



State Management Plan

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Prepared By:

MassDOT Rail and Transit Division

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10 Park Plaza
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ប្រសិនបើលោក-អ្នកត្រូវការបកប្រែពីភាសានេះ សូមទាក់ទងអ្នកឯកទេសលើជំពូកទី6 របស់MassDot តាមរយៈលេខទូរស័ព្ទ **857-368-8580**

إن كنت بحاجة إلى هذه المعلومات بلغة أخرى، يُرجى الاتصال بأخصائي الفقرة السادسة على الهاتف 857-368-8580

I. Introduction

Program Overview

The Federal Transit Administration (FTA) provides financial assistance to states through a number of programs to develop new transit systems and improve, maintain, and operate existing systems. The Governor of the state of Massachusetts has designated the Massachusetts Department of Transportation (MassDOT) as the agency of authority and responsibility for administering assistance received in Massachusetts through Title 49 USC Sections 5310, 5311, 5316, 5317 and 5339 funding programs. FTA requires that each state produce a plan describing the state's policies and procedures for the state-managed portion of these programs. This State Management Plan describes the state of Massachusetts's administrative policies and procedures for these FTA programs.

The Commonwealth of Massachusetts provides capital funding assistance (MAP) to RTAs, municipalities and nonprofits "for the specific purpose of providing improved transportation services to elderly and handicapped persons". MassDOT allocates Regional Transit Authority Capital Assistance Program (RTACAP) funding to the Regional Transit Authorities (RTAs). These funds are allocated through MassDOT's Capital Investment Plan (CIP) and are designed to develop an integrated and diversified transportation investment portfolio to meet long-term goals for mobility, sustainability and broad-based prosperity.

Agency Overview

In June 2009, the Governor signed into law Chapter 25 of the Acts of 2009, "An Act Modernizing the Transportation Systems of the Commonwealth of Massachusetts, (as amended by Chapter 26 of the "Act.") This landmark transportation reform legislation required that the Commonwealth integrate transportation agencies and authorities into a new MassDOT, which came into effect November 1, 2009. MassDOT as the unified transportation organization created under the historic reform legislation has four divisions that are focused on delivering safe and efficient transportation services across the Commonwealth

MassDOT is charged with managing all modes of transportation within the Commonwealth of Massachusetts. MassDOT has oversight responsibility for the Registry of Motor Vehicles Division, the Aeronautics Division, the Highway Division, and the Rail & Transit Division. MassDOT provides fiscal guidance and oversight over all of the fifteen (15) Regional Transit Authorities providing local bus transit across the Commonwealth.

The MassDOT board is comprised of eleven members who are all appointed by the Governor with one designated as the chair. Each member is required to fulfill specific criteria with expertise in transportation, finance and engineering. The Secretary of Transportation also serves on the board. The Mass DOT board serves as the governing authority for both the Mass DOT and the MBTA and oversees all MassDOT operations including the Massachusetts Bay Transportation Authority (MBTA), Highway, Mass

Transit, Aeronautics, the Registry of Motor Vehicles (RMV), Office of Planning and Programming and the Office of Performance Management and Innovation.

The Rail and Transit Division (RTD) is led by a Division Administrator. This Division includes the Community Transit Grant Programs Unit (CTGP) who oversees these FTA programs that support our subrecipients and program participants.

CTGP is supported by various Enterprise Services offices throughout MassDOT, including Budget, Fiscal, Office of Diversity and Civil Rights and the Office of Transportation Planning.

Plan Purpose

MassDOT State Management Plan in its approach, mission, reach and commitment is informed by our best practices review of other best-in-class state oversight programs, and includes:

- A single, holistic approach to the management and oversight of all of the different programs, including a single consolidated program application
- Significant advances in oversight and field audits that focus on program participants to clearly demonstrate their compliance with program directives and requirements
- Renewed commitment to a broader ongoing conversation with state-wide stakeholders, customers and the communities these programs serve
- Substantial improvement in program guidance and technical assistance

This plan is and will always be a work in progress. MassDOT continues to work with participants and all stakeholders to refine and launch this plan, particularly the consolidated program application and management process

Definitions

When used in this plan, the meaning of rural area, small urban area, and large urban area is as follows.

- Non-urbanized area means any area outside of an urbanized area. The term “non-urbanized area” includes rural areas and urban areas under 50,000 in population not included in an urbanized area. In this plan, the term rural is commonly used to refer to all areas other than urbanized areas.
- Small urban area is an urbanized area with a population of at least 50,000 but less than 200,000.
- Large urban area means an area with a population of not less than 200,000 people that has been defined and designed in the most recent decennial (every 10 years) census as an “urbanized area” by the U.S. Census Bureau.

Legal Authority

The FTA has the responsibility for national implementation of these funding programs: Title 49 USC § 5310, § 5311, §5316, §5317 § 5339 and provides further program guidance in the circulars listed below. The circulars describe the intent of the programs and explain funding requirements. These requirements include program management and therefore, the contents of this plan must comply with the FTA circulars as well as any

other state requirements that are not in conflict with these circulars. Further references in this State Management Plan to sections of Title 49 USC shall be identified by section number (i.e., § 5310).

- Circular 9070.1G: 49 USC § 5310, Enhanced Mobility of Seniors and Individuals with Disabilities Program
- Circular 9040.1G: 49 USC § 5311, Grant for Rural Areas Formula Program
- Circular 5100.1 49 USC § 5339, Bus and Bus Facilities Formula Program
- Circular 9050.1: 49 USC § 5316, Job Access and Reverse Commute (JARC) Program
- Circular 9045.1: 49 USC § 5317, New Freedom Program

II. Program Information

A. Section 5310 Enhanced Mobility of Seniors & Individuals with Disabilities and Mobility Assistance Program (MAP)

1. Goals and Objectives

The purpose of Section 5310 and MAP is “to improve mobility for seniors and individuals with disabilities throughout the country by removing barriers to transportation services and expanding the transportation mobility options available.” MassDOT uses Section 5310 funds to provide grants to Regional Transit Authorities, Municipalities, Private Non-Profits and Private Operators.

MassDOT uses funds for:

- The purchase of vehicles and related capital equipment or improvements
- Mobility management programs
- Operating assistance

The annual Section 5310 apportionment is included in the State Capital Improvement Program and STIP that MassDOT updates annually.

MassDOT uses MAP (capital only) as the state counterpart to the Federal Section 5310 program for the purpose of providing improved transportation service to elderly and handicapped persons.

2. Roles and Responsibilities

MassDOT administers the program through a single application process that includes Section 5310, 5339 and MAP. A review committee advises MassDOT in the review and scoring of applications. Review committees are composed of internal and external members. Once applicants are selected, MassDOT develops the program of projects (POP) and submits the Section 5310 application to FTA; ensures compliance with Federal requirements by all subrecipients; monitors the subrecipients’ project activity; and oversees project completion and grant closeout.

3. Eligible Subrecipients

There are four categories of eligible subrecipients for Section 5310 funds:

- Regional Transit Authorities
- Municipalities
- Private Non-Profits
- Private Operators

There are three categories of eligible subrecipients for MAP funds (capital only):

- Regional Transit Authorities
- Non-Profits
- Municipalities

MassDOT requires that projects selected for funding under the Seniors and Individuals with Disabilities (Section 5310) –formerly also under Section 5316 (JARC)

and Section 5317 (New Freedom) – be derived from a locally developed, coordinated public transit-human services transportation plan (CHST) and that the plan be developed through an open and transparent public process.

4. Local Share and Local Funding Requirements

The federal share for capital projects (purchase of vehicles and related capital equipment and acquisition of transportation services under contract) is 80 percent and the local match is 20 percent. MAP dollars can be used as the local match for capital purchases.

The federal share for operating assistance is 50 percent and the local match is 50 percent. Funds are available to cover the net operating deficit after fares are applied to eligible expenses. Donations are considered local match.

5. Project Selection and Method of Fund Distribution

Through the single application competitive process, review committee scores applications using MassDOT's electronic grant management system. The criteria assess such factors as service, coordination and performance. MassDOT staff reserves the final decision on award amount and funding source. MassDOT announces awards through its electronic grant management system along with on its website.

B. Section 5339 Bus and Bus Facilities

1. Goals and Objectives

MassDOT uses Section 5339 funds to finance capital bus and bus-related projects.

2. Roles and Responsibilities

MassDOT administers the program on behalf of the State through a single application process to determine eligible applicants and projects. A review committee advises MassDOT in the review and scoring of applications. Review committees are composed of internal members. Once applicants are selected, MassDOT submits the Section 5339 application to FTA; ensures compliance with FTA requirements by all subrecipients; monitors the subrecipients' project activity; and oversees project completion and grant closeout.

3. Eligible Subrecipients

Eligible subrecipients of Section 5339 funds are Regional Transit Authorities and Private Non-Profits.

4. Local Share and Local Funding Requirements

The federal share for capital bus and bus-related projects is 80 percent of the cost of the project and the local match is 20 percent.

5. Project Selection and Method of Fund Distribution

The review committee scores applications using MassDOT's electronic grant management system. The criteria assess such factors as demonstration of need, project effectiveness, asset management planning, coordination planning, customer service improvements, mode-shift and sustainability and other innovations. MassDOT staff reserves the final decision on award amount and funding source. MassDOT

announces awards through its electronic grant management system along with on its website.

C. Section 5311 Formula Grant for Rural Areas

1. Goals and Objectives

The annual 5311 apportionment is used to provide operating assistance to four Regional Transit Authorities that operate service in predominantly non-urbanized areas.

2. Roles and Responsibilities

Each year, MassDOT disburses the annual 5311 apportionment to the eligible agencies according to agreed-upon formula created by MassDOT. MassDOT ensures compliance with FTA requirements by all subrecipients; monitors the subrecipients' project activity; and oversees project completion and grant closeout.

3. Eligible Subrecipients

Eligible subrecipients for Section 5311 are Regional Transit Authorities in non-urbanized areas. There following are the RTAs that receive 5311 funding:

- Berkshire Regional Transit Authority (BRTA)
- Franklin Regional Transit Authority (FRTA)
- Martha's Vineyard Transit Authority (VTA)
- Nantucket Regional Transit Authority (NRTA)

4. Local Share and Local Funding Requirements

The federal share for operating assistance is 50 percent and the local match is 50 percent. Subrecipients may apply State Contract Assistance or local assessment as their local match.

5. Project Selection and Method of Fund Distribution

Subrecipients may use 5311 funds to cover all eligible operating expenses.

D. Section 5311(f) Rural Intercity Bus

1. Goals and Objectives

MassDOT's goal for the §5311(f) program is to spend not less than 15 percent of the annual 5311 apportionment to develop and support intercity bus transportation, unless the Governor certifies to the U.S. Secretary of Transportation that the intercity bus service needs of the state are being met. Eligible activities under the program include operating assistance for rural intercity bus routes.

2. Roles and Responsibilities

MassDOT administers the program on behalf of the State through a competitive application process to determine eligible applicants and projects. Once applicants are selected, MassDOT develops and submits the application to FTA; ensures compliance with FTA requirements by all subrecipients; monitors the subrecipients' project activity; and oversees project completion and grant closeout.

3. Eligible Subrecipients

Eligible subrecipients of Section 5311(f) funds are private for profit organizations.

4. Local Share and Local Funding Requirements

The federal share for operating assistance is 50 percent of the cost of the project and the local match is 50 percent. Section 5311(g)(3)(D) provides that in the case of an intercity bus project that includes both feeder service and an unsubsidized segment of intercity bus service to which the feeder service connects, the local match may be derived from the costs of a private operator for the unsubsidized segment of intercity bus service as an in-kind match for the operating costs of connecting rural intercity bus feeder service funded under 5311(f).

5. Project Selection and Method of Fund Distribution

Section 5311(f) funds are awarded through a competitive application process. Funding priorities are established through analysis of the intercity bus network, stakeholder and community consultation and published in the 2016 Regional Bus Study.

Applicants to the 5311(f) program may select one of the recommended routes as conceived in the study, or select a corridor identified in the priorities and make service design adjustments to improve the route's performance.

Applicants may also submit proposals not considered in this prioritization list. However, if an applicant chooses this option, the proposal submitted must provide a justification that considers the six Intercity Bus Performance Metrics cited above and estimates for annual ridership, subsidy per boarding, and farebox recovery ratio, as well as a description of the existing level of service along the corridor to establish need.

E. Section 5311(b)(3) Rural Transit Assistance Program

1. Goals and Objectives

The Rural Transportation Assistance Program (RTAP) is established by Title 49 U.S.C. § 5311(b)(3). MassDOT administers the RTAP funding directly to provide training and technical assistance to rural and small urban transit providers in non-urbanized areas of the Commonwealth. Beneficiaries of the program include all rural regional transit authorities funded through § 5311, as well as councils on aging, and non-profit organizations that provide transportation services in rural or small urban communities.

A MassDOT Transit staff member administers the Massachusetts Rural Transit Assistance Program (MArtap) and establishes the activities and priorities for each of the assistance categories. This is done in consultation with representatives of rural and specialized transportation providers who serve on the MArtap Advisory Committee, including councils on aging, human service transportation providers and rural transit authorities funded through § 5311.

2. Roles and Responsibilities

MassDOT staff administers the program and oversees the work of an outside vendor that provides driver training. The program covers the following:

2.1 Training

MARTap provides two general categories of training. The first is Driver Training, the second is Specialized Training.

The Driver Training program provides regularly scheduled classroom and hands-on driver training sessions throughout the state. An average of eight training sessions take place per month and cover the following topics:

- Defensive Driving
- Accessible Lift Use and Passenger Securement
- Disability Awareness

In addition, an online course on drug and Alcohol Awareness Safety Sensitivity training is made available on the MARTap website.

Specialty training opportunities are provided throughout the state as needed. Specialty training sessions are typically a two day intensive courses for managers and supervisors that cover Drug and Alcohol Reasonable Suspicion, and an overview of all the Driver Training courses.

Training curriculums have been designed following national best practices and in consultation with topic area expert consultants.

Training needs are assessed periodically through an on-line survey that is distributed through the MARTap email list-serv.

2.2 Scholarship Program

MARTap Scholarships are available to support agencies that provide rural and small urban transit services by covering a portion of the costs associated with professional development opportunities for staff, such as courses, conferences and workshops. Urbanized area formula Regional Transit Authorities (5307 sub-recipients) that provide services in rural and small urban areas may apply for a MARTap scholarship for the purposes of attending a conference or educational program that will clearly and directly benefit non-urbanized communities. Awards to 5307 sub-recipient agencies are subject to discretion the MARTap Advisory Committee and fund availability.

To receive a scholarship, programs must be pre-approved, transportation related, and result in improved transportation services for rural and/or small urban communities. The total amount of a scholarship can be no more than \$750 per scholarship. Applications may be submitted for any transit related conference, workshop and training course relevant to the applicant's professional responsibilities and with a clear benefit to the provision of services in rural/small urban communities. Applicants are also encouraged to apply for scholarships to attend community-based continuing education programs that will enhance their professional skills and benefit the rural/small urban communities they serve. Training of drivers, dispatchers and mechanics are encouraged.

2.3 Technical Assistance

MassDOT staff periodically surveys rural public transportation and specialized transportation providers to determine technical assistance needs. Technical

assistance needs may also be identified during site visits with grantees.

RTAP funds may be used to provide technical assistance to public transportation providers, associations and organizations representing rural public and specialized transportation agencies. Examples of projects include technical assistance grants for a variety of rural public transportation issues, development of Web site capabilities, and peer reviews.

2.4 Mini-grants

The Helping Hand Mini Grant awards up to \$1000 to councils on aging, private nonprofits and rural regional transit authorities for equipment or projects designed to update or enhance transit services in rural and small urban areas. Applicants are required to provide a minimum 10% local match.

Applications are reviewed and evaluated by MassDOT staff and the MArtap Advisory Committee.

III. General Information

A. Transfer of Funds

MassDOT may transfer § 5310 funds to the rural projects selected under these funding programs. Transfers of § 5316 and/or § 5317 funds only occur after discussion with responsible officials and public transportation operators in each area for which MassDOT originally awarded JARC or New Freedom funds in the competitive selection process.

On occasion, the Federal Highway Administration (FHWA) will give Surface Transportation Program funds to MassDOT that are in turn awarded to rural transits for competitive projects. Upon request, MassDOT will assist when the funds must be transferred from FHWA to the FTA 5311 program. Once the funds are transferred, the funds are managed like 5311 programs.

B. Annual Program of Projects Development and Approval Process

The fiscal year apportionments for Sections 5310, 5311, and 5339 are made available by FTA on an annual basis. Based on these amounts and prior years' unused funding, MassDOT Transit determines the total amount of funding available to applicants for each grant program. MassDOT Transit solicits applications for projects for Section 5310, 5339 and 5311(f), reviews and scores applications, and determines the amount of funding each application is eligible to receive. Section 5311 Operating is distributed based on a formula developed by MassDOT. MassDOT Transit then prepares a Program of Projects (POP) for each section and the applications are submitted to FTA.

MassDOT Fiscal executes Sections 5310, 5311, and 5339 FTA grant applications through FTA's Transit Award Management System (TrAMS) as follows:

- MassDOT Transit requests to apply for an FTA grant
- TrAMS assigns a grant number
- MassDOT Transit enters and submits the application for Federal Assistance to FTA for their approval
- FTA approves the grant
- MassDOT executes the grants

Once MassDOT has executed the FTA grant, MassDOT Fiscal is able to set up the funding structure in its accounting system. The funding is then available for subrecipient agreements to be created, approved and distributed.

C. Coordination

1. Coordinated Public Transit-Human Services Transportation Plans

To comply with Federal Transit Law, as amended by MAP-21, MassDOT requires that projects selected for funding under the Seniors and Individuals with Disabilities (Section 5310) –formerly also under Section 5316 (JARC) and Section 5317 (New Freedom) – be derived from a locally developed, coordinated public transit-human

services transportation plan (CHST) and that the plan be developed through an open and transparent public process. This process includes participation from a wide range of stakeholders including but not limited to representatives of the public, private and non-profit transportation providers, seniors, persons with disabilities, human services providers, employers, medical facilities, and others. These plans identify transportation needs of individuals with disabilities, older adults, and people with low income, provide strategies for meeting these needs, and prioritize transportation services for funding and implementation. MassDOT requires a plan update on average every 3 years. The last update occurred in 2014. In Massachusetts the following Regional Planning Organizations (RPO) are responsible for the CHST plan update:

- Berkshire
- Pioneer Valley
- Central Massachusetts
- Montachusett
- Merrimack Valley
- Northern Middlesex
- Boston Region
- Old Colony
- Southeastern Massachusetts
- Cape Cod
- Franklin
- Martha's Vineyard Commission
- Nantucket

2. Other coordination initiatives

Between 2014 and 2015 MassDOT helped develop 16 Regional Coordinating Councils that cover the entire Commonwealth. MassDOT provides technical assistance to RCCs, which are voluntary groups of local stakeholders that come together for discussion of mobility issues on an ongoing basis. RCC meetings provide an opportunity for:

- Identifying unmet needs, articulating regional priorities, and building coalitions around new projects in transportation
- Coordinating existing services at local levels in order to serve more people and increase sustainability of services
- Communicating local unmet needs and mobility priorities to regional planning organizations (for their CHST plan updates), MassDOT, the Executive Office of Health and Human Services (EOHHS), and other state agencies
- Raising awareness about the important role community transportation services play in the economic and social wellbeing of every citizen of the Commonwealth.

D. Private Sector Participation

As part of the Coordinated Public Transit-Human Services Transportation Plan development and application process, applicants coordinate their services with other public and private providers. Applicants also identify the agency or local plans that include their project. Coordination with all transportation providers in the same geographic area, including private sector providers, significantly impacts an applicant's success in the selection process.

MassDOT will prepare and use checklists (Visual Inspection Form and Road Test

Form) for the grantees' use in the post-delivery inspection of the vehicle(s) and requires post-delivery certifications for "Buy America," Purchaser's Requirements, and FMVSS. A copy of the completed post-delivery checklists and certifications must be included with copies of all relevant vendor invoices, vehicle registration, insurance certificate, and acceptance letter to the vendor with their request for reimbursement.

E. State Administration and Technical Assistance

Ten percent of the State's Section 5310 and 5311 annual apportionments are used by MassDOT for administration, planning and technical assistance. No State administrative costs may be incurred for RTAP. At its discretion, the State will apply for up to ten percent of flexible funds transferred into a Section 5310 or 5311 grant. Procedures for documenting state administration expenditures for FTA funded programs are subject to the requirements of the state's Procurement Policies and Chart of Accounts.

MassDOT provides training and technical assistance to rural and small urban transit providers in non-urbanized areas of the Commonwealth. Beneficiaries of the program include all rural regional transit authorities funded through Section 5311, as well as councils on aging, and non-profit organizations that provide transportation services in rural or small urban communities.

MassDOT provides technical assistance in other areas when needed.

F. Civil Rights

MassDOT's enabling legislation includes the non-discriminatory use of federal funds by recipients of MassDOT assistance, including their sub-recipients and contractors. MassDOT ensures non-discrimination through oversight of grantee implementation of required civil rights regulations and policy. Compliance reviews and assessments are conducted to determine if the grantee's required efforts under Title VI of the Civil Rights Act of 1964, (including aspects of Environmental Justice), Equal Employment Opportunity (EEO) program, Disadvantaged Business Enterprise (DBE) program, and the Americans with Disabilities Act of 1990 (ADA) requirements are in compliance as represented to the MassDOT.

Grantees must submit all required certifications and assurances prior to contract signature and annually thereafter. These include:

- Standard Assurances
- Nondiscrimination Assurance
- Assurance of Nondiscrimination on the Basis of Disability
- Protections for Private Providers of Public Transportation

The appropriate civil rights disclosure is included on the inside cover of the MassDOT Community Transportation Grant Application and civil rights clauses are included in grantee agreements. Ongoing oversight is provided through desk reviews and/or site visits to grantees. The checklist used during grantee reviews includes a section that verifies compliance with Civil Rights issues such as discrimination, employment, complaint handling and dispositions, proper notification, and accessibility of services.

Potential grantees serving significant minority populations are reached through the Coordinated Public Transit-Human Services Transportation Plan process and by

broad distribution of grant funding announcements and application materials. MassDOT conducts "Successful Grant Writing" training to assist applicants completing the MassDOT Community Transportation Grant Application.

Through annual grant agreements, subrecipients agree to comply with all applicable civil rights statutes and regulations. These include Title VI of the Civil Rights Act, Equal Employment Opportunity, and Americans with Disabilities Act. Each recipient must have a signed DOT Title VI Assurance and FTA Civil Rights Assurance on file with MassDOT. A summary of this information is provided to the FTA as required in the FTA Title VI Report every three years.

1. Title VI

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, or national origin (including limited English proficiency) in programs and activities receiving Federal financial assistance. Specifically, Title VI provides that "no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance." (42 U.S.C. Section 2000d).

1.1 Program Report

MassDOT prepares a Title VI Program for submission to the FTA every three years. The document includes the FTA Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements which binds MassDOT to all civil rights requirements. The report also includes the organizational structure of the Office of Diversity and Civil Rights (ODCR), the roles and responsibilities of its staff, as well as the process for handling and disposition of complaints and all other necessary program components as established in FTA's Title VI Circular 4702.1B. The Title VI Coordinator has a direct report responsibility to the Secretary of Transportation. The Title VI Specialist handles the day-to-day execution of Title VI activities. The complaint log is maintained by the ODCR Investigations Unit which is also responsible for conducting complaint intakes and investigating highly complex and/or sensitive discrimination complaints and preparing reports and recommendations based on investigatory findings.

1.2 General Requirements and Implementation Procedures

MassDOT's Office of Diversity and Civil Rights (ODCR), in collaboration with the Rail and Transit Division staff, requires that subrecipients annually sign the nondiscrimination assurance included in FTA's notice of certifications and assurances. MassDOT shall submit its signed assurance to FTA and shall retain assurances from subrecipients. Subrecipients will be required to send a nondiscrimination assurance as part of their annual notice of certifications and assurances, which accompanies their application for Federal financial assistance.

MassDOT also gathers information from subrecipients during the Compliance and Performance Review site visits and any findings are documented in the review packages. If findings are documented, A Summary of Findings and Recommendations Report is created and provided to the subrecipient with a description of the required corrective action. The subrecipient is required to comply with and provide the corrective action by a specific date also communicated to the subrecipient in the Summary of Findings and Recommendations Report. Each of the

federal-funding section specific Compliance and Performance Review Packages cover Title VI, Disadvantaged Business Enterprise (DBE) and other related federal compliance topics and other topics such as Americans with Disabilities Act (ADA), Limited English Proficiency (LEP) plans, Equal Employment Opportunity (EEO), etc.

MassDOT shall maintain for itself and its subrecipients a description of any complaints alleging discrimination in areas including, but not limited to, service delivery, lack of access to meetings and denial of opportunity, filed within the preceding year, together with a statement of status or outcome of each such complaint. Every effort will be made to resolve complaints informally at the state, region, sub-recipient and/or contractor level.

Each subrecipient in their application to MassDOT Rail and Transit must provide the estimated number of minority group persons that it will serve. This information can be obtained by any appropriate means that will ensure inclusion of the numbers as part of each individual application. It is not envisioned that an organization be required to do a detailed head count or use elaborate means to gather the information. Data gathering procedures will be reviewed regularly to ensure sufficiency of the data in meeting the requirements of Title VI program administration.

In addition, MassDOT requires §5316 recipients to continue to file the following information with each grant:

- A concise description of any lawsuits or complaints alleging discrimination in service delivery filed against the recipient within the past year
- A statement of the status or outcome of each such complaint or lawsuit
- A summary of all civil rights compliance review activities conducted in the last three years

1.3 Assisting Subrecipients

MassDOT assists subrecipients to meet federal Title VI compliance. Since resources are generally limited for these implementing agencies, MassDOT provides templates and other documents for the subrecipients to use in order to develop a Title VI plan, MassDOT also organizes, conducts and leads training efforts in order to provide more direct guidance and answer remaining questions that may be region-specific. MassDOT uses a similar approach with the RTAs to monitor and provide assistance.

MassDOT has a dedicated staff member to work on Title VI issues on a full-time basis. The Title VI Specialist manages all elements of MassDOT's Title VI program. The program covers the requirements, procedures, actions and sanctions through which MassDOT enforces its adherence to Title VI. The Title VI Specialist is responsible for developing, implementing, coordinating, monitoring and ensuring compliance with the regulations in day-to-day management as well as the annual reporting as required by law. The Specialist is involved with various stages of planning and project development to assist in preventing and/or correcting discriminatory practices. The Specialist works with all subrecipients in order to develop a Title VI programs that comply with federal requirements.

MassDOT provides detailed information about measures subrecipients must take to comply with Title VI, and provides assistance to subrecipients in implementing them. These measures are:

- Providing notice to beneficiaries of protection under Title VI (subrecipients that provide transportation service will be asked to post the notice on all vehicles)
- Developing complaint procedures and keeping a record of Title VI investigations, complaints and lawsuits
- Providing instruction on developing a language access plan and public participation plan.

MassDOT works with subrecipients in order to streamline the complaint handling process throughout the state to ensure the information communicated to a complainant is consistent and that a complainant be able to file a complaint directly with MassDOT or FTA/FHWA, should they desire to do so.

1.4 Sub-Recipient Reviews

The MassDOT Title VI Coordinator and Specialist, in collaboration with the Rail and Transit Division, the FTA and/or the FHWA, conducts compliance reviews of all MPOs and RTAs that are subrecipients of USDOT funding through MassDOT. They review Title VI plans and reports to determine if subrecipients are in compliance with Title VI.

MassDOT Office of Diversity and Civil Rights uses a template for annual reporting by MPOs and for RTAs that are direct recipients of Federal financial assistance through MassDOT that is consistent with Title VI reporting for the FTA. These reports are due by June 30th of each calendar year.

MassDOT monitors recipients for compliance with Title VI to ensure that subrecipients are providing notice to beneficiaries of protection under Title VI, that they have proper complaint procedures and keep a record of all Title VI investigations, complaints, and lawsuits, and that they provide meaningful access to individuals with limited English proficiency.

A schedule is currently being developed for periodic subrecipient reviews. Priority for conducting reviews will be given to MPOs, and other recipients of federal financial assistance with the greatest potential of impact on those groups covered by Title VI. At a minimum, one MPO will be reviewed each year. Copies of completed reports will be included in annual MassDOT Title VI Update Report. The program areas to be covered in these reviews will be determined based on previous subrecipient report submissions, complaint data received and other factors to be developed over this three year cycle.

If the MassDOT Title VI Specialist finds no deficiencies, he/she will make a recommendation to the Title VI Coordinator and they will collaboratively advise the MPO or RTA at the conclusion of the review and will follow up with written notification that they are in compliance.

If the MassDOT Title VI Specialist finds deficiencies during the review period, he/she will notify the MPO or the RTA that the agency has up to or fewer than 90 days to correct any identified problems. After the local agency corrects the deficiencies, the MassDOT Title VI Specialist will advise the Title VI Coordinator and they will collaboratively send a written confirmation of compliance. If an MPO or RTA does not correct Title VI program deficiencies identified by MassDOT or the FTA, it may be subject to sanctions including the suspension of FHWA funding.

1.5 Limited English Proficiency

MassDOT has established a Language Access Plan to provide access to limited English-speaking populations. Each subrecipient develops its own Language Access Plan as appropriate for the area in which the transit system operates. All recipients/subrecipients must complete a four factor analysis on a bi-annual basis summarizing all of its programs. These factors include:

- The number or proportion of limited English proficiency persons in the service area who are likely to be served by the transit system;
- The frequency with which LEP persons come into contact with the transit system;
- The nature and importance of the service provided to LEP persons, and
- The resources available to the transit system and the cost to provide language assistance.

The Language Assistance Plan then describes the measures it currently uses or might use to address the needs of LEP persons. Staff training is an integral part of a successful Language Assistance Plan. Finally, the Plan describes how notice to LEP persons about available language assistance is publicized.

MassDOT publishes information about planned transportation improvements in major and community newspapers to solicit feedback from affected community members. MassDOT has held workshops to engage community members and facilitate a discussion of concerns. Mass DOT holds civil engagement meetings, general public meetings, and establishes advisory groups that include community representatives and other interested individuals. In addition, MassDOT continues to reach out to minority and low-income populations and offer services when requested.

2. Disadvantaged Business Enterprise (DBE)

2.1 General Requirement

MassDOT's Office of Diversity and Civil Rights and the Rail and Transit Division require that subrecipients take reasonable steps to ensure that Disadvantaged Business Enterprises (DBEs) have the opportunity to compete for and perform contracts. All FTA grantees who anticipate that they will award contracts totaling over \$250,000 during the federal fiscal year (October 1–September 30) are required to have a DBE program administered under 49 CFR 26. Contracts to purchase transit vehicles do not count toward the \$250,000 total.

Subrecipients must follow the requirements of the DBE program and also establish mechanisms for monitoring progress and prompt reporting.

2.2 Reporting Requirement

Subrecipients must report Awards/Commitments and Actual Payments twice annually (April 30 and October 30) to ODCR. The purpose of this report is to provide ODCR with data regarding the participation of DBEs relative to all funds on FTA-assisted contracts. This data is included as part of y MassDOT's semi-annual reports to FTA. .

2.3 Bidder's List

All subrecipients are required to maintain a bidder's list consisting of information about all firms that bid, quoted, or otherwise showed interest in working on an FTA-assisted contract. This information shall be made available to MassDOT annually.

2.4 Subrecipient Contract-Specific Goal-setting

The primary objective for requiring subrecipients to set contract-specific goals is to ensure non-discrimination in the awarding and administration of DOT-assisted contracts funded through MassDOT. Contract goals are established so that, over the period to which the overall annual goal applies, they will cumulatively result in meeting any portion of the overall goal that is not projected to be met through the use of race-neutral means.

Subrecipients are responsible for establishing their own contract-specific goals on procurements that meet the requirements. Subrecipients will not be required to set a contract goal on every DOT-assisted contract as stipulated under 49 CFR 26.51 (e). Subrecipients are also not required to set each contract goal at the same percentage level as the overall goal.

2.5 MassDOT oversight of contract-specific DBE goal-setting

To ensure that subrecipients comply with the goal-setting guidelines under 49 CFR 26 and with the MassDOT DBE program, subrecipients will be required to collaborate with ODCR

Based on the value of the contract, MassDOT's ODCR will review, analyze and provide the necessary feedback and guidance to ensure that the goal setting procedures are being complied with in accordance with the guidelines.

2.6 How the DBE goal can be achieved

The DBE goal can be satisfied through the participation of one or more certified DBE firms as prime contractor, joint venture partner, subcontractor, sub-consultant or supplier of goods and services, provided the firm is certified for the task at the time the contract is awarded.

2.7 Good Faith Efforts

Subrecipients must use good faith efforts in determining compliance with the DBE requirements. If the DBE numerical goal is not met, the subrecipient will confer with MassDOT's ODCR to decide whether the contractor made "Good Faith Efforts" to actively and aggressively seek DBEs to meet the established goal.

2.8 Administrative Reconsideration

If it is determined by the subrecipient that an apparent successful bidder has failed to meet the requirements of good faith efforts, before awarding the contract, the apparent lowest bidder must be provided with an opportunity for administrative reconsideration. ODCR and the subrecipient will collaborate in appointing a Reconsideration Officer and conduct the hearing.

3. EEO/Affirmative Action (FTA Circular 4704.1)

Consistent with the requirements of FTA Circular 4704.1, MassDOT shall include both quantitative and qualitative content that ensures that data tracking and internal audits and subrecipient monitoring are aligned with the annual FHWA reporting requirements. The MassDOT annual update shall include revisions and status regarding workforce utilization analysis, goals and timetables, adverse impact analysis (four-fifths rule), problem areas, results achieved and corrective actions taken based on the analyses and audit/monitoring outcomes. This data shall be collected annually as part of MassDOT's annual program review.

Grantees must take reasonable steps to ensure that Disadvantaged Business Enterprises (DBE) have the opportunity to compete for and perform contracts. All FTA grantees who anticipate that they will award contracts totaling over \$250,000 during the federal fiscal year (October 1–September 30) are required to have a DBE program (49 CFR 26). Contracts to purchase transit vehicles do not count toward the \$250,000 total. MassDOT staff coordinates with MassDOT's Office of Equal Opportunity and provides technical assistance to help grantees meet the federal DBE requirements.

Grantees are required to report purchases made from DBE vendors quarterly and provide a description of their good faith efforts to locate and purchase from DBE

G. Section 504 and Americans with Disabilities Act (ADA)

MassDOT notifies each grant recipient at the time of the award that they must comply with all applicable federal and state laws regarding accessibility. As part of the Community Transit Grant Program, the Rail and Transit Division conducts state-wide orientation and training outreach meetings in January and July of each year. In these meetings, specific sections are devoted to ADA compliance. Additionally, the Rail and Transit Division conducts Compliance and Performance site visits of subrecipients. This process employs the Compliance and Performance Review document which has an ADA specific section in which over 50 questions are asked to determine ADA compliance. In addition to the ADA specific section, additional ADA questions are addressed separately in sections specific to Vehicle Maintenance, Facility Maintenance and Service provision. Each transportation system is expected to have and follow a comprehensive ADA policy which includes but is not limited to:

- Regular staff training on accessibility issues.
- Accessible vehicles available to provide service (not all vehicles have to be accessible)
- A service animal policy
- Paratransit service policy (if applicable)
- Complaint processes and policies
- Other accessibility policies

H. Program Measures

Grantees are required to prepare a variety of reports on a quarterly or annual basis. Quarterly reporting may include a project narrative, detail of operating expenditures, expenditures by service type, statistical summary by service type, Disadvantaged Business Enterprise, complaints, and/or capital expenditures. Annually grantees are also required to submit updated asset inventories.

MassDOT compiles information from grantees and submits the following standard FTA reporting elements for all programs:

- Annual program of projects status reports
- Milestone activity reports
- Program measures
- DBE reports

I. Buy America

Subrecipients must comply with 49 USC 5323(j) and 49 CFR Part 661, which provides that federal funds may not be obligated unless steel, iron and manufactured products used in FTA-funded projects are produced in the United States, unless a waiver has been granted by FTA or the product is subject to a general waiver. General waivers are listed in 49 CFR 661.7. A general public interest waiver from the Buy America requirements applies to microprocessors, computers, microcomputers, software or other such devices, which are used solely for the purpose of processing or storing data. This general waiver does not extend to a product or device that merely contains a microprocessor or microcomputer and is not used solely for the purpose of processing or storing data.

Separate requirements for rolling stock are set out at 49 USC 5323(j)(2)(C) and 49 CFR 661.11. Rolling stock must be assembled in the United States and have a 60 percent domestic content.

Each subrecipient must submit to the Agency the appropriate Buy America Certification with all offers on FTA-funded contracts, except those subject to a general waiver. Proposals that are not accompanied by a properly completed Buy America certification are subject to the provisions of 49 CFR 661.13 and may be rejected as nonresponsive.

J. DAMIS

In addition, MassDOT collects and reports the following program specific information:

- § 5310 – The gaps in service are filled and the number of rides provided.
- § 5311 – National Transit Database (NTD) reporting of capital investment, operations, and service data.

K. Program Management

1. Monitoring and Oversight

MassDOT's Rail and Transit Division monitors all project activities, services, project administration and management practices supported with federal and/or state funds, to ensure compliance with Federal and state regulations. To accomplish this, MassDOT's Rail and Transit Division has designated a Transit Compliance Officer to conduct on-site reviews of all (active) subrecipients every three (3) years. Compliance and Performance Review Packages were developed to enable MassDOT's RTD to conduct comprehensive subrecipient performance reviews. In addition to determining whether a subrecipient is compliant, these Performance Review Packages also serve to identify and promote good practices, pinpoint training and technical assistance needs and provide an opportunity for valuable in-person interaction with recipients.

In conjunction with the section-specific compliance questions, the performance review packages provides a list of documents to be reviewed prior to and during the site visit. The questions specifically address FTA and Massachusetts State requirements and good practices related to the funding the subrecipients receive and the services they provide. The Performance Review Package is comprehensive

and documents the review process. Once a subrecipient has been identified for and notified of a Compliance Review, they are provided a copy of the review package which lists the requested materials and as well as the steps necessary to completing the review.

The primary goal of the Compliance Review is to assist subrecipients in executing a successful transit program and that fully meets both federal and state requirements as efficiently as possible. In cases where technical assistance, consultation, and interagency coordination do not achieve compliance with federal and state regulations, 2 CFR Part 200—Uniform Administrative Requirements, Section 18.43 of 49 CFR Part 18, Uniform Administrative Requirements for Grants and Cooperative Agreements to and Local Governments, addresses enforcement. Subsection 18.43(a) provides for remedies for noncompliance and states, "If a grantee or subrecipient materially fails to comply with any term of an award, whether stated in a federal statute or regulation, an assurance, in a plan or application, a notice of award, or elsewhere, the awarding agency may take one or more of the following actions, as appropriate in the circumstances: 1. Temporarily withhold cash payments pending correction of the deficiency by the grantee or subgrantee or more severe enforcement action by the awarding agency 2. Disallow (that is, deny both use of funds and matching credit for) all or part of the cost of the activity or action not in compliance 3. Wholly or partly suspend or terminate the current award for the subrecipients or subcontractor's program 4. Withhold further awards for the program, or 5. Take other remedies that may be legally available." In addition to conducting the compliance review visits detailed above, MassDOT staff has created Grant Summary Sheets for use by MassDOT Rail & Transit Division to provide technical assistance to potential and current grant sub-recipients. Because these documents are meant to be used as a guide to assist sub-recipients with the understanding of federal and state requirements in order to receive funding and are meant as a summary and not an all-inclusive guidance document, MassDOT also encourages subrecipients to refer to the specific section Circular, the annual Certifications, Assurances and Agreements, the Additional Terms & Conditions in their contract, or other documentation provided by MassDOT or the Federal Transit Administration (FTA).

In addition to the above identified documentation, during these reviews, MassDOT staff use checklists outlining accounting and record-keeping requirements based on the following:

- OMB Circulars A-122 and A-87 for grantees receiving operating funding assistance.
- Administrative requirements found in OMB 49 CFR Part 18 and Part 19.
- Regulatory requirements attached to the receipt of federal funds.
- Vehicle inventory and maintenance records for grantees receiving capital funding assistance.
- Drug abuse and alcohol misuse testing regulations, when applicable.
- Compliance with FTA Circular 4704.1F
- 2 CFR PART 200—UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS

1.1.Audits

Grantees spending less than \$750,000 in federal funds during the federal fiscal year (October 1 through September 30) are exempt from federal audit requirements.

However, records must be retained and available for review or audit upon request. Grantees exceeding the \$750,000 threshold during specific audit conducted. A copy of this report must be submitted to MassDOT when available.

For-profit grantee audit requirements are outlined in each agreement. State agency and local government audits are conducted by the state Auditor. MassDOT administration and project grants awarded to a public entity are subject to this process and compliance with 2 CFR Part 200.

The state Auditor issues reports when audits are complete and notifies MassDOT when the reports are available. MassDOT has access to all audit reports and retrieves electronic copies as necessary. Questions regarding audit reports and results are asked during site visits and desk reviews. These questions are located on the site visit checklists.

2. Grant Management System

Beginning in 2013, MassDOT entered into an agreement with a contractor to provide a Grant Management System specifically tailored to transportation and related services. That product, the BlackCat Grant Management System® for Transportation is a web-based, hosted solution designed around a customizable off-the-shelf core specifically designed for Departments of Transportation. This core was tailored to fit the specific needs of MassDOT. The BlackCat Grant Management System includes the following processes:

- Support of the state and federal capital planning program which includes review and approval of needs, allocation of funding to projects, TIP and STIP development, draw down of funds, milestone tracking and contract close out.
- Support of the state competitive grant program (Section 5310, 5339 and MAP dollars), which includes application entry, review and approval process, funding allocation, contract development and issuance, draw down of funds, milestone tracking and contract closeout.
- Milestone, Ridership and Annual report functions.

MassDOT maintains individual data for each grantee through the GrantsPlus system, such as entity type, legal address, DUNS number, Metropolitan Planning Organization, Certifications and Assurances, and fleet inventory. This system tracks project expenses, amounts charged to each funding source awarded, local matching sources, and project budgets. This information is also used to revise the program of projects and project budgets.

3. Reporting

Grantees are required to prepare a variety of reports on a quarterly or annual basis. Quarterly reporting may include a project narrative, detail of operating expenditures, expenditures by service type, statistical summary by service type, Disadvantaged Business Enterprise, complaints, and/or capital expenditures. Annually grantees are also required to submit updated asset inventories.

MassDOT compiles information from grantees and submits the following standard FTA reporting elements for all programs:

- Annual program of projects status reports.
- Milestone activity reports.

- Program measures.
- DBE reports.
- DAMIS

In addition, MassDOT collects and reports the following program specific information:

- § 5310 – The gaps in service are filled and the number of rides provided.
- § 5311 – National Transit Database (NTD) reporting of capital investment, operations, and service data.

Section 5310 subrecipients submit on a quarterly basis, milestone reports, which shall include spending and project implementation summaries, to include ridership reports if applicable. Reports will be submitted through the web-based GrantsPlus system. Grantees will keep records regarding the use of project equipment.

Section 5310 and 5311 projects are required to submit on an annual basis, Milestone reports, which shall include spending and project implementation summaries. Reports will be submitted through the web-based GrantsPlus system. Grantees will keep records regarding the use of project equipment.

Section 5339 grantees submit milestone reports, which shall include spending and project implementation summaries. Reports will be submitted through the web-based GrantsPlus system. Grantees will keep records regarding the use of project equipment. On a quarterly basis, grantees will submit monthly use if the vehicle will be utilized for demand response service. Reports will be submitted through the web-based GrantsPlus system. Grantees will keep records regarding the use of project equipment.

Recipients that receive only vehicles funded with MassDOT funds submit annual reports.

MassDOT staff prepares and submits an annual NTD report based on information provided by subrecipients through quarterly reports.

4. Procurement

Equipment purchases may be conducted directly by the grantees with MassDOT oversight, from an existing contract with another governmental agency, or through grantee participation in a MassDOT coordinated statewide procurement process.

MassDOT's role is to ensure purchases are made competitively and in compliance with federal procurement policies. Grantees are supplied with the Massachusetts Transit Program Procurement Summary Sheet, which outlines the applicable federal procurement policies and procedures. MassDOT requires pre-approval of all bid documents and specifications prepared by the grantees to assure compliance with federal standards. As grantees proceed in their approval of equals process and contract execution, they are required to consult MassDOT to assure maintenance of the competitive procurement process. MassDOT also requires pre-approval of any purchase from another agency contract.

Where applicable, MassDOT has coordinated with the Commonwealth of Massachusetts Operational Services Division(OSD) to solicit a statewide, multi-vendor,

multi-vehicle contract for transit vehicles that contains all federal and state regulations. This vehicle contract is available to all eligible grantees supported by federal capital grants. Participants of this procurement contract are provided complete procurement documentation to verify compliance with all federal and state requirements.

Even though MassDOT may collect a debarment and suspension certification from the prospective third party contractor, or include a clause in the third party contract requiring disclosure, MassDOT requires the subrecipient check the System Award Management (SAM) maintained by the GSA before awarding a third party contract.

5. Vehicle/Equipment Use, Insurance, Maintenance and Disposition

Legal ownership of all vehicles purchased with state or FTA program funding is retained by MassDOT. When titling a vehicle, grantees are listed as “Registered Owner,” responsible for licensing. When insuring the vehicle, certain qualifications should be met. At a minimum, grantee shall maintain the following coverages:

- Liability of \$ 1,000,000 per accident, bodily injury and property damage combined
- Collision subject to a deductible of not more than \$ 1,000
- Comprehensive subject to a deductible of not more than \$ 1,000
- Grantee shall maintain the following umbrella limits:
- \$2,000,000 per occurrence
- \$2,000,000 aggregate
- Self-insured retention not to exceed \$ 10,000.

It is understood and agreed that Grantee will title the equipment and MassDOT Rail & Transit Division (lien code: C40410) will be named first lien holder. MassDOT shall maintain the title documentation in its files. When the Project equipment reaches the end of its useful life, MassDOT will release the lien. Useful life standards are:

- Minibuses (Type C & D): seven years and/or 150,000 miles
- Vans/minivans (Type E & E2): five years and/or 100,000 miles
- Other vehicles: refer to FTA standards in FTA Circular 5010.1D
- Equipment: to be determined by MassDOT on a case by case basis
- Vehicle safety inspections are conducted annually by the Massachusetts Department of Public Utilities.

As a condition of receiving state funding, Grantee shall maintain the Project equipment at a high level of cleanliness, safety, and mechanical soundness. At a minimum, Grantee will perform maintenance according to the manufacturer’s requirements. MassDOT and FTA shall have the right to conduct periodic inspections for the purpose of confirming proper maintenance pursuant to this section.

Grantee shall submit at the beginning of each calendar year written certification that the project equipment is still being used in accordance with the terms of the grant agreement and that no part of the local contribution to the project has been refunded or reduced. This certification, along with the following submittals/updates must be made through the GrantsPlus system: 1) Updated vehicle mileage, 2) Updated list of equipment inventory, 3) Certification and description of preventive maintenance, 4) Driver training certification, 5) Proof of insurance, and 6) Latest financial statement.

Grantees may purchase the federal interest at any time before the end of the equipment's useful life. If this occurs, MassDOT requires that the grantee pay the federal share of the equipment's current fair market value to MassDOT. The fair market value is determined by straight line depreciation.

When an accident occurs which eliminates a vehicle from further operations, MassDOT receives the insurance proceeds. If the grantee purchases a replacement vehicle, the proceeds are forwarded to them after the replacement has been received, paid for, and legal ownership is vested in MassDOT. A replacement vehicle must be a similar type and of equal or greater value than the one damaged. If the damaged vehicle is not replaced, MassDOT keeps the federal share of the insurance payment and forwards the local share to the grantee.

The federal share kept by MassDOT is used to provide capital and/or operating assistance to grantees for public transportation purposes.

MassDOT releases interest in a vehicle at the end of the minimum useful life. MassDOT may decide to release legal ownership prior to the end of the useful life if:

- It has been documented that the vehicle is unreliable and the anticipated life cycle costs do not warrant continued operation of the vehicle
- Based on reduced environmental impacts, it is deemed to be in the best interests of the public
- Early retirement allows for transit investment in new technologies expected to benefit the industry and the public

The Vehicle Disposition Schedule is shown the Massachusetts Transit Program MASSDOT AUTHORIZED VEHICLE USE GUIDE. MassDOT has revised the Vehicle Disposition Schedule to match current FTA minimum useful life guidelines based on accepted vehicle categories.

6. Certifications and Assurances

All subrecipients must sign the FTA certifications and assurances annually.

7. Financial Management

MassDOT maintains a management system of financial reporting, accounting records, internal controls, and budget controls subject to standards specified in state laws enforced by the state Auditor, and the State Office of the Comptroller. Project codes are established immediately upon notification of grant approval to track each project and financial component. The Office of State Comptroller's office submits reimbursement requests to FTA through the Electronic Clearing House Operation (ECHO) system for project expenditures based on the information contained in the Massachusetts Management Accounting and Reporting System (MMARS). Monthly reconciliation against the revenue collected from TrAMS is completed by MassDOT Fiscal.

Each subrecipient is responsible for accurate and complete disclosure of its expenditures and revenues. Reimbursement of eligible expenses is made within 28 days of receipt of satisfactory documentation.

Projects receive reimbursement for no more than the amount of the grant total specified in their contract. The Capital and Finance Coordinator may amend the end

date of a contract and grant if a credit balance is in a project at the end of the contract period.

8. Charter Service

MassDOT has included 49 CFR Part 604 in its Program Summary Sheets which is distributed to all grantees prior to contract signature. Grantees are instructed that they must comply with this if receiving FTA funds.

All grantees who are considering charter service are responsible for complying with the public participation process described in the rule. MassDOT reviews compliance with the charter rule during site visits or desk reviews. When complaints are received alleging unfair competition in regard to charter business, MassDOT investigates the allegation. The grantee is contacted to verify if charter service is taking place and that the proper process has been followed.

9. Project Closeout

Unless otherwise specified in the grant agreement, projects must be completed and agreements closed in one year. At its discretion and with FTA's approval, MassDOT Transit may grant extensions to extend grant agreement end dates. The MassDOT Standard Contract is extended as well. Final billing must be submitted by the end of the state fiscal year.