asked and your grant coordinator usually also reviews your annual budget.

CDOT also may initiate a Financial Review if there are any findings from the Triennial or there are concerns over specific projects. Financial reviews are significantly more in depth and performed by skilled financial staff.



One of the key reminders is that the new federal Uniform Guidance (2 CFR 200) requires CDOT to perform risk analyses on any grant for federal funds. As these risk assessments become an initial element of any grant program, your financial management systems will become increasingly important. Having a good system in place is going to allow you to request and receive funding from DTR with fewer hassles and hoops.

Any agency that receives more than \$750,000 in federal funding *from ANY source* must have an annual financial audit performed, a "single audit." A copy of this audit must be provided to DTR upon completion. The CDOT Audit Division is responsible for ensuring that the audit meets all requirements.

If you do not receive more than \$750,000 in all federal funding, you are not required to have a simple audit but it is strongly recommended.

GRANT AGREEMENT MODIFICATION

In general, CDOT prefers to limit the number of grant agreement modifications. These can be time consuming and complex. There are two times where such agreement modifications occur:

- When the grant agreement needs to be extended
- When there is a substantive change to the scope of the agreement

Extensions should be rare. For capital contracts, extensions should only occur when there is a delay that is outside of your control, such as work stoppages at the manufacturing plant, during chassis turnover as the manufacturer moves from one model year to the next, and similar circumstances.

If you are unable to fund the entire match amount or are unable to dedicate your resources to the procurement, please do not execute the grant agreement. Once executed, there is an expectation of action on your part and on the part of CDOT to begin the project as soon as possible after you sign the agreement.

DTR programs the grant agreements with sufficient time to execute the grant agreement, issue a solicitation, select a vendor, order the project property, take



delivery, and close out the agreement. Usually, this means that the expiration date on the agreement is December 31 of the second full year after signature.

For example, a grant agreement signed in May of 2010 will expire December 31, 2013; to the end of the current year plus two full years.

Construction agreements and full size over-the-road and transit coaches may have additional time added as appropriate. DTR will send you an alert through COTRAMS when a grant agreement of yours is within 90 days of expiration, allowing you time to request an extension.

Please remember, if you do not incur an expense within the term of your grant agreement, CDOT will not be able to reimburse you in a timely manner. If a vehicle is delivered in January and the grant agreement expired in December, this constitutes a statutory violation which incurs a significant burden and requires approval from the Office of the State Controller to consider reimbursing.

When in doubt, request the extension!

On substantive scope changes, these should only occur if circumstances have changed dramatically from the original application. Examples of a valid scope change may include:

- Discontinuation of a specific vehicle type prior to order
- Significant price changes after award
 - This should never occur because of lack of due diligence on your part; DTR may not grant any additional funds
- Change to original circumstances from the award
 - An example of this could be that you were replacing a couple of ADA accessible minivans but one of your cutaways was involved in an accident and totaled; DTR recognizes the need for prioritization of the cutaway over the minivans and would work with you to change the scope

Scope changes after agreement execution should be exceptionally rare as these often require issuance of a contract amendment which takes almost as long as the original grant agreement to process.

Please note, this does not impact those contracts that include built-in extensions. These option letters, which may include scope changes or entirely new scopes, follow a different process. Most grant partners do not have these types of contracts with CDOT but they are included for reference.

GRANT CLOSEOUT PROCESS

When you are finished with your grant, there is a process that needs to occur to close the grant agreement, close the purchase order, and liquidate any remaining funds back to the funding pool.

For operating grants, this process is automatic and triggered when you submit your final invoice for the year. When the invoice is processed, a tickler is scheduled to remind your grant coordinator and the business office that you have submitted the final invoice. Once the payment has been processed and issued, the business office is able to request the closure of the grant agreement and the purchase order that enables payment.

If there are no funds remaining in the purchase order, then the grant agreement and the purchase order are closed. If there are funds remaining, they are liquidated and returned to the original pool from which they were awarded. These funds then become available for future calls for projects.

DTR expects that operating agreements will always be exhausted and that a minimal amount of funding remains in most capital grants. Construction grants or overmatched grants will usually be exhausted but standard 80:20 matched capital grants should have a small portion remaining.

CDOT always provides a small amount above the projected cost of vehicles and equipment to avoid having to add funds after the grant agreement has been executed. Please make sure that your request for funding takes variations in



price into account but do not ask for an excessive amount as a cushion. A history of poor estimation may lead to restrictions on the funding provided in your award. A little is fine, a lot means we question your application more thoroughly.

DTR has the Grant Closeout/Liquidation form which will be sent to you after you submit your invoice for capital projects. This form tells CDOT that you have submitted your final invoice and will not be requesting any further reimbursement on this grant. The business office uses this to verify that they can move forward with closure and liquidation.

While DTR is happy to work with you to expend as much of your grant as possible, charges outside the scope of the agreement or for unallowable additions cannot be permitted. We appreciate your help in closing and liquidating your grant agreement to support other projects.

Once you have completed the grant project, some funding sources may require a grant closeout report. CDOT uses your report to add to other such reports from the same federal grant to provide the FTA with a Federal Grant Closeout Report. For example, when closing a federal capital grant, CDOT is required to provide the FTA with a list of all project property acquired with the grant funds. On some operating grants, CDOT reports on the services provided and value received for the funding. Your report to CDOT is a crucial part of that report to the FTA





11.0 PROGRAM MANAGEMENT

CDOT is required by the FTA to ensure that agencies awarded federal funds meet all applicable federal requirements. In order to comply, we have developed a process for annual certification and collection of documentation related to subrecipient oversight.

Upon receipt of the annual federal certifications and assurances from the FTA, CDOT will generate a request to all of its grant partners for the following:

- Annual FTA Certifications and Assurances – all agencies receiving FTA funds
- Annual School bus and Charter certifications
- Annual labor certification – 5311 recipients only
- For documents which have review dates which are 30 months or older:
 - Title VI Plan
 - LEP Plan – when appropriate
 - ADA Service plan – for fixed route services
 - Drug & Alcohol Testing policy – for 5311 recipients
 - Procurement policy
 - Fleet Maintenance Policy – includes warranty plan
 - Asset Management Plan
 - Safety and Security Plan
 - DBE Plan – when appropriate
 - EEO Plan – when appropriate
 - Form LLL Lobbying Disclosure – after substantive change

You will have 45 calendar days to return the signed certifications and assurances, lobbying and labor forms as well as any documents which meet the review threshold. In the event that you fail to supply the required documentation, you may not be eligible for any federal funding from CDOT.

REVISION

Each document must have a revision date and that date cannot be more than three (3) years old. When the revision date is 2½ to 3 years old, CDOT will request that your agency review the document to ensure that it meets any current regulations and update the revision date. This way we will ensure that your files are as up to date as possible.

In the event that federal or state regulations change, such as with a new federal authorization bill, it is your responsibility to ensure that your documents are revised to adhere to any changes. CDOT will work to communicate changes to you and provide any technical assistance needed to bring your documents into compliance.

CERTIFICATIONS AND ASSURANCES

The FTA requires annual certifications for several categories. Additionally, DTR has elected to streamline the process by requiring annual certification for items that may be project based. This ensures that you are certifying these areas and are not dependent on a project breaching the threshold in the middle of the year.

FTA CERTIFICATIONS AND ASSURANCES

These annual certifications are issued by the FTA and include a number of categories from procurement to fixed guideway and lobbying, as well as the standard 5310 and 5311 programs. You are required to certify that you will comply with those elements that relate specifically to your organization. CDOT requires a signature from an authorized representative of your agency.

ANNUAL 5311 LABOR CERTIFICATION

Recipients of 5311 funds must certify and report the union status of their employees and the employees of any transit provider in their service area, as required under Section 5333(b) of Title 49 on an annual basis. The reporting form will identify all labor organizations representing your transit employees



as well as the labor organizations representing transit employees of any transit provider operating within your service area, if you receive 5311 funding.

ANNUAL SCHOOL BUS CERTIFICATION

CDOT is required to ensure that all grant partners comply with the School Bus requirements under Title 49 USC 5323 (f). In order to remain current with this compliance, we have elected to issue an annual certification form. You are required to complete the form and submit it to your grant coordinator. If you provide any type of school service, whether exclusive or tripper, CDOT will perform a mini-review to verify compliance with the requirements and track this annual certification. For more information on school bus rule requirements, please see the [school bus section](#).

ANNUAL CHARTER BUS CERTIFICATION

Public transit agencies, as a general rule, are prohibited from competing with the private sector in providing charter bus services. There are exceptions and exemptions to this. Any agency providing any type of charter service must certify the type of charter service and comply with the quarterly reporting requirements. In order to monitor these reports and submit our own reports, CDOT asks that you complete an annual charter bus compliance form. If you indicate that you have, do, or plan to provide any charter service, CDOT will perform a mini-review to ensure compliance with the federal regulations and provide notice in COTRAMS to confirm your quarterly reporting.

DOCUMENTS ON FILE AT CDOT

The following is a list of the documents required by FTA/CDOT along with a description of their required contents:

- Title VI Plan – this document contains all of the required policies and procedures in adhering to Title VI of the Civil Rights Act of 1964. Specifically, it addresses how your agency will ensure that your services are fair and equitable to minorities and persons with low incomes. It requires you to have a complaint process and, where



appropriate a separate Limited English Proficiency (LEP) Plan for serving patrons for whom English is not their primary language. It also requires you to have a public outreach program that is followed any time there is a change to your service including fare changes, route changes, or facilities. The guidance for completing this plan is available in circular 4702.1B. Additional assistance is provided by the Office of Civil Rights within CDOT which will also approve all plans.

- Limited English Proficiency (LEP) plans are required any time a constituent population comprises 5% or 1,000 or more individuals of your local demographics. This plan outlines how you intend on reaching out to these non-English populations and how you ensure they have access to all of your services. This includes language translation for your vital documents. The CDOT Office of Civil Rights will provide technical assistance with these plans as well as approving them

- ADA Service Plan – 49 CFR Part 37 provides the requirements for the provision of transportation to persons with disabilities. Part of this requirement is that a grant partner has to have an ADA service plan that addresses a number of key elements:
 - How does the grant partner ensure access to their services for persons with disabilities?
 - If you provide a fixed route service, what are your service provisions for complementary paratransit?
 - What are your (written) processes for receiving, reviewing, and responding to ADA complaints?
 - In the event of a vehicle breakdown that results in a delay in service to persons with disabilities, how do you ensure service within a reasonable timeframe? (Rescue plan)

Please contact your grant coordinator for assistance in developing and maintaining these plans.



- Drug and Alcohol Policy – Any grant partner receiving 5311 funds is required to have and maintain a drug and alcohol program. This includes all requirements for pre-employment, post-accident, random, reasonable suspicion and return to work testing. Your policy must outline how you comply with these provisions. CDOT has contracted with Precision Compliance to provide oversight and technical assistance for drug & alcohol programs.
- Procurement Policy – this document documents your agency's policies and procedures for procurement. This document must include the following information:
 - Procurement thresholds, specifically if there is a policy at the agency to determine methods of procurement based on dollar amounts. This needs to either match or be more restrictive than the federal guidelines
 - Written standards of conduct reflecting conflicts of interest
 - Conformity with ensuring most efficient and economic purchase
 - Written record of procurements. What documentation do you keep and for how long?
 - Dispute process. You need to describe how you handle procurement disputes including allowing for protest periods on RFPs and IFBs and what your process is for addressing these disputes. This should include written protest procedures.
 - Ensuring contract terms are limited to no more than the federal limits, usually five years for rolling stock and replacement parts.
 - Ensuring that procurements are competitive and reasonable and do not have any geographic preferences attached. This includes refraining from using brand names unless also referring to "approved equals."
 - Having written evaluation procedures.



Please work with your grant coordinator if you have specific questions on the contents of this document.

- **Fleet Maintenance Policy** – this policy or plan outlines how you intend on maintaining your rolling stock assets. The FTA requires that, at a minimum, agencies show that they maintain their vehicles according to the manufacturers' standards for oil changes, fluid replacement, and preventative maintenance. Your policy is your written plan for doing so. This policy must also address how you ensure that any work eligible under a warranty is performed through the warranty process.
- **Asset Management Plan** – this document outlines your vehicle replacement plan for your fleet. At a minimum, you must comply with CDOT's useful life cycle standards for vehicle replacement. This requirement is relatively new. Please work with DTR's Infrastructure Specialist, Jeff Sanders, on the development of a plan. Once submitted, it will need to be reviewed every three years.
- **Safety and Security Plan** – this is a new requirement that has not yet been fully outlined by the FTA. Once the guidance has been received, CDOT will develop technical assistance programs to aid you in developing your own plan. Once submitted, this plan will need to be reviewed triennially as well.
- **DBE Plan** – These plans are required of any construction project and for entities that have been awarded \$250,000 or more in federal funding to be used for contracting for goods and services. The purchase of transit vehicles is exempt from this amount. In general, it is a good practice for you to have a DBE plan to show how you intend on using disadvantaged business enterprises as much as possible in your procurements.



- EEO Plan – This is required for any agency with 50 or more transit related employees (drivers, mechanics, dispatchers, safety and training staff, and administrative staff) AND receiving more than \$1,000,000 in federal funding in a single year. At present this applies only to RFTA and Via. However, this annual reminder is for those agencies who are approaching these thresholds.
- Form LLL Lobbying Disclosure – This form is required any time you have a substantive change to your lobbying. This includes when you change lobbyists, significantly increase your lobbying efforts or budget, or either begin or end lobbying efforts.

REVIEW

DTR will use the documents listed above during the Desk Review stage of every triennial Agency Review. Some documents are reviewed by other units within CDOT, such as the Civil Rights and Business Resource Center (CRBRC) for all Title VI, LEP, DBE, and EEO programs. Drug & Alcohol programs are reviewed by DTR's compliance contractor. The remaining elements are reviewed by DTR staff for compliance.

PURPOSE

The reason CDOT requests copies of these documents is primarily to assist you in complying with the requirements without asking you for copies of these documents on a frequent basis. You are obligated to have most of these documents on hand during reviews but by ensuring CDOT has a copy, the need to produce copies in advance or as needed is mitigated.

DTR has chosen this method to reduce the burden of requests for documents ad hoc and focusing on a few time periods where this information is requested throughout the year.



REPORTING

MONTHLY REPORTS

All operating projects are required to report their service statistics on a monthly basis. Operating projects include 5310 and 5311 service operating projects, 5310 mobility management (including travel training, brokerage operations, and contracted services), and remaining 5316 and 5317 operating programs.

The Monthly Operating Report (MOR) is a simple form that requests basic service information and mirrors much of what is required in the National Transit Database (NTD) report. The MOR helps CDOT to keep a more current view of operations in the state and spot trends in advance.

The information collected in the MOR is also beneficial for your own program, particularly when you are asked to provide operating statistics for applications, news articles, or to support your program.

QUARTERLY REPORTS

Grant partners are required to report quarterly in the following cases:

- You have a construction project – any project, no matter the size, is required to be reported on quarterly
- Your project is funded with 5309, 5316, or 5317 funds
- You have provided any charter service – whether an exception or an exemption, these types of service require quarterly reports
- You have been deemed a high-risk grant partner. In these cases, DTR has found some indicator that you may need additional support either in general or for a specific project. This is our way of making sure that you remain on track and are able to meet the goals and objectives of your project and funding source.
- For all 5310, 5316, and 5317 projects, you are required to provide a narrative report on the status of service funded by these programs. See

the templates/reporting section for more details on these report contents.

Quarterly reports may have a form (such as for Charter work) or simply be a narrative submitted via email to your grant coordinator. Your grant coordinator will work with you to ensure that you can submit these reports as needed.

For purposes of all programs, your deadlines for reporting are:

- January 10th
- April 10th
- July 10th
- October 10th

Late reporting may result in lowered application scores, delays in processing reimbursements, or additional reporting and review requirements. These deadlines are provided primarily because DTR has a deadline of the 30th of each month for its reports.

SEMI ANNUAL REPORTS

As a federal grant recipient, you are required to comply with 49 CFR part 26 dealing with the use of disadvantaged business enterprises when contracting with federal funds. You are required to have a DBE plan when you issue contracts using federal money in the sum of \$250,000 or more in a federal fiscal year. Purchases of transit vehicle rolling stock is excluded from this calculation. Regardless of the amount of federal money you spend in contracts, you are required to report your spending of federal funds on a semi-annual basis, each November and May.

Around the first of May or November, you should receive an email from the Grants Unit Manager asking you to submit your semiannual DBE report. Included in this email will be a link to a survey that asks a series of questions about your DBE spending over the previous six months.

The questions ask how many prime contracts you issued in that period, how much federal funding was used on these prime contracts, if any were issued to



DBE vendors and if so to whom, and the same series of questions for subcontracts. These questions are designed to understand how much federal funding has been spent on DBE providers.

You are responsible for submitting these surveys as soon as possible during the month but at least by the 15th of May or November. If you haven't responded to the survey by then, your grant coordinator will provide you with a reminder. CDOT is required to consolidate all of the surveys and report this information to the FTA no later than the 30th of these months.

Please be aware that failure to report this information may result in delays to reimbursements of existing grant agreements or lowered scores on future grant applications. We appreciate your assistance in making these semiannual reports to the FTA.

ANNUAL REPORTS

As a recipient of federal funds, you are required to report on the status of your grants once per year. There are also federal reporting requirements for specific programs such as 5311 that occur annually.

For section 5311 recipients, the two annual reports are the National Transit Database (NTD) and Drug & Alcohol Management Information System (DAMIS) report, both due at the beginning of each calendar year for the previous year.

If you have an FTA funded facility, you are required to report on its status (in use, vacant, sold, etc.) and condition as well as reaffirming the use of the property.

You will receive a notification, either from DTR, the FTA, or a DTR contractor when it is time to report. These reports are required so please be prepared to respond with your report as soon as possible after the conclusion of the calendar year.

GRANT CLOSE-OUT REPORTS

Regardless of the funding source, all grant partners are required to provide DTR with a Grant Close-Out report for any funding received. This report may



be as simple as a simple statistical report on services provided (5311 NTD) or a narrative report on a vehicle purchased. There is also a form that must be completed that closes the grant and liquidates any remaining funding to return those funds back to the pool for other projects.

This report is required by the FTA to show the value of the funds they provided and is used by DTR to report to the Transportation Commission on Division progress as well.

The Financial Management section has additional information on this process.

CIVIL RIGHTS

EMPLOYMENT PRACTICES

EQUAL EMPLOYMENT OPPORTUNITY (EEO)

State and federal laws prohibit discrimination in employment. Employers must post notices of non-discrimination in conspicuous places for applicants and employees. In addition to adhering to applicable laws, federal aid grant partners meeting either or both of the following criteria must also have a written EEO Plan compliant with FTA Circular 4704.1, *Equal Employment Opportunity program Guidelines for Grant Recipients*.

- 50 or more transit-related employees and receives capital or operating assistance in excess of \$1,000,000, or
- 50 or more transit-related employees and receives planning assistance in excess of \$250,000.

The threshold shall be calculated based upon the expected total value of the award from CDOT in a calendar year. If a plan is required according to the above criteria, you must submit a copy of the plan to CDOT prior to the reimbursement of any funds in that year. For more details on the requirements of an EEO plan, refer to the reference manual, FTA C 4704.1.

AMERICANS WITH DISABILITIES ACT



In addition to the requirements outlined in the operations sections regarding ADA, 49 CFR part 27, Nondiscrimination on the Basis of Disability in Programs or Activities Receiving Federal Financial Assistance outlines reporting and compliance criteria solely for grant partners receiving federal aid. If you are a federal aid recipient, then you must provide the following information to CDOT:

- (1) An assurance in conformance with 49 CFR 27.9 (satisfied by your annual FTA Certifications and Assurances);
- (2) From each federal-aid grant recipient that employs fifteen or more persons, the name, address, and telephone number of at least one person designated to coordinate its efforts to comply with 49 CFR Part 27 (the grant partner shall inform CDOT of any subsequent change);
- (3) From each federal-aid grant recipient that employs fifteen or more persons, procedures developed in accordance with 49 CFR 27.13 that incorporate appropriate due process standards and provide for the prompt and equitable resolution of complaints alleging any action prohibited by 49 CFR Part 27;
- (4) Evidence of your notice to the public that the recipient does not discriminate in admission or access to, or treatment or employment in, its programs or activities. The notification shall also include an identification of the responsible employee designated pursuant to §27.13(a);
- (5) A copy of all ADA-related complaints filed against you in the past year. Information to be collected and reported includes:
 - Date of complaint, investigation or lawsuit filed.
 - A summary of the allegation(s).
 - The status of the complaint, investigation or lawsuit.
 - Actions taken by the organization.
 - Actions taken by any third-party organization receiving the complaint or notification of investigation or lawsuit.

If you are subject to 49 CFR Part 27, whether public or private entities as defined in 49 CFR part 37, shall comply with all applicable requirements of the Americans with Disabilities Act (ADA) of 1990 (42 U.S.C. 12101-12213) including the Department's ADA regulations (49 CFR parts 37 and 38), the regulations of



the Department of Justice implementing titles II and III of the ADA (28 CFR parts 35 and 36), and the regulations of the Equal Employment Opportunity Commission (EEOC) implementing title I of the ADA (29 CFR part 1630). Compliance with the EEOC title I regulations is required as a condition of compliance with section 504 for DOT recipients even for organizations which, because they have fewer than 25 or 15 employees, would not be subject to the EEOC regulation in its own right.

Compliance with these regulations is a condition of receiving Federal financial assistance. If you are not in compliance with this requirement you may be subject to enforcement action under subpart F of 49 CFR Part 27.

FAIR LABOR STANDARDS

Grant partners that let federally funded or assisted contracts in excess of \$2,000 for the construction, alteration, or repair (including painting and decorating) of public buildings or public works shall ensure that all contractors and subcontractors adhere to the Davis-Bacon Act. The Davis-Bacon Act requires that all contractors and subcontractors pay their laborers and mechanics not less than the prevailing wage rates and fringe benefits listed in the contract's Davis-Bacon wage determination for corresponding classes of laborers and mechanics employed on similar projects in the area. Apprentices may be employed at less than predetermined rates if they are in an apprenticeship program registered with the Department of Labor or with a state apprenticeship agency recognized by the Department. Trainees may be employed at less than predetermined rates if they are in a training program certified by the Department. Contractors and subcontractors on prime contracts in excess of \$100,000 are required, pursuant to the Contract Work Hours and Safety Standards Act, to pay employees one and one-half times their basic rates of pay for all hours over 40 worked on covered contract work in a workweek.

Under the DBRA, Davis-Bacon labor standards clauses must be included in covered contracts and every employer performing work covered by the labor standards of the DBRA must post the WH-1321 "Employee Rights Under the Davis-Bacon Act" poster and wage determination at the site of the work in a



prominent and accessible place where it may be easily seen by employees. Covered contractors and subcontractors are required to pay employees weekly and to submit weekly certified payroll records to the contracting agency. Additionally, covered contractors must maintain payroll and basic records for all laborers and mechanics during the course of the work and for a period of three years thereafter.

For additional information on the DBRA, grant partners should visit the Department of Labor website at <http://www.dol.gov/compliance/guide/dbra.htm>, review the procurement manual, or contact the CDOT Civil Rights and Business Resource Center.

COMPLAINTS

5333(b) of the Federal Transit Act requires that fair and equitable arrangements must be made to protect the rights of affected public transportation employees when federal funds are used to acquire, improve or operate a general public transportation service. The 5333(b) Labor Standards is also known by its former name, Section 13(c) Special Warranty. Section 5333(b) was put in place to ensure that no transportation worker's employment is terminated or position is worsened as a result of an FTA-funded project. The labor protections under Section 5333(b) apply primarily to your employees. However, they also cover the employees of any other transportation provider operating in your service area. At the time of printing, Section 5333(b) Labor Standards applies only to organizations awarded projects under Sections 5309, 5311, 5311(f) and 5316 and to transit agencies awarded Section 5310 funding. The specific federal laws and regulations can be found in 49 USC 5333(b) and 29 CFR Part 215.

CONFIDENTIALITY

Workplace labor posters are important because they inform workers and employers of their rights and responsibilities. Labor posters compliance will be verified by CDOT staff during site visits. Most posters can be ordered at no charge from the issuing agency (Colorado Department of Labor and Employment, U.S. Equal Employment Opportunity Commission, U.S. Department of Labor).



- Employee Polygraph Protection Act
- Equal Opportunity Employment is the Law
- Fair Labor Standards Act (minimum wage)
- Job Safety and Health Protection
- Family Medical Leave Act of 1993
- Notice to Employees (if a job injury occurs)
- Your Rights as a Worker
- Unemployment Benefits
- Your Rights Under USERRA – Uniformed Services Employment and Reemployment Rights Act
- Davis Bacon and Related Acts (DBRA)

PUBLIC ACCESS

The DBE program is a federally mandated program that seeks to ensure nondiscrimination in the award and administration of DOT-assisted contracts, create a level playing field on which DBEs can compete fairly for DOT-assisted contracts, help remove barriers to the participation of DBEs in DOT-assisted contracts, promote the use of DBEs in all types of federally-assisted contracts and procurement activities conducted by recipients, and assist the development of firms that can compete successfully in the marketplace outside the DBE program. A firm must meet the criteria of 49 CFR Part 26 and be certified by a Colorado Unified Certification Program agency (CDOT or the City and County of Denver) in order to participate in the DBE program. A list of currently certified DBE firms is provided at www.coloradodbe.org.

Every three years, CDOT establishes a DBE participation goal for all contracting opportunities funded in whole or in part with Federal Transit Administration funds. A copy of CDOT's current FTA goal can be found on CDOT's website. CDOT has a race-neutral FTA DBE program because it has reached its goal continuously without contract goals.

In order for CDOT to accurately evaluate DBE participation and availability, grant partners that receive federal assistance must track and report all bidders and contractors, including subcontractors and DBEs that participate and seek to participate in their contracting opportunities. You will be sent a survey



every six months on May 1 and November 1 to provide this information to CDOT. You should be able to identify all contracts awarded, in progress, and completed in the previous six month period (October-March and April-September). CDOT may conduct random audits to verify the contracting data reported by grant partners.

Grant partners that directly receive funds from FHWA, FTA, or FAA may be required to develop a DBE Program. If you are a direct recipient with an approved DBE program, you may enter into an agreement with CDOT to include funds received from CDOT in your direct reporting.

If you are a federal aid recipient or subrecipient, you must seek to fulfill the objectives of the DBE program. You must include in your contracts provisions required by the DBE regulation (49 CFR Part 26) regarding nondiscrimination, prompt payment and release of retainage in all federally assisted project advertisements and contracts.

TITLE VI

Title VI of the Civil Rights Act prohibits discrimination on the basis of race, color and national origin in programs and activities receiving federal financial assistance. Discrimination on the basis of limited English proficiency (LEP) may be constitute national origin discrimination in violation of Title VI.

In accordance with 49 CFR Part 21, grant partners that receive federal financial assistance are required to develop and implement a Title VI Program that ensures non-discrimination in its programs and activities. If you are a federal aid recipient, CDOT will collect and review your Title VI Program on a triennial basis in accordance with CDOT's triennial site visit. CDOT will also evaluate whether you have implemented the procedures provided in the plan.

FTA Circular 4702.1B – Title VI Requirements and Guidelines for Federal Transit Administration Recipients provides guidance on templates for grant partners that need to develop a Title VI Program. All programs must include:

1. Title VI Notice and List of Locations Where Posted
2. Complaint Procedures



3. Log of Complaints
4. Public Participation Plan
5. Limited English Proficiency Plan
6. Board and Committee Memberships
7. Equity Analysis for Construction of Facilities

There are additional criteria for planning organizations and fixed route providers. New grant partners must submit a Title VI Program compliant with the Title VI circular before they are eligible to receive funds from CDOT. The ADA requirements listed above can be combined into your Title VI program.

The most recent DOT assurance provides that federal aid recipients must include the following notice in all advertisements for federal aid contracts.

"[Insert your agency name], in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252, 42 US.C. §§ 2000d to 2000d-4) and the Regulations, hereby notifies all bidders that it will affirmatively ensure that any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full and fair opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award."

Additionally certain non-discrimination terms must be included in each contract agreement, depending on the type of contract.

As agents of CDOT's DTR program, grant partners that do not receive federal assistance are still subject to CDOT's non-discrimination policy and shall not discrimination on the basis of race, color or nation origin in the administration of the grant.

AMERICANS WITH DISABILITIES ACT (ADA)

The American's with Disabilities Act is important to you as a grant partner in several different ways.

First, the ADA requires you to provide public access and accommodation in your work. This includes all of the well-known measures such as handicapped

restrooms, handicapped parking, and curb ramps which we encounter every day.

Second, and more important for us, there are several specific areas of the ADA that relate to the provision of public transportation. In general, these key elements include:

- Requiring all fixed route providers to have a complementary paratransit program for individuals who are prevented from accessing the fixed route system
- Requiring all new vehicles and facilities to be accessible
- Providing alternative format information and services, such as sign language interpretation at public meetings upon request
- Meeting signage requirements for stops and facilities
- Fixed route stop call outs for persons with visual impairments

You are required to be aware of all of the requirements your service may have under the ADA, both the regular law and the elements specifically for public transportation.

DRUG & ALCOHOL

There are two requirements under the heading of Drug & Alcohol.

The first is the requirement that you, as a workplace using state or federal money, maintain a Drug Free Workplace. This requires that you post notices that your workplace is a Drug Free Workplace and that the use, sale, or distribution of illegal substances is prohibited.

The second is the more comprehensive requirement for 5311 grants. As a recipient of 5311 funding, you are required to develop and maintain a federally compliant drug and alcohol testing program. This requires that all employees identified as "safety-sensitive" be subject to drug testing under the following conditions:

- Pre-employment
- Random



- Post-Accident
- Return to work
- Reasonable suspicion

DTR will work with you to develop your D&A program when you first receive 5311 funding. We also have a contractor that provides triennial D&A Reviews, training at both CASTA conferences, and provides an overview of the state of the industry each Fall. This contractor is available for technical assistance upon request. Simply contact your grant coordinator to arrange this assistance.

SAFETY & SECURITY

At present, the FTA has not completed their guidance for this category. Once CDOT has received guidance, you will receive additional information on what is required from you.

LOBBYING

Federal financial assistance may not be used to influence any member of Congress or an officer or employee of any agency in connection with the making of any federal contract, grant, or cooperative agreement. CDOT has chosen to require that all grant partners receiving federal or state funding complete and submit a standard form SF-LLL, sign a certification stating they comply and disclose the expenditure of nonfederal funds for such purposes (49 CFR part 20).

Other federal laws also govern lobbying activities. For example, federal funds may not be used for lobbying congressional representatives or senators indirectly, such as by contributing to a lobbying organization or funding a grass-roots campaign to influence legislation (31 U.S.C. 1352). These laws do not prohibit general advocacy for transit. Providing information to legislators about the services a recipient provides in the community is not prohibited, nor



is using nonfederal funds for lobbying, so long as the required disclosures are made.

The disclosure form is only required when a new grant partner receives an award from CDOT and then, quarterly, if there is a substantive change to the grant partner's lobbying efforts. There is an annual certification clause in the federal certifications and assurances (Group 02) which must be signed by you acknowledging your obligation to meet these requirements as well.

The annual certification and the quarterly updates, when appropriate, satisfy this requirement.



12.0 PROCUREMENT

INTRODUCTION

State and federal regulations regarding the procurement of goods and services are complex, detailed, and ever changing. As a result, CDOT has developed a procurement guidebook to assist you with the procurement process and explain what is expected at both the state and federal levels. This section duplicates the language of the guidebook but does not include the forms or the sample documents. Please refer to the DTR website for a full copy of the guidebook with forms at

<https://www.codot.gov/programs/transitandrail/transit>

It is important for you to understand that regardless of the complexities of the regulations, any agency that accepts state and/or federal grants must accept full responsibility for the procurement process and for assuring state and federal compliance.

While this Guidebook provides a good foundation, it is recommended that any Grant Partner conducting its own procurement become familiar with the FTA's "[Circular C 4220.1F: Third Party Contracting Guidance](#)" for a more complete understanding of federal procurement guidelines. Additionally, the FTA has created Procurement PRO, a web-based tool that guides FTA grant recipients through the federal procurement process

(<http://nationalrtap.org/supportcenter/PRO-Apps/ProcurementPRO>).

You should begin exploring procurement options as soon as a CDOT grant award notification is received. CDOT Grant Coordinators work with you to develop and finalize a *Scope of Work* for all funded capital projects that contain a comprehensive, accurate description of the project. Based on this, you may select a preferred procurement option.

PROCUREMENT LEVELS

The FTA identifies three unique categories of purchases: Micro-purchases, Documented Quotes (also known as small purchases), and Large

Procurements. Micro-purchases and Documented Quotes are exempt from Buy America provisions.

MICRO-PURCHASES

Procurements less than or equal to \$3,500. If permitted by state and local law, you may acquire equipment valued up to \$3,500 without obtaining competitive quotations. The following procedures apply to micro purchases:

- Micro-purchases should be equitably distributed among qualified suppliers.
- You may not divide or reduce the size of the procurement expressly to be within the micro-purchase limit.
- You should document that the purchase was “fair and reasonable” with a description of how this determination was made (FTA does not require that a rationale be provided for the procurement method used, selection of contract type, or the reason for contractor selection or rejection).

DOCUMENTED QUOTES

Procurements greater than \$3,500 but less than \$150,000. Lower thresholds may be set for Documented Quotes in compliance with local laws, or as organizations deem appropriate. The following procedures apply to Documented Quotes:

- Perform an independent cost estimate (discussed later in this section).
- You cannot divide or reduce the size of the procurement to avoid the additional procurement requirements applicable to larger acquisitions.
- Clear, accurate and complete specifications that provide for full and open competition.
- Avoid unreasonable qualifications, specifying brand-name products without allowing offers of an approved equal product and geographic preference.
- Contract term limitation should be considered to foster competition, pricing, fairness and public perception. Contract extensions that amount to an out-of-scope change will require a sole-source justification.



- You must obtain documented quotations from an adequate number of qualified sources.
- The successful bidder can be selected on the basis of price and those price-related factors listed in the solicitation including, but not limited to, transportation costs, life cycle costs, and discounts expected to be taken. Apart from responsibility determinations discussed in later sections of this Chapter, contractor selection may not be determined on the basis of other factors whose costs cannot be measured at the time of award
- You must perform a cost or price analysis (discussed later in the section).

LARGE PROCUREMENTS

Procurements greater than \$150,000. These procurements require a formal bid process and must adhere to all FTA procurement requirements (including Buy America) regardless of whether an Invitation to Bid (IFB) or Request for Proposal (RFP) process is followed. The vehicles and equipment procurement must be publicly solicited and the vehicles and equipment specifications should follow the Full and Open Competition Principle and not restrict competition.

- IFB – Award is based on the lowest responsive bid (i.e., lowest cost). This method is well-suited for uniform goods and services readily available and comparable in quality and function. Depending on the level of experience among your staff, the procurement process may be conducted directly.
- RFP – Award is based on a combination of cost and non-cost factors that equate to “best value.” This method is ideal for unique goods and services that vary in design and quality and may not be readily comparable. This method is also used if you have not determined a product or service, relying instead on the contractor/ vendor to propose a solution. In this case, you would evaluate the proposals to determine which best satisfies its needs. Depending on the level of experience among your staff, the procurement process may be conducted directly.



- Joint Procurement – Whether IFB or RFP, you jointly participate in another transit agency’s or organization’s bid. This requires all parties to agree on a common specification for a product and then commit to the results of the joint procurement, including quantities to be purchased. This includes purchasing off a state or CDOT price agreement when available.

TYPES OF PROCUREMENT METHODS

You may conduct your own procurement, join with other systems in an inter-agency procurement led by one of the participants, use a state administered procurement conducted on behalf of one or more transit systems, or use an existing state contract if the procurement satisfies all FTA requirements. Below is a summary of the various types of procurement methods you may use.

- Individual Agency. Individual agency procurement is a procurement process that is undertaken by one agency for specific good(s) or service(s). No other agencies are involved in the process.
- Joint Procurement. This is a competitive procurement involving more than one transit system. Each transit system must agree on the specifications and work together with one lead agency/person developing common specifications.
- Piggybacking. “Piggybacking” is the post award practice of allowing someone who was not included in the original procurement to purchase the same supplies or equipment through the original contract. Piggybacking is only allowed under certain circumstances, please contact your Grant Coordinator to learn more.
- CDOT Price Agreements. CDOT’s Division of Transit & Rail has established price agreements for commonly purchased buses and transit vehicles. This procurement method simplifies the procurement steps for you.
- State Price Agreements. The State of Colorado procures many services and commodities under State Commodity & Service Agreements. Agreements generally run for a year, with the possibility of renewal for a set period after the year is over. State agencies, and properly registered



counties, municipal corporations, regional transit authorities, airport authorities, school districts, park districts and other political subdivisions can use the State of Colorado agreements. The State's current contracts can be found at

<https://www.colorado.gov/pacific/dfp/price-agreements>.

CDOT'S OVERSIGHT OF THE PROCUREMENT PROCESS

As the designated recipient of FTA grant funds, CDOT must ensure that you are aware of and comply with Federal procurement requirements described in FTA Circular C 4220.1 (as amended). CDOT's involvement in the procurement process is expected/available at the following points in each Grant Partner's procurement process. *Please note that your procurement may be deemed invalid by CDOT should you not allow CDOT adequate review throughout your procurement process as listed below.*

- Notification to CDOT that your agency intends to procure goods and/or services with federal funds;
- Provide guidance for setting up procurement policies if your agency does not already have them in place (requirement for expending FTA funds)
- Once your bid package is ready, your Grant Coordinator must review and approve your procurement packet (Procurement Concurrence Request Form);
- Prior to your intent to award, your Grant Coordinator must review and approve the selection process you followed in arriving at your decision (Purchase Authorization Form);
- After award and/or delivery, your agency must follow the correct steps and provide proper documentation to receive reimbursement (Notice of Acceptance and Security Agreement Forms).



REQUIREMENTS FOR ALL PROCUREMENTS

This section is intended to provide a brief explanation of procurement requirements that apply to all procurements except micropurchases under \$3,500.

GRANT PARTNER REQUIREMENTS

WRITTEN PROCUREMENT PROCESS AND POLICIES

A prerequisite for your agency to expend federal and/or state funds is to have written procurement processes and policies. If your agency does NOT have written procurement policies in place, you will need to do this at this time. An example of basic "Procurement Standards" for you to use to develop your agency's guidelines can be found in the guidance document. The "Procurement Standards" sample is based on the State of Colorado's Procurement Code and Rules. Remember, that while all local agency procurement standards must comply with the regulations of the State of Colorado, when you are using federal funds to procure goods and services you must also comply with all federal regulations and comply the rules and regulations that are most stringent.

WRITTEN PROTEST PROCEDURES

Agencies must have written protest procedures to handle and resolve disputes relating to their procurements and shall in all instances disclose information regarding protests to CDOT and FTA. All protest decisions must be in writing. A protest must exhaust all administrative remedies with the agency before pursuing a protest with FTA.

WRITTEN STANDARDS OF CONDUCT

Agencies are required to protect the integrity of the procurement process by adopting written standards of conduct that assure that employees, board members and others do not participate in the selection, award or administration of contracts if they have real or apparent conflicts of interest.

INDIVIDUAL PROCUREMENT REQUIREMENTS

WRITTEN RECORD OF PROCUREMENT HISTORY

You must maintain records to detail the history of the procurement. The FTA's Procurement Best Practices Manual recommends that agencies maintain records for three years following project completion. Some examples of documentation to maintain in a written record of procurement history include:

- Purchase request, acquisition planning information and other pre-solicitation documents
- Rationale for the method of procurement (i.e. RFP, IFB, Sole Source)
- Independent cost estimate
- Copy of the solicitation, all addenda and all amendments
- List of sources solicited
- Copies of published notices of proposed contract action
- An abstract of each offer or quote
- Reasons for contractor selection or rejection
- Determination that contractor is responsive and responsible
- Determination that price is fair and reasonable including an analysis of the cost and price data
- Required internal approvals for award
- Notice of award
- Notice to unsuccessful quoters or offerors and record of any debriefing
- Record of any protest
- Required insurance documents, if any, and
- Notice to proceed

INDEPENDENT COST ESTIMATE

You must establish a cost estimate in advance of bidding out work to ensure a clear basis for analysis of cost or price. The cost estimate is developed based on product knowledge, experience, and market status, and is used in performing price and cost analysis later on in the procurement process. Samples are available in the procurement guidebook.

CLEAR, ACCURATE AND COMPLETE SPECIFICATIONS

You are required to provide adequate and realistic specifications or purchase descriptions for every procurement funded with FTA dollars. The specifications or purchase descriptions must be detailed, clearly written and must be reviewed by CDOT Grant Coordinators for accuracy and clarity prior to be released for bid.

WRITTEN PROCUREMENT SELECTION PROCEDURES

You must include in all solicitations, regardless of dollar amount, identification of all requirements that vendors/bidders must fulfill and all other factors to be used in evaluating bids or proposals. This ensures that procurements are awarded in a fair and equitable manner. (2 CFR 200.318)

COST OR PRICE ANALYSIS

You must perform a price or cost analysis before awarding a contract to determine if the bids provided are fair and reasonable. This analysis must be used in conjunction with the independent cost estimate created prior to the solicitation of price quotes for all types of procurements. The type (price or cost) and degree of analysis is dependent on the facts surrounding the particular procurement situation. In general the rule behind whether to do a PRICE or COST analysis is the following:

- Price analysis (which is comparing quotes to catalog or market prices, via previous contracts or comparison with other competitive proposals) may be performed for most procurements.

Sources of information that are available to conduct a price analysis include:

- Comparisons with other competitive proposals
- Previous contracts
- Catalog or market prices
- Historical prices and trending
- Independent cost estimates



- Cost analysis (which includes examining variances from the independent estimate as well as the differences between bids recorded, rather than assuming that open market pricing always equates to appropriate pricing) must be performed for procurements that:
 - Require the contractor to submit estimates for labor hours, overhead, and materials
 - Result in a situation where price competition is lacking
 - Consist of a sole source procurement

(2 CFR 200.323)

FTA REQUIRED CLAUSES

FTA REQUIRED clauses must be included in the procurement process, specifically at the time of bid to ensure compliance with applicable federal regulations. A Federal Clauses Table is shown at the end of this chapter.

COMPETITION

The Federal Transit Administration requires all procurements to be conducted in a manner providing for full and open competition. The principle of full and open competition has one primary and two secondary purposes. The primary purpose is to obtain the best quality and service at minimum cost. In other words, to get the best buy. The secondary purposes are to guard against favoritism and profiteering at public expense, and to provide equal opportunities to participate in public business to every potential proposer. The FTA considers the following practices to be restrictive of competition:

- Unreasonable requirements placed on firms in order for them to qualify to do business;
- Unnecessary experience and excessive bonding requirements;
- Noncompetitive pricing practices between firms or between affiliated companies;
- Noncompetitive awards to any person or firm on retainer contracts;
- Restrictive use of brand names ;
- Any arbitrary action in the procurement process;

- Geographic preferences ;
- Organizational Conflicts of Interest; and
- Prohibitive or restrictive type contracts.

FTA recommends soliciting at least three firms to ensure that an adequate level of competition is attainable. (2 CFR 200.319)

AWARD TO RESPONSIBLE CONTRACTORS

You are to only award contracts to contractors possessing the ability to perform successfully under the terms and conditions of a proposed procurement.

Responsibility determination factors include whether the prospective contractor has:

- The appropriate financial, material, equipment, facility and personnel resources and expertise (or the ability to obtain them) necessary to indicate its capability to meet all contractual requirements;
- The capability to comply with the required delivery schedule considering all their existing business commitments;
- A satisfactory record of performance – prior to awarding the contract, agencies must verify the vendor is not excluded from receiving federal contracts by searching a government website (www.sam.gov);
- A satisfactory record of integrity;
- Legal qualification to contract with Grant Partner; and supplied all necessary information in connection with the inquiry concerning responsibility.

DETAILED PROCUREMENT STEPS

These procurement steps are intended to offer guidance through a procurement process when utilizing federal and/or state funding. It is important to note that when local regulations are more restrictive than the federal/state regulations, or if the regulations should differ, the agency must follow the regulation that is most restrictive.

STEP 1 – Identify the Solicitation Process (how are you going to purchase the good or service?)



- CDOT Price Agreement:** A simplified process to purchase common transit vehicles such as a body-on-chassis (BOC) cutaway bus or ADA accessible minivan. CDOT staff has already completed many of the procurement requirements (See Method 1 under STEP 2).
- State of Colorado Price Agreement:** For use with FASTER funds only. This option is a simplified process to purchase common vehicles through Colorado state price agreements. The price agreements are open to any Colorado local government body and non-profits (non-profits must first register). To learn more, see <https://www.colorado.gov/pacific/dfp/price-agreements>. (See Method 1 under STEP 2).
- Micropurchase:** Purchases under \$3,500 (e.g., tires, parts, maintenance services, etc.) may be made without obtaining competitive quotes if the agency determines that the price is fair and reasonable.
- Documented Quote:** A procurement process for purchases between \$3,500 and \$150,000 that is simpler and less formal than larger dollar threshold procurements. Grant Partners must obtain at least two quotes (See Method 2 under STEP 2).
- Invitation for Bid/Request for Proposal (IFB/RFP):** A competitive procurement with formal rules and procedures. This must be used for all purchases over \$150,000 (see Method 3 under STEP 2).
- Piggyback:** Use an existing contract approved by other government entities for goods/services (See Method 4 under STEP 2).
- Qualification Based (Brooks Act):** This "qualifications based procurement method" must be used for the procurement of architectural and engineering services related to construction (See Method 5 under STEP 2).
- Sole Source:** Procurements done through solicitation of a proposal from only one source. A contract change that is not within the scope of the original contract is also considered a sole source procurement (See Method 6 under STEP 2).



STEP 2 – Develop Your Solicitation (select ONE “method” of acquisition that corresponds with the Solicitation Process you chose above. After completing the appropriate method, proceed to the next step)

Method 1 – For CDOT Price Agreement OR Colorado Price Agreement Purchases

1. Using CDOT's Procurement Concurrence Request (PCR) Form (see Section 4), obtain written approval from CDOT giving approval for using this process.
2. Contact the agreement vendor and obtain a vehicle quote that reflects your Scope of Work.
3. Forward your quote, along with your completed portion of CDOT's Purchase Authorization (PA) Form, to your Grant Coordinator. Once CDOT returns the form to you with the appropriate signature, you are authorized to complete the purchase agreement with the vendor.
4. Continue to “STEP 4 – Award and Contract Administration Requirements”

Method 2 – For Micropurchase (under \$3,500) Procurements

1. Identify and contact a vendor/supplier to complete the purchase. You may also obtain quotes (orally or written), but it is not required.
2. In your procurement file, document that the price is reasonable. Price reasonableness normally will be based on a comparison with historical prices paid for the item, commercial catalog prices, or other offers.
3. Your purchase is complete. There are no further steps for micropurchases. Proceed to Step 5 that discusses delivery and reimbursement.

Method 3 – For Documented Quote (\$3,500-\$150,000) Procurements

1. Complete an Independent Cost Estimate (see Section 5, Exhibit 2).
2. Develop a Documented Quotation (DQ) solicitation package. The solicitation package should contain at a minimum the following content (see Section 5, Exhibit 3 for a sample DQ package):



- a. The DQ document, which includes such things as the contact person, quantities to be bought, delivery terms, technical specifications, evaluation and submission criteria, etc.
 - b. If using federal funds, identify all required FTA clauses (see Section 3, Federal Clauses Table)
 - c. If using federal funds, include all relevant FTA certifications for proposers to sign (see Section 3, Federal Certs Table). This may include:
 - i. Debarment and Suspension Certification (all procurements)
 - ii. Bus Testing Certification (all transit vehicle procurements)
 - iii. TVM Certification (all transit vehicle procurements)
 - iv. FMVSS Certification (all transit vehicle procurements)
3. Notes about advertising DQs: Vendors should be allowed a minimum of three days to prepare quotes. Also, be sure to avoid geographic preferences when advertising.
 4. Using CDOT's Procurement Concurrence Request (PCR) Form (see Section 4 – including all backup documentation, i.e. the solicitation packet), obtain written approval from CDOT giving authorization to proceed with your solicitation.
 5. Continue to "STEP 3 – Solicitation and Bid Opening Submission Requirements"

Method 4 – For Formal Competition Procurements (IFB/RFP over \$150,000)

1. Complete an Independent Cost Estimate (see Section 5, Exhibit 2).
2. Develop an IFB/RFP solicitation package. The solicitation package should contain at minimum the following content:
 - a. Project Scope, Technical Specifications, Evaluation and Selection Criteria and their relative importance, protest procedures, etc.
 - b. If using federal funds, identify all required FTA clauses (see Section 3, Federal Clauses Table).
 - c. If using federal funds, include all relevant FTA certifications for proposers to sign (see Section 3, Federal Certs Table). This may include:
 - i. Lobbying Certification (all procurements)



- ii. Debarment and Suspension Certification (all procurements)
 - iii. Bus Testing Certification (all transit vehicle procurements)
 - iv. TVM Certification (all transit vehicle procurements)
 - v. FMVSS Certification (all transit vehicle procurements)
 - vi. Buy America Certification (vehicle and construction procurements over \$150,000)
3. Notes about advertising IFBs/RFPs: Solicitations should be advertised a minimum of 14 days for IFBs and 30 days for RFPs. Also, be sure to avoid geographic preferences when advertising.
 4. Using CDOT's Procurement Concurrence Request (PCR) Form (see Section 4– including all backup documentation, i.e. the solicitation packet), obtain written approval from CDOT giving authorization to proceed with your solicitation.
 5. Continue to "STEP 3 – Solicitation and Bid Opening Submission Requirements"

Method 5 – For Piggyback Procurements

Your agency may be able to take advantage of existing contracts awarded by other governmental entities for goods/services which you currently need. This practice is called "piggybacking."

1. Using CDOT's Procurement Concurrence Request (PCR) Form (see Section 4– including all backup documentation, i.e. the solicitation packet), obtain written approval from CDOT giving approval to proceed with the piggyback solicitation.
2. Request in writing to the contracting agency the right to piggyback off the existing contract.
3. Complete the Piggybacking Worksheet (see Section 5, Exhibit 5) to determine if you are able to participate in the piggybacking of an existing agreement.
4. Complete the pre-award self-certifications for Buy America and Purchaser's Requirements (see Section 3).
5. Using CDOT's Purchase Authorization (PA) Form, obtain written approval to proceed with the purchase (see Section 4).



6. Continue to “STEP 4 – Award and Contract Administration Requirements”

Method 6 – For Architectural/Engineering Procurements

Qualifications-based proposal procedures (Brooks Act Procedure) are required for projects related to or leading to a construction project. These procedures must be used not only when contracting for architectural and engineering services, but also for program management, construction management, feasibility studies, preliminary engineering, design, architectural, engineering, surveying, mapping and related services. The dollar amount of the project does not affect whether the Brooks Act is required. An offeror’s qualifications must be evaluated and price is excluded as an evaluation factor.

The Brooks Act requires that:

- A proposers qualifications are evaluated
 - Price must be excluded as an evaluation factor
 - Negotiations must be conducted with only the most qualified proposer; and
 - Failing to agree on price, negotiations are then conducted with the next most qualified proposer whose price is fair and reasonable.
1. If this procurement method is used, follow the same steps defined for Documented Quotes (less than \$150,000) or IFB/RFPs (>\$150,000), with the following exceptions:
 - a. The DQ/RFP is structured so that the cost information is submitted separately from the proposal itself.
 2. Continue to “STEP 3 - Solicitation and Bid Opening Submission Requirements”

(2 CFR 200.320)

Method 7 – For Sole Source Procurements

When the Grant Partner requires supplies or services available from only one source, and no other supplies or services will satisfy its requirements, the Grant Partner may make a sole source award. Subsequently, when the Grant Partner requires an existing vendor/contractor to make a change to its contract that is beyond the scope of that contract, the Grant Partner has made a sole source award. These scenarios must be justified in writing and supported with evaluation of continuing best value. This process is also followed in the event of a single submission to a formal competitive process (IFB/RFP) or documented quote (DQ).

Sole Source Justification Conditions:

The determination of unique capability or availability of property or services from one source will be considered if one of the five conditions described below are present and justified:

1. **Unique or Innovative Concept.** The bidder demonstrates a unique or innovative concept or capability not available from another source. Unique or innovative concept means a new, novel, or changed concept, approach, or method that is the product of original thinking, and has not in the past been available to the agency from another source.
2. **Patents or Restricted Data Rights.** Patent or data rights restrictions preclude competition.
3. **Substantial Duplication Costs.** In the case of a follow-on contract for the continued development or production of highly specialized services, when it is likely that award to another vendor/contractor would result in substantial duplication of costs that are not expected to be recovered through competition.
4. **Unacceptable Delay.** In the case of a follow-on contract for the continued development or production of a highly specialized service, when it is likely that award to another vendor/contractor would result in unacceptable delays in fulfilling the Grant Partner's needs.
5. **Unusual and compelling urgency** (per 4220 Chapter 6, page 19).
6. **Only one bid is received.**

(2 CFR 200.320)

Sole Source Justification Checklist:

The development of a Sole Source justification must be well documented and have several supporting components to it, and it must meet one or more of the above conditions. The following issues should be addressed in the justification:

- Justification – Why items/services to be purchased or performed are available only from a single source.
- Business Rationale – Reason for acquiring items or services and their applicability to the project.
- Alternative Evaluation – Narrative of sole source preference verses performing a re-solicitation and award.
- Cost/Price Analysis – A cost/price analysis is necessary for all sole source procurements to assure continued best value is being sought.
- Reasonableness of Price – Narrative of reasonableness of price, demonstrating the level of work being performed is a prudent and acceptable use of resources.
- Certification – Administrative sign-off on the sole-source justification in support of all documentation having been reviewed and approved.
- Scope of Services – Attach a current “Scope of Services” pertaining to the sole source award.

Sole Source Procurement Steps:

1. Complete an Independent Cost Estimate (see Section 5, Exhibit 2).
2. Submit a written Sole Source justification to CDOT for review. Please note, some sole source procurements may also require FTA approval. Your grant coordinator will advise you when this is the case.
3. If this procurement method is used, follow the same steps defined for Documented Quotes (less than \$150,000) or IFB/RFPs (>\$150,000).
4. Using CDOT’s PCR Form (see Section 4), obtain written approval from CDOT giving approval to proceed with the sole source solicitation.
5. Continue to “STEP 3 – Solicitation and Bid Opening Submission Requirements



STEP 3 – Solicitation Advertisement, Opening, and Evaluation

The Solicitation and Bid Opening phase encompasses the advertising, opening, review, analysis, and the selection of winning vendors for Documented Quotes, Formal Competition, Qualifications Based, and Sole Source procurements. Detailed and comprehensive execution of this phase can help avoid conflicts that could result in delay or possibly a re-bid of the entire project.

Examination of all proposals received for responsiveness to all instructions, forms, terms and specifications contained in the solicitation is necessary to provide a proper evaluation. Failure to do so may adversely affect the evaluation of the Bid.

The checklist below is intended to offer guidance through the opening and review phase of a solicitation according to federal/state guidelines. However, because of the brevity of this document, it is not exhaustive and does not constitute full compliance.

If your purchase is from the CDOT Price Agreements, the Colorado Price Agreements, or through a piggyback, please skip to “Step 4 – Award and Contract Administration”.

1. Describe the process and considerations you took for advertising, opening and reviewing responses, and how you selected the winning vendor in an Award Memo. Information in this step should be submitted to CDOT in a summary document (see sample in Appendix VII of the Guidebook). This does not have to be a lengthy document, particularly for Documented Quotes. Consider the following guidelines in preparing your summary of the selection process:
 - a. Advertisement of the solicitation without geographic preference, except in A/E under certain circumstances, is required. The FTA prohibits specifying in-state or local geographical preferences, or



- evaluating quotes/bids/proposals in light of in-state or local geographic preferences. Describe how you avoided geographic preference in your advertising.
- b. Solicitation Advertisement Minimums. Colorado procurement regulations require that solicitations be advertised a minimum of 14 days for IFBs and 30 days for RFPs. For Documented Quotes, vendors should be allowed a minimum of three days to prepare quotes. Describe how your solicitation met this requirement.
 - c. Pre-Bid Meeting (IFBs and RFPs only). Communicating with potential vendors/contractors through pre-bid conferences is a good way to control costs and minimize protests. The Grant Partner should post and make the materials distributed and discussed at the conference available to potential bidders. Was a Pre-Bid Meeting held? If so, describe how all material and discussions were posted and made available. Describe how you made answers to questions and clarifications available after the meeting.
 - d. Responsiveness Evaluation. Describe the factors you used in determining if the vendors are responsive and responsible.
 - e. Summary of Quotes/Bids/Proposals. Document all responses to the solicitation. Provide information about whom and how many responded to the solicitation.
 - f. Bid opening and recording (IFBs only). The opening of bids is a public event. The bids are opened at a specified time and recorded on a document called an Abstract of Bids and this document is available for public inspection after completion. Describe how the bid opening and recording was performed.
 - g. Cost or Price Analysis. A cost or price analysis is required for every contract and every change order so that the essential objective of a reasonable price is assured. See Section 1 for more information. Describe the analysis you conducted and its outcome.
 - h. Award Selection and Justification. In general, DQs are awarded based on best value, with cost being the primary consideration.



IFBs are awarded based on lowest responsive and responsible bidder. RFPs are awarded based on criteria listed in the solicitation.

The decision to award the contract must be supported with documented justification explaining the decision. Grant Partners can only make awards to responsible vendors possessing the ability to perform successfully under the terms and conditions of the proposed procurement. Consideration should be given to such matters as vendor integrity, compliance with public policy, record of past performance, and financial and technical resources. Please describe the process and criteria you used in evaluating responses and how you determined vendor responsibility.

- i. Formal Protests. Were any filed? If you answered yes, has CDOT received all pertinent documentation? How were they addressed?
2. If appropriate, ensure the vendor has provided the appropriate Federal certifications. If using FTA funds, the vendor needs to sign several certifications (samples of these certifications are included in Section 3 of the Guidebook):
 - a. Lobbying certification (if purchase exceeds \$150,000)
 - b. Debarment and Suspension certification (if purchase exceeds \$25,000).
 - c. Bus Testing certification (all bus and ADA van/minivan vendors)
 - d. Disadvantaged Business Enterprise TVM Certification (all transit vehicle manufacturers)
 - e. FMVSS standards (all vehicle vendors).
 - f. Buy America certification (all vendors whose projects exceed \$150,000)

Additionally, Grant Partners must sign certifications (“pre-award certifications”). Samples of these certifications are included in Section 3.

- a. Grant Partners must sign a certification verifying the goods or vehicles meet the Buy America requirements.
- b. If purchasing vehicles, the Grant Partner must complete a Purchaser’s Requirements certification.



- c. If purchasing vehicles, the Grant Partner must complete an FMVSS certification.
3. Review Federal database to ensure eligibility. Grant Partners are required to ensure that the winning contractor is not suspended, debarred, ineligible, or voluntarily excluded from participation federally assisted procurements. Use www.SAM.gov to search the name of the contractor, print out the results, and include in your documentation.
4. Develop a draft copy of proposed purchase order/contract. A draft copy of the purchase order/contract for your goods/services should be developed.
5. Receive documented, written approval received from CDOT to proceed (CDOT PA Form).
6. Continue to "STEP 4 – Award and Contract Administration"

STEP 4 – Award and Contract Administration

The Checklist below is intended to offer guidance through the Award and Contract Administration phase.

1. Finalize contract/PO
2. Change orders require approval before project can proceed further.
 - a. A contract amendment or change order that is not within the scope of the original contract is considered a sole source procurement and a cost/price analysis must occur.
3. Has all documentation gathered above been placed in the project procurement history?
4. Continue to "Step 5 – Delivery and Reimbursement Requirements"

STEP 5 – Delivery and Reimbursement

The closeout of routine purchase orders or contracts will need to ensure that all acquisitions have been inspected and accepted in conformance with the purchase order/contract specifications. An inspection/acceptance form should be in the procurement file verifying the vendor/contractor's delivery of all contract end items and deliverables, including any descriptive literature or



warranty documentation. There must also be documentation verifying final payment.

Major elements of the closeout process, and related documentation, include:

1. Ensure resolution of all contract changes, claims, and final quantities to be delivered have occurred.
2. Use the Notice of Acceptance to formally accept the vehicle. Only complete this form if you are satisfied with the condition of the vehicle.
3. Ensure all applicable federal post-delivery certifications have been signed, received, and documented:
 - a. For vehicles or construction purchases over \$150,000, the Grant Partner must sign a post-deliver Buy America Certification (in addition to the Buy America Certification signed prior to award). Please note that if you are purchasing off the State price agreement or a consortium process, the entire procurement qualifies for the \$150,000 threshold. Even if you are purchasing a single vehicle, you must complete the Buy America Certification as a result. This certification is only required post-delivery as CDOT or the consortium will have the pre-award certifications on file.
4. If purchasing transit vehicles, the Grant Partner must sign a Post Delivery Purchaser's Requirements certification and Post Delivery FMVSS certification (in addition to the Purchaser's Requirements Certification signed prior to award).
5. Ensure all required documentation (final reports, lease & service agreements, maintenance policy and plans, etc.) have been submitted.
6. Complete the CDOT Security Agreement Form (see Section 4 of the Guidebook) and return it to CDOT. This form must be taken to your county DMV office when you title the vehicle.
7. Submit for reimbursement from CDOT. Please refer to this list to ensure that CDOT has received all appropriate procurement documentation prior to sending a reimbursement request from CDOT:
 - All CDOT procurement forms
 - Copy of the original vendor invoice
 - Canceled check/ledger account showing payment to vendor



- Proof of insurance
- Copy of the DMV Application for Title/Registration/DR 2395 (CDOT must be shown as 1st lien holder)

FEDERAL CLAUSES AND CERTIFICATIONS

One of the principles of contracting with federal funds received directly or indirectly from FTA is a recognition that, as a condition of receiving the funds, certain specific federal requirements must be met not only by the recipient of the funds (CDOT) but also by you and your third party vendors/contractors. The federal requirements to be met by your third parties will be defined by the clauses and certifications included in your third party contracts/purchase orders.

The clauses and certifications are outlined in the table below according to procurement type and cost threshold. Micro-purchases (purchases under \$3,500) do not require federal clauses and are not included in the table, except Davis-Bacon requirements that apply to construction contracts over \$2,000. Note that some clauses are utilized in all contract types and funding while others are related to a cost threshold or contract type.

Once you identify the applicable clauses, include them in your agreement with the vendor. For most clauses, the relevant statutes and regulations do not mandate any specified clause language. However, FTA has provided sample clause language (http://www.fta.dot.gov/12831_6195.html) that can be included in your contract. Additionally, Example text of the FTA third party contract clauses and certifications can be obtained through "Procurement Pro," an online procurement management system produced by National RTAP. For certifications, further below we have provided some sample certifications that you may include.

You are responsible for evaluating these requirements for relevance and applicability to each procurement. You should work with CDOT to ensure completeness of contract clauses and certifications.

FEDERAL CLAUSES TABLE

CLAUSE	TYPE OF PROCUREMENT						
	Professional Services/A&E	Operations/ Management	Rolling Stock Purchase/ Refurbs	Construction	Equipment, Materials and Supplies	FASTER	
						Rolling Stock	Other
No Government Obligations to Third Parties (#19)	All	All	All	All	All	All	All
Program fraud and false or fraudulent statements and related acts (#20)	All	All	All	All	All		
Access to Records and Reports (#11)	All	All	All	All	All	All	All
Federal Changes (#12)	All	All	All	All	All		
Civil Rights (Title VI, EEO, ADA) (#24)	All	All	All	All	All	All	All
Incorporation of FTA Terms (#30)	All	All	All	All	All		
Energy Conservation (#6)	All	All	All	All	All		



CLAUSE	TYPE OF PROCUREMENT						
	Professional Services/A&E	Operations/ Management	Rolling Stock Purchase/ Refurbs	Construction	Equipment, Materials and Supplies	FASTER	
						Rolling Stock	Other
Disadvantaged Business Enterprises (DBEs) (#28)	All	All	All	All	All	All	All
Bus Testing (not minivans) (#8)			All			All	
Termination Provisions (#21)	>\$10,000	>\$10,000	>\$10,000	>\$10,000	>\$10,000	>\$10,000	>\$10,000
Gov't-wide Debarment and Suspension (#22)	>\$25,000	>\$25,000	>\$25,000	>\$25,000	>\$25,000	>\$25,000	>\$25,000
Buy America (#2)			>\$150,000	>\$150,000	>\$150,000 (for steel, iron, manufactured products)		
Breaches and Dispute Resolution (#25)	>\$150,000	>\$150,000	>\$150,000	>\$150,000	>\$150,000		
Lobbying (#10)	>\$150,000	>\$150,000	>\$150,000	>\$150,000	>\$150,000	>\$150,000	>\$150,000



CLAUSE	TYPE OF PROCUREMENT						
	Professional Services/A&E	Operations/ Management	Rolling Stock Purchase/ Refurbs	Construction	Equipment, Materials and Supplies	FASTER	
						Rolling Stock	Other
Clean Air (#14)	>\$150,000	>\$150,000	>\$150,000	>\$150,000	>\$150,000		
Clean Water (#7)	>\$150,000	>\$150,000	>\$150,000	>\$150,000	>\$150,000		
Cargo Preference (#4)			Involving property that may be transported by ocean vessel	Involving property that may be transported by ocean vessel	Involving property that may be transported by ocean vessel		
Fly America (#1)	Involving foreign transport or travel by air	Involving foreign transport or travel by air	Involving foreign transport or travel by air	Involving foreign transport or travel by air	Involving foreign transport or travel by air		
Davis-Bacon (#16)				>\$2,000 (including ferry vessels)			



CLAUSE	TYPE OF PROCUREMENT						
	Professional Services/A&E	Operations/ Management	Rolling Stock Purchase/ Refurbs	Construction	Equipment, Materials and Supplies	FASTER	
						Rolling Stock	Other
Copeland Anti-Kickback Act (#16)				Section 1: All Section 2: >\$2,000 (including ferry vessels)			
Contract Work Hours and Safety Standards Act (#17)		>\$150,000	>\$150,000	>\$150,000 (including ferry vessels)			>\$150,000 (Construction)
Bonding (not required of states) (#13)				>\$150,000 (including ferry vessels)			
Seismic Safety (#5)	A&E for new buildings and additions			New buildings and additions			



CLAUSE	TYPE OF PROCUREMENT						
	Professional Services/A&E	Operations/ Management	Rolling Stock Purchase/ Refurbs	Construction	Equipment, Materials and Supplies	FASTER	
						Rolling Stock	Other
Transit Employee Protective Arrangements (#27)		Transit operations funded with Section 5307, 5309, 5311, 5316, or 5339 funds					
Charter Bus Service Operations (#3)		All					
School Bus Operations (#3)		All					
Drug and Alcohol Testing (#31)		Transit operations funded with Section 5307, 5309, 5311, 5316, or 5339 funds					
Recycled Products (#15)		Contracts for items designated by EPA, when procuring \$10,000 or more per year		Contracts for items designated by EPA, when procuring \$10,000 or	Contracts for items designated by EPA, when procuring \$10,000 or more per year		



CLAUSE	TYPE OF PROCUREMENT						
	Professional Services/A&E	Operations/ Management	Rolling Stock Purchase/ Refurbs	Construction	Equipment, Materials and Supplies	FASTER	
						Rolling Stock	Other
				more per year			

FEDERAL CERTIFICATIONS TABLE

CERTIFICATIONS	TYPE OF PROCUREMENT						
	Professional Services/A&E	Operations/ Management	Rolling Stock Purchase/ Refurbs	Construction	Equipment, Materials and Supplies	FASTER	
						Rolling Stock	Other
Certification Regarding Lobbying	>\$150,000	>\$150,000	>\$150,000	>\$150,000	>\$150,000	>\$150,000	>\$150,000
Certification Regarding Debarment and Suspension	>\$25,000	>\$25,000	>\$25,000	>\$25,000	>\$25,000	>\$25,000	>\$25,000
Certification Regarding Bus Testing (new buses only)			All			All	
Pre-Award Audit Certification (includes Rolling Stock Buy America, Purchaser's Requirements, and FMVSS)			All (Excludes Refurbs)			All (Excludes Buy America/ Refurbs)	

CERTIFICATIONS	TYPE OF PROCUREMENT						
	Professional Services/A&E	Operations/ Management	Rolling Stock Purchase/ Refurbs	Construction	Equipment, Materials and Supplies	FASTER	
						Rolling Stock	Other
Construction Pre-Award Buy America Certification (Steel, Iron, Manufactured Products)				>\$150,000	>\$150,000		
Post Delivery Audit Certification (includes Rolling Stock Buy America, Purchaser's Requirements, and FMVSS)			All (Excludes Refurbs)			All (Excludes Buy America/ Refurbs)	
On-Site Inspector's Report (if ordering more than 20 buses)			>\$150,000				
Transit Vehicle Manufacturer Certification (bus and accessible vehicle manufacturers)			All (Excludes Refurbs)				

Please see the Procurement Guidebook for all of the relevant forms and checklists for documentation as well as sample certifications, clauses, and documents. It is available at

<https://www.codot.gov/programs/transitandrail/transit>





13.0 ASSET MANAGEMENT

As the recipient of FTA and/or state transit funding, DTR is responsible for ensuring that the assets purchased with transit funding are used for appropriate purposes and are maintained in a state of good repair for as long as they are used in transportation service.

Capital assets are tangible items with a purchase price of \$5,000 or more and a useful life of at least one year. Capital assets include the following examples:

- Rolling stock (all vehicles used for passenger transport)
- Vehicles that are not used for passenger transportation (such as maintenance and staff vehicles)
- Shop equipment (fixed or mobile vehicle maintenance equipment)
- Office equipment (computers, copiers, and other large office equipment)
- Communications equipment (telephone and radio systems when the purchase is \$5,000 or more)
- Security/Surveillance Equipment (includes security systems such as lighting, cameras and recording equipment)
- Passenger shelters and signage
- Buildings and facilities (maintenance shops, transit centers, park-n-rides, etc.)

Grant Partners are required to notify DTR when the agency can no longer use an asset, if the original purpose for the asset changes, a service is terminated, the transit project ends, or the agency is closing or no longer providing transportation services.

ASSET MANAGEMENT PLAN

All Grant Partners are expected to develop a transit asset management plan. This requirement can be met by either participating in the development of a group plan or by developing a standalone plan.



If your agency participates in a group asset management plan, your agency will be expected to:

1. Coordinate with an accountable executive from each participating agency
2. Provide all necessary information (inventory, condition assessments, investment priorities, etc.) to complete the group plan.

An asset management plan is dependent on the quality and thoroughness of inventory data. Grant Partners are expected to annually update their inventory information in CDOT's online inventory, COTRAMS.

All transit asset management plans must include a condition assessment of each asset. DTR expects its Grant partners to use its "Vehicle and Facility Condition Assessment Guidance" to assist them in assigning condition.

VEHICLE ASSET MANAGEMENT

Each agency receiving capital grant funds from DTR to purchase vehicles is expected to manage its assets safely, efficiently, and effectively.

MAINTENANCE

CDOT requires that every Grant Partner receiving capital grant funds to purchase vehicles have a fleet maintenance policy. This policy or plan outlines how you intend to maintain your rolling stock assets. The FTA requires that, at a minimum, agencies show that they maintain their vehicles according to the manufacturers' standards for oil changes, fluid replacement, and preventative maintenance. Your policy is your written plan for doing so. This policy must also address how you ensure that any work eligible under a warranty is performed through the warranty process.

MINIMUM USEFUL LIFE

In accordance with FTA standards, DTR has established [useful life standards](#) for vehicle replacement funded with federal and state money (see Chapter 15 -

Templates). The useful life begins on the date the vehicle is placed in revenue service and continues until it is removed from revenue service. The minimum useful life in years refers to total time in transit revenue service, not time spent stockpiled or otherwise unavailable for regular transit use. Grant Partners are required to notify DTR if a vehicle has been out of service for 90 consecutive calendar days as this may affect its useful life.

Agencies should not confuse DTR's minimum useful life standards with developing an agency's internal vehicle life cycle planning and fleet management policies. DTR's vehicle useful life standards establish how often federal and state funds may be used to purchase a replacement vehicle in DTR's grant programs. Many transit agencies continue to safely operate vehicles as part of their fleet well past the DTR useful life standards.

Each agency providing transportation services is unique and should adopt appropriate internal vehicle replacement life cycle guidelines. Guidelines should include factors such as service area terrain, road conditions, weather and environmental conditions, age and status of the agency's current fleet, typical vehicle wear and tear, urban or rural driving conditions, passenger safety issues, maintenance service availability, and financial constraints. However, once it is no longer cost-effective to retain a vehicle due to high maintenance costs, agencies are encouraged to replace them.

VEHICLE INVENTORY REQUIREMENTS

All vehicles purchased with federal or state funds must be included in DTR's COTRAMS inventory. The vehicle inventory should contain rolling stock used for passenger transportation service and vehicles not used for passenger service (e.g., maintenance and staff vehicles).

The vehicle inventory should include the following data elements and should be updated as new vehicles are acquired or old ones are disposed of or taken permanently out of passenger transportation service:

- Vehicle Type
- Year of manufacture

- Vehicle manufacturer (body manufacturer for cutaway vehicles)
- Vehicle model
- Vehicle length
- Fuel type
- Vehicle Identification Number (VIN)
- The original cost of the asset
- Date placed into service
- Minimum useful life (DTR will provide)
- The funding source and percentage of federal/state participation in the cost
- Mileage (annual update required)
- Vehicle condition (annual update required). Please refer to DTR's "Transit Vehicle and Facility Condition Assessment Guidance" when assessing the condition of your assets.
- Vehicle usage (annual update required)
- Date removed from revenue service (if applicable)
- Disposal method (if applicable)
- Method to determine fair market value
- Sale price

VEHICLE DISPOSITION

Grant Partners must dispose of grant-funded vehicles in a manner consistent with the State Management Plan, which is further described below. Prior to the disposal of any grant-funded vehicle, you must contact your DTR Grant Coordinator who will coordinate with the appropriate state and/or federal personnel.

Generally, vehicles must first reach minimum useful life standards before it is eligible for disposal. However, if Grant Partners need to dispose of a vehicle before it has met either its useful life in miles or age, there are two options:

1. Like-Kind Exchange: Grant Partners may choose to transfer the remaining government interest to a replacement vehicle of like kind. "Like-Kind" is defined as a bus for a bus with similar useful life. Refer to



FTA Circular 5010.1E and your DTR Grant Coordinator for more information.

2. **Transfer:** With DTR's assistance, a Grant Partner may transfer rolling stock to another Grant Partner. Refer to FTA Circular 5010.1E and your DTR Grant Coordinator for more information.

If a vehicle has reached its minimum useful life, the Grant Partner may continue to use it for transit projects or programs. If the vehicle is no longer needed, the Grant Partner may sell it under the following conditions:

1. Vehicles with a unit market value of \$5,000 and that have reached the end of their useful life require no reimbursement to CDOT or FTA.
2. Grant Partners may follow local procedures for disposal as long as the process involves an open public bid or auction process. This process must not limit the sales price of the asset
3. Equipment that has reached the end of its service life and for which the unit market value exceeds \$5,000 must return the federal and/or state interest portion of the sale proceeds to CDOT and use the remaining funds for transit related purposes, preferably as match for a future capital grant purchase. For example, a vehicle is sold at auction for \$12,500. The original cost of the vehicle was \$50,000 of which 80% was paid for using a federal grant. The grant partner would return 80% of the sold price of \$12,500, or \$10,000, to CDOT. CDOT will collect all such balances until sufficient funds are available to provide a future capital grant.
4. The Grant Partner must record the receipt of the sales proceeds in the vehicle's inventory disposition record in COTRAMS. CDOT will use this information when awarding future grants.
5. Grant Partners must also maintain a copy of the documentation in the vehicle file, including page of auction or bid notice listing the vehicle, the sales receipt showing vehicle purchase price, and any other relevant documentation. DTR will require copies or review this documentation, which must be retained for at least three years **after** disposal.
6. Regardless of the method of disposal, any vehicle being disposed of must have a free and clear title. Agencies must request the title to be released by DTR even when a vehicle will be "junked." The wrecking company will



need to provide the title to DMV showing that the vehicle is no longer operational.

Titles are released to the owner (Grant Partner) when requested for disposal, once useful life standards have been met. When a vehicle is requested to be transferred to another agency for similar service, DTR releases the title for changes but must remain on the title as first lien holder as long as it is used for public transportation. DTR releases interest in vehicle titles when a vehicle is being sold or donated to agencies that are not providing public transportation.

CASUALTY LOSS

If a vehicle is withdrawn from service due to damage from an accident, theft, or vandalism, the agency must immediately notify their DTR Grant Coordinator. The following actions will be taken:

1. If the damaged vehicle can be repaired, the Grant Partner is responsible to make necessary repairs to restore the vehicle to its original working condition. The cost of such repairs shall be borne by the agency, from local funds, and/or insurance proceeds.
2. If the vehicle cannot be adequately repaired, is stolen, or otherwise unrecoverable, the following steps must be taken:
 - a. Insurance adjustor determines the Fair Market Value (FMV) of the vehicle at the time it was removed from service. The transit agency will need to provide the last mileage reading and condition.
 - b. The Grant Partner will promptly file an insurance claim for damage or loss of vehicle. DTR will be provided a copy of the insurance claim, and subsequent correspondence with the insurance carrier or agent.
 - c. When an insurance settlement is received, the proceeds are designated as federal/state funding and local funding based on the original vehicle funding. For example, if a \$100,000 vehicle was purchased with federal and local funds at the 80:20 ratio, then the insurance proceeds, for example, \$20,000, are also split for \$16,000 federal and \$4,000 local. Grant partners are required to use the entire insurance settlement in the purchase of the replacement



vehicle. The insurance settlement will immediately assign \$16,000 of the cost for the replacement as continuing federal interest.

Depending on the method of funding for the remainder of the replacement cost, the federal/state interest may be \$16,000 of the full cost (say \$100,000 like the original vehicle) or, if the remainder is funded with a CDOT grant, the full value might have 80% federal/state interest as a result of the additional grant funding.

- d. Grant Partner would request DTR to release the vehicle title. When a new vehicle is purchased, DTR must be the first security interest holder (lien holder) on the title of the new vehicle.
- e. If for some reason the Grant Partner determines that it can meet existing service levels without replacing the vehicle, or for some other reason does not plan to replace the vehicle, contact DTR. The agency will be required to use the insurance proceeds to pay DTR the grant share at the current FMV of the vehicle.

EQUIPMENT ASSET MANAGEMENT

Each agency receiving capital grant funds from DTR to purchase capital assets is expected to manage its assets safely, efficiently, and effectively. This section refers to managing non-rolling stock equipment such as:

- Vehicle Equipment (e.g., fare boxes and bike racks)
- Shop Equipment for vehicle maintenance
- Computer Equipment and Software required to put the equipment into service (e.g., servers, PCs, printers, etc.)
- Computer software systems of \$5,000 or more (e.g., scheduling software, maintenance/fleet management software, etc.)
- Communications Equipment (e.g., telephone systems, radio systems, and security systems with an aggregate cost of \$5,000 or more)



- Security and Surveillance Equipment (e.g., lighting, and video surveillance systems)
- Light-duty sedans, cargo vans, and trucks that are **not** used for passenger transportation (e.g., maintenance vehicles, staff vehicles, etc.).

MAINTENANCE

All grant-funded equipment should have a basic, written maintenance plan. In most cases your equipment will be associated with a facility and should be included as part of your facility maintenance plan (see below for more information about facility maintenance plans).

Maintenance plans should be within 20% of the manufacturer's recommended timelines, and should include any required warranty service or inspections, as well as a schedule of preventive maintenance. Record-keeping should include a file with copies of all procurement documents, such as the purchase order, manufacturer's specifications and warranty, and a schedule of inspections, service, and repairs which were done for the equipment. These records must be maintained as long as the equipment is used in the service or program it was purchased for, plus three additional years.

MINIMUM USEFUL LIFE

DTR has established minimum [useful life standards](#) for grant-funded equipment (see Chapter 15 - Templates). These standards were established in accordance with FTA guidelines and reflect a combination of industry standards, DTR experience, and consultation with other state counterparts. Agencies should not confuse DTR's minimum useful life standards with developing an agency's internal life cycle planning policy.

EQUIPMENT INVENTORY REQUIREMENTS

All equipment purchased with federal or state funds must be included in DTR's COTRAMS inventory.

NOTE: While maintenance and staff vehicles are classified as non-rolling stock equipment, in COTRAMS the Grant Partner should inventory these vehicles as Rolling Stock.

The inventory should include the following data elements and should be updated as new equipment is acquired or old equipment is replaced:

- Equipment type
- Equipment description
- Date purchased
- Minimum useful life (DTR will provide)
- The funding source and percentage of federal/state participation in the cost
- Date removed from revenue service (if applicable)
- Disposal method (if applicable)
- Method to determine fair market value
- Sale price

EQUIPMENT DISPOSITION

Generally, requirements for approved disposal of grant-funded equipment follow the requirements for disposal of vehicles, although DTR does not hold title to equipment. Please refer to the section above on disposal of grant-funded vehicles for more detailed information and requirements.

Grant-funded equipment must meet or exceed established minimum useful life standards for replacement with DTR grant funds.

Equipment may be disposed of through the following methods:

1. Sale by open bid process or public auction
2. Transfer to a public or nonprofit agency
3. Donation to a charity if value is under agency threshold for capital

Equipment that has reached the end of its useful life and for which the unit market value exceeds \$5,000 (or supplies with a total aggregate value of \$5,000) must use the government interest to reduce the gross project cost of other

future capital transit grants. As an example, an old vehicle sells for \$12,500 and its replacement costs \$100,000. FTA's or CDOT's portion of the vehicle (usually 80 percent, or \$10,000 in this example) must be applied to reduce the cost of the new vehicle—the overall cost of new vehicle is now \$90,000 (\$100,000 - \$10,000). A CDOT or FTA grant to replace the vehicle will provide up to a maximum of 80 percent of the \$90,000 project cost.

The Grant Partner must record the receipt of the sales proceeds in the equipment's inventory record in COTRAMS. CDOT will use this information when awarding future grants.

Grant Partners should maintain copies of relevant disposition in the asset file, which must be retained for three years after disposal.

FACILITY ASSET MANAGEMENT

Facilities include the following capital assets:

- Passenger shelters
- Signs
- Amenities such as passenger benches and bicycle lockers
- Bus barns and storage sheds
- Bus parking areas
- Bus maintenance facilities
- Transit infrastructure such as transfer facilities
- Park and ride lots, facility parking lots, sidewalk improvements
- Transit administration facilities

Capital facility projects fall into two general categories:

1. **Passenger Shelters, Signs and Amenities.** These are small to moderate projects with limited planning, permitting, documentation and environmental review requirements. These projects can generally be accomplished within existing agency staff assignments and resources and have a shorter implementation schedule. Passenger shelters are

often purchased pre-fabricated, as are most amenities such as benches and bicycle lockers. Assembly and installation requirements are usually minimal to moderate. ADA accessibility is a requirement for all facility projects.

2. **Structures and Facilities.** These are major projects involving significant physical improvements and structures, from park and ride lots to constructing large facilities such as bus barns, maintenance shops and transit centers. These projects require dedicated construction management resources and may require significant planning, public involvement, permits, inspections and environmental review. Time schedules for major structures and facilities projects can range from two to three years and these projects require a major commitment of agency staff resources.

MAINTENANCE

All grant-funded facilities must have a written facility management plan. This is both a DTR and FTA requirement. The facility management plan must be completed and a copy submitted to DTR prior to final payment.

There are two levels of maintenance plan requirements, based on the type, size and cost of the facility. Bus shelters and other small capital facilities only require a simple maintenance plan. Structures and facilities require additional information. DTR has examples of both types of maintenance plans.

Bus Passenger Shelters, Signs and Amenities – Maintenance Plan Requirements

A facility maintenance plan should include the following components:

- A facility inspection program should include a form or checklist, a schedule and dates of periodic inspection (typical inspection areas would include roof, flooring, plumbing and electrical panels);
- A maintenance schedule for installed equipment, appliances and furnishings, based on manufacturer recommendations for each item or system (for example, HVAC equipment);

- A process for managing and monitoring any facility-related warranties, including installed equipment;
- A procedure for follow-up repairs arising from building inspections, as well as for unplanned equipment breakdowns of installed equipment and documentation such as a form (example: work order) or online system for recording the repairs.

Structures and Facilities – Facility Management Plan Requirements

Facility maintenance plans for major capital facilities should include the information listed above for simple facilities, plus the following components:

1. Agency's goals and objectives for management of the facility, and how these were established.
2. A description of the facility, including year of construction, description of rehabilitations, and uses.
3. Agency organization chart and description of facility maintenance responsibilities that includes management, supervision, and maintenance staff—who is responsible for what activities (whether done by staff, contracted or both).

MINIMUM USEFUL LIFE

DTR has established minimum [useful life standards](#) for grant-funded facilities (see Chapter 15 - Templates). These standards were established in accordance with FTA guidelines and reflect a combination of industry standards, DTR experience, and consultation with other state counterparts. Agencies should not confuse DTR's minimum useful life standards with developing an agency's internal life cycle planning policy.

FACILITY INVENTORY REQUIREMENTS

All facilities purchased with federal or state funds must be included in DTR's COTRAMS inventory:

- Name of facility

- Facility type
- Property location
- Total square footage
- Transit dedicated square footage
- Original cost
- Date purchased/constructed
- Minimum useful life (DTR will provide)
- The funding source and percentage of federal/state participation in the cost
- Condition of the facility
- Date removed from revenue service (if applicable)
- Disposal method (if applicable)
- Method to determine fair market value
- Sale price

FACILITY INSURANCE

All major structures and facilities funded under DTR grants must have adequate insurance throughout the life of the facility. Evidence of appropriate insurance coverage (a Certificate of Insurance from the agency's insurance carrier or agent showing CDOT DTR listed as additional insured) must be submitted for final payment of any DTR grant funded facility project. DTR must be listed as additional insured and be provided copies of all future insurance coverage notices from the carrier.

The level of insurance coverage should be commensurate with the cost and risk potential for replacing the facility. Commercial building insurance that protects against loss from fire, flood, or other events or defects is appropriate for buildings and constructed facilities. Agencies should also carry general liability insurance covering employees and visitors to the facility in the event of injury or accident on the premises.

Please consult with your agency's risk manager and/or insurance broker regarding appropriate insurance coverage for your facility.

FACILITY DISPOSITION

Disposal of grant-funded facilities is not common. Facility categories which are most commonly disposed of and replaced include passenger shelters, signs, amenities such as benches and bicycle lockers, fencing and equipment sheds. Generally, it is not expected or intended that grant-funded major structures and facilities such as buildings or transit infrastructure will be replaced. Agencies with these more permanent facilities are more likely to use grant funds for renovations and/or additions. If your agency desires to dispose of a major facility, contact DTR for more instructions.

Removable-type facilities such as passenger shelters and amenities may be disposed of through transfer to another transit agency or through public sale or auction. Please contact DTR to discuss transfer plans and requirements. Similar to disposal of other transit equipment, if the market value of the asset exceeds \$5,000, the government's portion must be used to reduce the gross project cost of other future capital transit grants. Grant-funded facilities must meet or exceed established minimum useful life standards for replacement, in order to be replaced under a new grant.

Facilities damaged or destroyed due to vandalism, fire, or accident should be repaired or replaced using insurance proceeds. Agencies must immediately contact the DTR in the event a grant-funded facility is severely damaged or destroyed from vandalism, fire, accident, or other causes.

LEASING

There are two types of leases that are regulated under federal guidance. The first is when your agency leases vehicles for service. The FTA does not usually allow this kind of lease except for special circumstances, such as a bridge lease where an existing vehicle is no longer able to operate and a replacement has not yet been received. In general, the FTA would prefer to purchase a vehicle.



If you need this type of lease, please contact your grant coordinator as soon as possible as this process for FTA approval may take some time to complete and DTR will not be able to reimburse you with the FTA's approval.

The second type of lease arrangement is when your agency owns the vehicle but leases it to an operator who performs your service for you. Please note, this is not the same as contracting with a provider who supplies the vehicle as part of your service agreement.

If you contract your service and own the vehicles, you are obligated to submit your lease agreement to CDOT for processing and eventual FTA approval. The primary purpose behind this is to ensure that you are exercising due diligence in making sure your contractor is taking care of the FTA funded vehicle.

For vehicles funded through FASTER, the same due diligence is expected by CDOT and the requirement to approve the lease agreement remains.

In general, CDOT and the FTA are checking the lease to ensure that the following clauses are incorporated:

- Contractor responsibility to maintain the vehicle in good operating condition
- Contractor adherence to manufacturer's standards for preventative maintenance
- Contractors use of warranty when possible
- Contractor's responsibility for maintaining maintenance records
- Contractor's responsibility to provide maintenance reports as scheduled or needed
- Contractor's responsibility for ensuring staff are trained on the maintenance of the vehicle(s) leased
- Performance standards for contractor with liability held by contractor
- Requirement for insurance coverage (must meet FTA/CDOT minimums)

As the recipient of the funding, it is your responsibility to ensure that your contractor complies with all of the requirements that we expect of you. You

may not have to actually perform the work, but the responsibility remains with your organization.

Please contact your grant coordinator with any questions. Lease agreements should be submitted to the grants unit manager prior to executing any contract with your service provider to ensure that your agreement can be approved before you enter into it.

14.0 COMPLIANCE & OVERSIGHT

As a direct recipient, CDOT is required to act on behalf of the FTA to ensure that you are in compliance with all of the rules and regulations that apply to the funding you receive. This extends to those agencies that are, themselves, direct recipients of FTA funding. In those cases, CDOT is not approving documentation, merely ensuring that the documentation has been approved by the FTA and that DTR has a recent copy of the document. There are a number of methods used to provide the compliance and oversight and to assist you in managing your funds.

AGENCY REVIEWS

The primary method for providing compliance oversight is the agency review. This process is similar to the one used by the FTA in performing their triennial reviews for direct recipients or the state management reviews performed for state DOTs. The process does change each year depending on the priority topic areas determined by the FTA.

CDOT has taken the FTA's process and modified it to reflect the needs of Colorado agencies. We use a module of COTRAMS to manage and track agency reviews.

DESK REVIEWS

The first step in the process is a desk review. At this stage, the reviewer, normally your grant coordinator/project manager, will review all of the documents we have on file for you to ensure that 1) we have all of the required documentation and, 2) that your documentation meets state and federal requirements.

As noted in [Section 11](#), CDOT needs the following documents to be on file for you and your organization depending on your specific funding and service type:

- Title VI
- Form LLL Lobbying Disclosure
- Procurement Policy
- Fleet Maintenance Policy
- Asset Management Plan
- Limited English Proficiency (LEP) plans (As appropriate)
- ADA Service Plan (Fixed route only)
- Drug and Alcohol Policy (5311 Only)
- Safety and Security Plan (when required)
- DBE Plan (See \$ requirements)
- EEO Plan (\$1 million & 50+ employees only)

Not all grant partners will have to provide all documents, your grant coordinator will let you know what you need. Once you have a document required, you will need to ensure that it is reviewed at least once every three years to remain in compliance with any changes that may have occurred in the state or federal guidelines.

Your grant coordinator/project manager will review your on-file documents and notify you if there are any that need review. You have 45 calendar days to have the document updated and reviewed before submitting it.

ON SITE REVIEWS

Once the desk review is complete, you will receive a visit from your grant coordinator/project manager to perform an on-site review. During this review, you will have the opportunity to respond to your reviewer's questions and provide documentation on your processes and procedures.

FUNCTIONAL REVIEWS

From time to time, CDOT may require a functional review, one that concentrates on a specific topic area. You may be required to go through a functional review if you have had findings in a specific review category, if you are being considered for a new project that you have never managed, or as a result of a change to a review category.



The only exception is the Drug & Alcohol review which is performed on a triennial basis, regardless of status.

DRUG & ALCOHOL PROGRAM REVIEW

The most common form of functional review, if you are a 5311 recipient, you will have a drug & alcohol review performed by CDOT's contractor once every three years. This review will ensure that your drug & alcohol program meets federal requirements, that you have a compliant process for selecting random tests, that your reports are adequate, that you manage post-accident and pre-employment testing appropriately, that your collection sites meet federal requirements, and that your files and records are secure and complete.

The contractor will ask to see your files and policies as well as training materials to ensure that you are in compliance.

FINANCIAL REVIEW

A financial review is performed when there are concerns with your financial management of grant funds. This could be as a result of a new project that you have never managed in the past or a series of returned reimbursement requests. In general, Financial Reviews are performed by an auditor or CPA to make sure that your financial controls meet federal and state requirements.

CDOT will be looking to see that you have controls in place that minimize the risk of financial improprieties, such as limits on signing authority, checks and balances on bill payment, and oversight by management and boards.

PROCUREMENT REVIEW

This is a common type of functional review for CDOT. The purpose of this review is to make sure that you have the controls in place to manage procurements with state and federal funds.

In general, this review will check to see that you have a written procurement policy, that you follow this policy when procuring goods and services, and maintain adequate records on every procurement. The key requirement is that

you adhere to procurement guidelines with respect to federal clauses, keep your procurements open and competitive, and that you do not have any geographic preference in your procurements.

MAINTENANCE REVIEW

If you have or operate a fleet, a maintenance review may be performed if there are concerns with your record keeping, if there are concerns with premature replacement of vehicles, or other related issues.

For internally maintained fleets, the grant coordinator/project manager will review your maintenance records to ensure that you are following the manufacturer's recommendations for preventative maintenance, that you have an adequate staff that is appropriately trained to maintain your fleet, and that you are using warranties to minimize the cost of maintenance.

For fleets that are maintained by a contractor, DTR will be checking to see that you have adequate controls in place to make sure that your contractor is maintaining your fleet appropriately. We will check to see that you maintain control over the maintenance process, that your fleet is maintained according to manufacturer's standards, and that you routinely review reports on maintenance.

As a reminder, you are required to keep all records on a vehicle for three years after you dispose of it so the grant coordinator/project manager may ask to see the records for a recently disposed of vehicle.

ADA REVIEW

Especially for agencies that provide fixed route services, an ADA review may be performed if you have had multiple complaints or if CDOT has received complaints.

An ADA review will look at your ADA service plan, ADA policies, and, in the event that you have complaints, your process for handling those complaints. We will also be looking for patterns of denials, issues with ADA equipment, or other potential violations of ADA requirements.



ASSET MANAGEMENT REVIEW

Asset management reviews are not very common but may occur if your fleet is in poor condition and CDOT has questions regarding your asset management plan. In general, we will be looking at your plans for replacing your vehicles, your financial plans for having the matching funds available, and your maintenance plans for keeping your assets in good condition.

SAFETY & SECURITY REVIEW

This functional review has not yet been developed as the FTA has not yet issued its guidance in this category.

SCHOOL BUS REVIEW

Title 49 USC 5323 (f) prohibits the use of FTA funds for exclusive school bus transportation for school students and school personnel. This includes the use of FTA funded vehicles for school bus service.

There are three statutory exemptions under which an FTA funded grant partner may operate exclusive school bus service:

- The grant partner operates a school system in the area and operates a separate and exclusive school bus service for that school system.
- Existing private school bus operators are unable to provide adequate, safe transportation at a reasonable rate.
- The grant partner, a public entity, has operated the service at any time during the twelve-month period preceding August 13, 1973, or anytime during the twelve-month period preceding November 26, 1974. There are two dates under this particular exemption because this exemption is based on the dates that two separate legislative measures relating to the Federal Highway Administration (FHWA) and (then) Urban Mass Transportation Administration (UMTA) were enacted; both legislative measures independently included the school bus condition and this exemption.



Only the FTA Administrator has the authority to approve any exemption and such approval must be on file with DTR at all times. In the event that a grant partner requests such an exemption, the request must be made to DOT who then applies to the FTA Administrator on their behalf.

A grant partner wishing to engage in school bus operations must provide an opportunity for public comment, including providing written notice to all private school bus operators and publishing notice in the local newspaper. Exclusive school bus service operated under an approved exemption must use locally owned vehicles that are not housed or maintained in an FTA-funded facility. FTA-funded equipment and facilities cannot be used for exclusive school bus service under any circumstances.

You are permitted to provide school tripper service to accommodate the needs of school students and personnel. The school bus regulation defines school tripper service as regularly scheduled mass transportation service that is open to the public and is designed or modified to accommodate the needs of school students and personnel. Tripper service allows you to:

- Utilize various fare collections or subsidy systems
- Modify the frequency of service
- Make de minimus route alterations from route paths in the immediate vicinity of schools to stops located at or in close proximity to the schools

Buses used in tripper service must:

- Be open and promoted to the public
- Not carry designations such as "school bus" or "school special"
- Stop at regular bus stops

School tripper service should operate and look like all other regular service. All routes traveled by tripper buses must be within the regular route service as indicated in the published route schedules. Schedules listing tripper routes should be on the regular published schedules or on separately published schedules that are available to the public with all other schedules, including on

the website. Demand response service does not qualify for the “tripper service” exemption.

Each year when CDOT issues its request for certifications, a School Bus Service form is included. You are required to complete the form and identify if you provide either exclusive school bus service (with FTA authorization), or school tripper service, or demand responsive service. If you do provide any of these services, your grant coordinator will request copies of your FTA authorization to perform exclusive school bus service or your schedules/schedule changes for tripper service routes or the demand responsive service.

You will need to provide evidence that your tripper service meets the requirements outlined above. If necessary, your grant coordinator will perform a site visit to confirm the information you submit. In addition, during your triennial agency review, you will be asked to verify and validate your compliance with these regulations.

Violation of the school bus regulations could result in the loss of federal funding and, for FTA funded vehicles used in violation of the rule, you could be asked to return the vehicle.

CHARTER BUS REVIEW

Title 49 USC 5323 (d) significantly limits charter services provided by federally assisted public transportation operators. This is to ensure that you do not use federal funds to compete against private sector operators. The regulations define charter service as follows:

(1) Transportation provided at the request of a third party for the exclusive use of a bus or van for a negotiated price. The following features may be characteristics of charter service:

- A third party pays a negotiated price for the group
- Any fares charged to individual members of the group are collected by a third party
- The service is not part of the regularly scheduled service, or is offered for a limited period of time

- A third party determines the origin and destination of the trip as well as scheduling.

(2) Transportation provided to the public for events or functions that occur on an irregular basis or for a limited duration and:

- A premium fare is charged that is greater than the usual or customary fixed-route fare,

or

- The service is paid for in whole or in part by a third party.

Examples of services that do not meet the definition of charter service and, therefore, are not considered charter service by FTA are:

- Service requested by a third party that is irregular or on a limited basis for an exclusive group of individuals and you do not charge a premium fare for the service and there is no third party paying for the service in whole or in part
- Shuttle service for a one-time event if the service is open to the public, the itinerary is determined by you, you charge your customary fixed-route fare and there is no third party involvement
- When a university pays you a fixed charge to allow all faculty, staff, and students to ride the transit system for free so long as you provide the service on a regular basis along a fixed route and the service is open to the public
- When you see a need and want to provide service for a limited duration at the customary fixed-route fare and there is no third party involvement

The charter regulations include exemptions and exceptions.



EXEMPTIONS

Exemptions, which are not considered charter service, require no notification to registered charter providers, record-keeping, quarterly reporting, or other requirements. The charter service regulation exempts the following services:

1. **Transportation of Employees, Contractors, and Government Officials:** Grant partners are allowed to transport their employees, other transit systems' employees, transit management officials, transit contractors and bidders, government officials and their contractors, and official guests to or from transit facilities or projects within its geographic service area or proposed geographic service area for the purpose of conducting oversight functions such as inspection, evaluation, or review.
2. **Private Charter Operators:** The prohibitions do not apply to private charter operators that receive, directly or indirectly, Federal financial assistance under the over-the-road bus accessibility program or to non-FTA-funded activities of private charter operators that receive, directly or indirectly, FTA financial assistance.
3. **Emergency Preparedness Planning and Operation:** Grant partners are allowed to transport their employees, other transit system employees, transit management officials, transit contractors and bidders, government officials and their contractors, and official guests for emergency preparedness planning and operations.
4. **Section 5310, 5311, 5316 and 5317 Recipients:** The prohibitions do not apply to grant partners that use Federal financial assistance from FTA for program purposes, that is, transportation that serves the needs of either human service agencies or targeted populations (elderly, individuals with disabilities) under Section 5310, 5311, 5316, or 5317. "Program purposes" does not include exclusive service for other groups formed for purposes unrelated to the special needs of the identified targeted populations.



5. **Emergency Response:** Grant partners are allowed to provide service for up to 45 days for actions directly responding to an emergency declared by the president, governor, or mayor or in an emergency requiring immediate action prior to a formal declaration.
6. **Recipients in Non-Urbanized Areas:** Grant partners in non-urbanized areas may transport employees, other transit systems' employees, transit management officials, and transit contractors and bidders to or from transit training outside your geographic service area.

EXCEPTIONS

Exceptions are considered charter service and have administrative, record-keeping, and reporting requirements. The charter regulation treats as exceptions the following community-based charter services. You must retain records of each charter service provided for at least three years and submit these records to CDOT. Charter service hours include time spent transporting passengers, time spent waiting for passengers, and "deadhead" hours (time spent getting from the garage to the origin of the trip and then the time spent from trip's ending destination back to the garage).

- 1) **Government Officials:** You are allowed to provide charter service (up to 80 charter service hours annually) to government officials (Federal, state, and local) for official government business, which can include non-transit related purposes, if you:
 - a) Provide the service in your geographic service area
 - b) Do not generate revenue from the charter service, except as required by law.

CDOT, on your behalf, may petition FTA for additional charter service hours. You are required to record the following information after providing such service:



- a) The government organization's name, address, phone number, and email address
- b) The date and time of service
- c) The number of government officials and other passengers
- d) The origin, destination, and trip length (miles and hours)
- e) The fee collected, if any
- f) The vehicle number for the vehicle used to provide the service

A copy of this report must be submitted to your grant coordinator within three business days of the charter.

- 2) Qualified Human Service Organization (QHSO): You are allowed to provide charter service to a QHSO for the purpose of serving persons:
 - a) With mobility limitations related to advanced age
 - b) With disabilities
 - c) With low income

If the QHSO receives funding, directly or indirectly, from the programs listed in Appendix A of the regulation, the QHSO is not required to register on the FTA's charter registration website. Otherwise, the QHSO is required to register. You may provide service only if the QHSO is registered at least 60 days before the date of the first request for charter service. You are required to record the following information after providing such service:

- a) The QHSO's name, address, phone number and email address
- b) The date and time of service
- c) The number of passengers
- d) The origin, destination, and trip length (miles and hours)
- e) The fee collected, if any
- f) The vehicle number for the vehicle used to provide the service

A copy of this report must be submitted to your grant coordinator within three business days of the charter.



- 3) Leasing of Equipment and Driver: You are allowed to lease its FTA-funded equipment and drivers to registered charter providers for charter service only if all of the following conditions exist:
- a) The private charter operator is registered on the FTA charter registration website
 - b) The registered charter provider owns and operates buses or vans in a charter service business
 - c) The registered charter provider received a request for charter service that exceeds its available capacity either of the number of vehicles operated or the number of accessible vehicles operated by the registered charter provider; and
 - d) The registered charter provider has exhausted all of the available vehicles of all registered charter providers in You's geographic service area.

You are required to record the following information after leasing equipment and drivers:

- a. The registered charter provider's name, address, telephone number, and email address
- b. The number of vehicles leased, type of vehicles leased, and vehicle identification numbers, and
- c. The documentation provided by the registered charter provider in support of the four conditions discussed above.
- d. No Response by Registered Charter Provider: You are allowed to provide charter service, on its own initiative or at the request of a third party, if no charter provider registered on the FTA's website responds to the notice issued:
 1. Within 72 hours for charter service requested to be provided in less than 30 days, or
 2. Within 14 calendar days for charter service requested to be provided in 30 days or more.

A copy of this report must be submitted to your grant coordinator within three business days of the charter.



You are not allowed to provide charter service under this exception if a registered charter provider indicates an interest in providing the charter service described in the notice and the registered charter provider has informed you of its interest in providing the service. This is true even if the registered charter provider does not ultimately reach an agreement with the customer.

If you are interested in providing charter service under this exception, you must provide email notice to registered charter providers in your geographic service area by the close of business on the day you received the request unless the request was received after 2:00 p.m., in which case the notice shall be sent by the close of business the next business day. The email notice sent to the list of registered charter providers shall include:

- a. Customer name, address, phone number, and email address (if available)
- b. Requested date of service
- c. Approximate number of passengers
- d. Type of equipment requested (bus(es) or van(s))
- e. Trip itinerary and approximate duration
- f. The intended fare to be charged for the service

You must copy your grant coordinator on this email and retain an electronic copy of the email notice and the list of registered charter providers that were sent email notice of the requested charter service for a period of at least three years from the date the email notice was sent. If you receive an “undeliverable” notice in response to your email notice, you must send the notice via facsimile. You must maintain the record of the undeliverable email notice and the facsimile sent confirmation for three years.

You are required to record the following information after providing the service:

- a. The group’s name, address, phone number, and email address
- b. The date and time of service
- c. The number of passengers



- d. The origin, destination, and trip length (miles and hours)
- e. The fee collected, if any
- f. The vehicle number for the vehicle used to provide the service

A copy of this record must be sent to your grant coordinator within three business days of the charter. If a registered charter provider indicates interest in providing charter service to a particular customer and fails to negotiate in good faith with the customer, and you are willing to provide the service, then you can file a complaint against the registered charter provider. A form for this is provided on the FTA website.

5. Agreement with All Registered Charter Providers:

You are allowed to provide charter service directly to a customer consistent with an agreement entered into with all registered charter providers in your service area. You are allowed to provide charter service up to 90 days without an agreement with a newly registered charter provider in your geographic service area subsequent to the initial agreement. Any parties to an agreement may cancel the agreement after providing a 90-day notice.

6. Petition to the Administrator:

CDOT (on your behalf) may petition the Administrator for an exception to the charter service regulations to provide charter service directly to a customer for:

- a) Events of regional or national significance.

The petition shall describe how registered charter providers were consulted and will be utilized and include a certification that you have exhausted all the registered charter providers in your service area. The petition must be submitted at least 90 days before the first day of the event.

- b) Hardship (only for non-urbanized areas under 50,000 in population or small urbanized areas under 200,000 in



population). The exception is only available if the registered charter providers have deadhead time that exceeds total trip time from initial pick-up to final drop-off, including wait time. The petition shall describe how the registered charter provider's minimum duration would create a hardship on the group requesting the charter service.

- c) Unique and time sensitive events (e.g., funerals of local, regional, or national significance) that are in the public's interest.

The petition shall describe why the event is unique and time sensitive and would be in the public's interest. Petitions to the Administrator are posted at [regulations.gov](https://www.regulations.gov), which can be accessed through the FTA charter website, so they are not reported in quarterly reports. The State shall retain a copy of the Administrator's approval for a period of at least three years.

REPORTING

CDOT reports to FTA on charter activity on your behalf– except for subrecipients that are also direct FTA grant partners for Section 5307 or 5311(c) formula funds – for charter service provided under the following four exceptions:

- Government officials (604.6)
- Qualified human service organizations (604.7)
- Leasing (604.8)
- No response from a registered charter provider (604.9).

CDOT must post the required records on the FTA charter website using the FTA Electronic Award and Management System (EAMS) within 30 days of the end of each calendar quarter as follows:

- October 1 to December 31: January 30
- January 1 to March 31: April 30
- April 1 to June 30: July 30
- July 1 to September 30: October 30



Reports are only required for quarters during which charter service was provided. An FTA Charter Service Quarterly Exceptions Reporting Form and the instructions are available for downloading from the FTA website and appear at the end of this section. When charter service is provided under one or more of the exceptions under this regulation, you are required to maintain notices and records in an electronic format for a period of at least three years from the date of service or lease. You may maintain the required records in other formats in addition to the electronic format.

The records shall include a clear statement identifying which exception you relied upon when you provided the charter service. A single document or charter log may include all charter service trips provided during the quarter. You may exclude specific origin-to-destination information for safety and security reasons. If such information is excluded, the record of the service shall describe the reason why such information was excluded and provide generalized information.



CHARTER SERVICE EXCEPTIONS

Exception	Notification to Registered Charter Providers?	Trip Record Keeping	Quarterly Reporting	Other Requirements
1. Government Officials	No	Yes	Yes	None
2. Qualified Human Service Organization (QHSO)	No	Yes	Yes	Evidence that QHSO receives funding, directly or indirectly, from the programs listed in Appendix A of the charter regulation or was registered at least 60 days before the date of the first request
3. Leasing of Equipment and Driver	No	Yes	Yes	Evidence that registered charter provider has exhausted all of the available vehicles of all registered charter providers in your geographic service area
4. No Response by Registered Charter Provider	Yes	Yes	Yes	None
5. Agreement with All Charter Providers	No	No	No	Properly executed agreements with all registered charter providers in grant partner's geographic service area
6. Petition to the Administrator	Yes	No	No	You must demonstrate how it contacted registered charter providers and how You will use the registered charter providers in providing service to the event. You must also certify that it has exhausted available registered charter providers' vehicles in the area.





15.0 TEMPLATES

TABLE 1: VEHICLE MINIMUM USEFUL LIFE STANDARDS

CDOT Category	Length	Approx. Weight	Price Range	Useful Life Minimum
<p>Heavy-Duty Large Bus</p> 	35-48 feet	26,000-40,000 lbs.	\$400,000-\$575,000	12 years or 500,000 miles
<p>Heavy-Duty Small Bus</p> 	30 feet	26,000-33,000 lbs.	\$230,000-\$375,000	10 years or 350,000 miles
<p>Medium-Duty and Purpose-Built Bus</p> 	30 feet	16,000-26,000 lbs.	\$85,000-\$200,000	7 years or 200,000 miles
<p>Light-Duty Mid-Sized Bus (Cutaway van chassis with dual rear wheels)</p> 	25-35 feet	10,000-16,000 lbs.	\$60,000-\$75,000	5 years or 150,000 miles
<p>Light-Duty Vehicles</p> 	8-16 feet	6,000-14,000 lbs.	\$20,000-\$65,000	4 years or 100,000 miles
<p>Vehicle Rebuild: A recondition near the end of useful life that results in additional useful life.</p>				Case-by-case basis. Generally a minimum of 50,000 miles

NON-VEHICLE EQUIPMENT MINIMUM USEFUL LIFE STANDARDS

Minimum useful life standards for non-vehicle equipment include:

- Computer equipment, software, and other office equipment = 5 years
- Communications equipment (e.g., mobile radios, base stations) = 5 years
- Surveillance equipment (e.g., cameras for vehicles or facilities) = 5 years
- Shop equipment (e.g., vehicle lift, bus washing, tire changers) = 20 years
- Fare boxes = 20 years
- Wheelchair lift – same as useful life of the vehicle on which it is installed
- Light-duty vehicles, non-rolling stock = 7 years or 200,000

REAL PROPERTY MINIMUM USEFUL LIFE STANDARDS

Minimum useful life standards for real property include:

- Passenger shelters (pre-fabricated metal and glass/Plexiglas) = 15 years
- Signs and sign poles = 10 years
- Amenities (e.g., benches and bicycle lockers or racks) = 15 years
- Equipment sheds = 20 years
- Any framed building or structure (e.g., bus barns, maintenance shops, administrative offices) = 40 years
- Concrete/pavement infrastructure (e.g., bus parking areas, passenger transfer stations, park and ride lots) = 20 years
- Office furnishings within buildings (e.g., desks, filing cabinets) = 10 years
- Land = useful life does not expire on land purchases