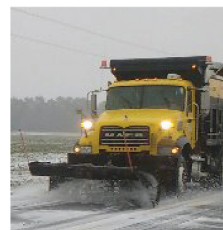
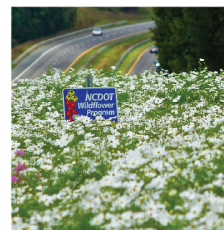




NORTH CAROLINA Department of Transportation



IMD Transit Director's Training Compliance Part 1

Blair Chambers, Carolyn Freitag & Jeremy Scott

Tuesday October 6th, 2020

Proficiency Reviews

- What is a Proficiency Review (PR)?
- Scheduling
- Who is involved?
- Preparation for the Review
- Workbook
- Site Visit Procedures
- PR Site Visit Report
- Non-Compliance with PR and Safety Reviews
- Recent Trends
- Resources

North Carolina General Statute 136-44.20 gives the Integrated Mobility Division the authority to administer federal and state public transportation funding programs.

As a result, we perform proficiency reviews of Federal Transit Administration (FTA) Sections 5307, 5311, 5339, 5310, 5316 and 5317 programs subrecipients.

As a tool the review will primarily be used to:

- Assess the technical capacity of subrecipients to **receive and manage federal and state funds**.
- Assess the technical capacity of subrecipients to **successfully adhere to governmental requirements for grant and program administration**, including but not limited to property and financial management, training needs, security readiness and civil rights requirements.
- **Clarify federal/state regulatory requirements**.
- Improve the **management efficiency and effectiveness** of federal/state funded transportation programs.
- Identify areas where **training and technical assistance** may be warranted.

Scheduling

- Proficiency Reviews are on a Five-Year Cycle and are conducted by Consultants.
- In 2018, IMD moved to a risk-based method of oversight to control costs and decrease subrecipient burden.
- An assessment of the annual findings will clearly determine which subrecipients need extra support and more frequent reviews.
 - Subrecipients with less than 10 Deficiencies will only have a Proficiency Review every five years while those with 10 Deficiencies or more will be reviewed every two years until they receive less than 10 deficiencies in a review.
- Additional actions that can trigger earlier reviews include a **director change** with a subrecipient or a **consolidation** of two or more subrecipients. The review will ensure the subrecipients start out on the right track when going through a major change.
- A lot of the current schedule is in flux currently due to COVID-19.

FY20 Proficiency Review List

Madison County Transportation Authority
 Avery County Transportation Authority
 Western Piedmont Regional Transit Authority
 Western Carolina Community Action, Inc. Henderson Co
 Aging, Disability and Transit Services of Rockingham County *
 Rowan County
 Kerr Area Transportation Authority
 Clay County
 Alamance County Transportation Authority *
 Gaston County *
 Union County
 Orange County *
 Wake County *
 Polk County *
 McDowell County Transportation
 Community and Senior Services of Johnston County, Inc. (JCATS)
 Harnett County *
 Hoke County
 Scotland County *

* Biennial Review

FY21 Proficiency Review List

Carteret County
 Dare County
 Hyde County/Tyrell County
 Iredell County
 Cabarrus County
 Cherokee County
 Gates County
 Graham County
 Jackson County
 Lenoir County
 Lincoln County
 Moore County
 Transylvania County
 Yadkin Valley Economic Development District, Inc.
 (YVEDDI)
 Randolph County Senior Adults Association, Inc. (RCATS)

FY22 Proficiency Review List

Beaufort County Developmental Center (BATS)
 Brunswick Transit System, Inc.
 Columbus County
 Craven County (CARTS)
 Cumberland County
 Davidson County
 Macon County
 Robeson County (SEATS)
 Stanly County (SCUSA)
 Transportation Administration of Cleveland County, Inc.
 Lee County

Who is involved in a Proficiency Review?

- Relevant Transit System Staff (Director, Finance Director, Operations Manager)
- IMD Regional Planner
- IMD Procurement Section
- IMD Finance Section
- Consultant Team
- Consultant Oversight Team

IMD Safety conducts a separate review on Safety and Security items that is more in depth.

Preparation

Preparing for the review is an important part of the process so that the site visit portion of the review can focus on potential problem areas rather than searching documentation during the visit. Below are some of the expectations of each participant's role in the process:

Pre-Proficiency Review Activities

- Subrecipients up for review should work with their Planner on reviewing the **“Grantee Documents Inventory”** and the **“Grantee Best Practices Reference Guide”** in order to confirm all major policy inventories are available and up to date in preparation for the review (**1 year prior**).

Proficiency Review Activities Start

- Review Consultants give a brief synopsis to the subrecipient on what the review will encompass and will then coordinate with the assigned Planner and subrecipient on a site visit date.
- The subrecipient will be expected to begin working on the Workbook (**170 Pages**) as soon as possible. Subrecipients are required to be given at least 4 weeks to complete the document before the site visit takes place. Incomplete work can lead to a longer visit and additional deficiencies.

THE
NORTH CAROLINA
DEPARTMENT OF TRANSPORTATION
PUBLIC TRANSPORTATION DIVISION



Proficiency Review (PR)

*A Review of Regulatory Compliance, Technical Skills Capacity &
Management Proficiency of Federal and North Carolina State Funded Transit Subrecipients*

FY 2020 – WORKBOOK

Revised January 2020

**Integrated Mobility Division (IMD) Grantees
Receiving Funds under
Sections 5307, 5311, 5310, 5339, 5316 and 5317**

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Site Visit Procedures

Currently Review Consultant and Planner travel to the administrative location of the subrecipient to verify certain compliance aspects in person. We are currently investigating ways to conduct at least some of this Virtually due to the pandemic.

1. Entrance Conference (Discussion on purpose of the visit, findings of the Desk Review, agenda, etc.)
2. Review Workbook items – broken down in 18 categories:
Financial Management, Technical Capacity, Maintenance, Americans with Disabilities Act (ADA), Title VI – Nondiscrimination in the Delivery of Service, Procurement, Disadvantaged Business Enterprise (DBE), Legal, Satisfactory Continuing Control, Planning and Coordination, Public Comment Process on Fare Increases and Service Reductions, Half Fare, Charter Bus, School Bus, Safety and Security, Drug Free Workplace/Drug and Alcohol Testing Program, Equal Employment Opportunity (EEO), Other Service Requirements
3. Review Consultant Team will visit the facility, inspect records, and inspect vehicles, operations and the maintenance facility
4. Exit Conference (Discuss what Findings remain, what can be expected next, etc)

Proficiency Review Site Visit Report

After the site visit concludes, the Review Consultant is expected to submit their **“Proficiency Review Site Visit Report”** to the Oversight Consultant within 10 Business Days for a **“Quality Assurance/Quality Control”** review.

The **“Proficiency Review Site Visit Report”** will contain findings only, additional information that is considered helpful, but not required will be collected in a Notes section.

Each reviewed item will be designated as either **‘Compliant’**, **‘Deficient’** or **‘Not Reviewed’**. Deficient items must be addressed as they are items that are not in compliance with either a Federal Regulation or a State of North Carolina regulation. If a recommendation or Best Practice is suggested, these comments should be added, but with a Compliant status.

Once the **“Quality Assurance/Quality Control”** review is complete, the Proficiency Review Coordinator will create a **“Proficiency Review Report Letter”**. This letter will be sent to the subrecipient and the Executives in Charge for the subrecipient.

This “**Proficiency Review Report Letter**” will explain what is required to maintain compliance and will provide an expected time frame for corrective actions to be completed. It will also describe what actions will take place if these expectations are not met. The letter will be sent via physical mail and electronically by email.

The subrecipient will be allowed up to 90 days from the date of the letter to complete the corrections needed, including any board approvals or additional reviews needed, to put the new or updated policies in effect. Failure to regularly communicate with the assigned MDS and/or Safety Representative about pending corrective actions taking place will not excuse incorrect actions taking place.

Extensions can be granted for an additional 30 days if requested in writing and approved in writing by IMD before the 90 days has expired.

Compliance with PR and Safety Reviews

- Upon completion of the site visit and review, a “**Proficiency Review Report Letter**” will be sent to the Director and the Executives in Charge (Transit Advisory Board Chair, Executive Director and/or Chairperson of the jurisdiction’s ruling board).
- This letter will explain what is required to maintain compliance and will provide an expected time frame for corrective actions to be completed. It will also describe what actions will take place if these expectations are not met.
- The subrecipient will be allowed up to 90 days from the date of the letter to complete the corrections needed, including any board approvals or additional reviews needed, to put the new or updated policies in effect.

Consequences may include, but are not limited to:

- Holding Payments on reimbursement claims.
- Inability to apply claims for the period considered non-compliant, decreasing the eligible period of performance.
- Forfeiture of all active grants.
- Inability to apply for grant funding through NCDOT until compliance is met and can be demonstrated.

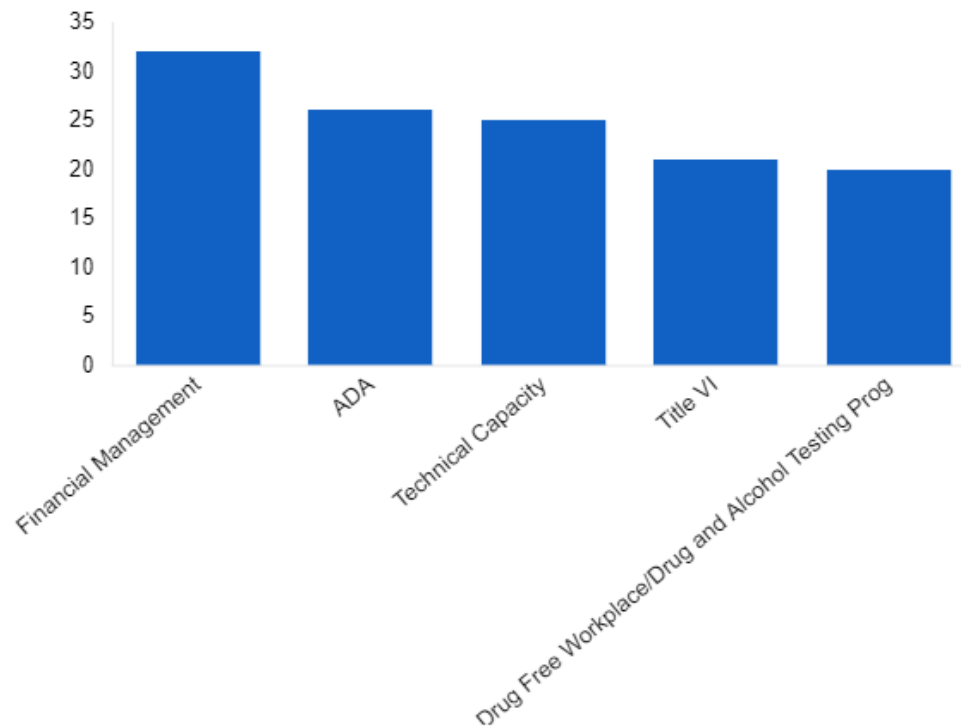
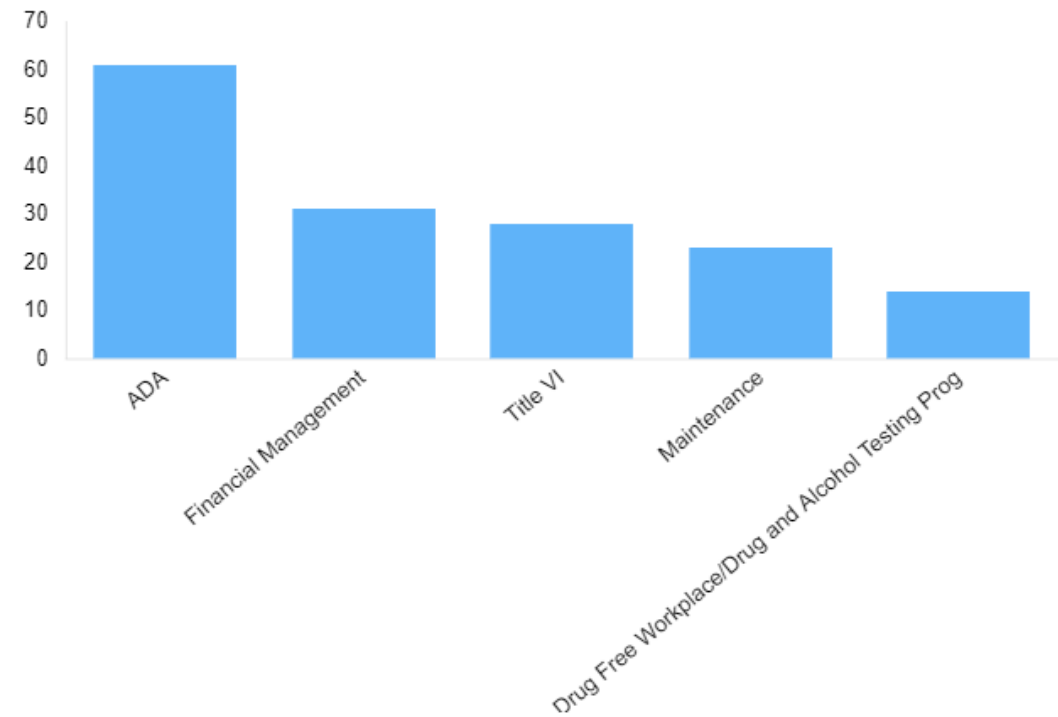
Corrective actions must be fully documented actions to show that NC DOT-IMD took the proper actions to ensure the State of NC is in compliance. All documented findings in the report will have easily identifiable steps towards correction and must be taken in order to be declared compliant.

These corrective actions can be completed individually and signed off separately until all are completed. In order to reach compliance, the subrecipient must send their corrective action to their Regional Planner.

Corrective actions can be presented as a new or updated policy that have gone through the proper adoption process or in some cases, an explanation of what will be done in the future, if nothing needs to be adopted. The final acceptance and closing of the deficiency will be completed by the Proficiency Review Coordinator.

The Proficiency Review Coordinator will log all corrective actions in a database for both auditing purposes and for designation of common deficiencies that may require more training or education on a statewide level.

The Proficiency Review Coordinator will create a “**Final Proficiency Review Report Letter**” and send it both electronically and by mail to the System Director and Executive in Charge recording the system as in compliance.

FY18 Findings Breakdown**FY19 Findings Breakdown**

A Few Last Notes:

- Policy Templates (Source of Template)
- Documentation (Example – Disposition of Vehicles)
- Importance of Understanding Corrective Actions
- Be Proactive and Organized!!!

Questions?

Reporting Requirements

- Quarterly Training – previously discussed by Safety Unit
- DAMIS – previously discussed by Safety Unit
- Vehicle Utilization Data – 2 times per year, time set by ITRE
- Program Income – quarterly, requested by Finance unit
- Charter Reports - quarterly
- ROAP Reports – Bi-annual
- OpStats - quarterly



PROGRAM INCOME FORM	GRANT: <u>NC-18-X037</u>		GRANTEE NAME:	
			PROJECT NO. 20-CT-	
A. Project Income from Federal Programs	Income		PERIOD REPORTING: JULY 1, 2019 - SEPTEMBER 30, 2019	
Income from fees for services performed	\$0.00			
Income from the use or rental of real or personal property	\$0.00			
Income from the sale of advertising/concessions	\$0.00			
Income from the sale of commodities or items fabricated	\$0.00			
Other Income	\$0.00			
TOTAL Project Income from Federal Programs	\$0.00			
B. Project Income Expended	Transit Operating		Transit Capital	
TOTAL Project Income Expended:	\$0.00		\$0.00	

PROGRAM INCOME FORM	GRANT: <u>NC-16-X029</u>		GRANTEE NAME:			
			PROJECT NO. 20-ED-			
A. Project Income from Federal Programs	Income					
Income from fees for services performed	\$0.00		PERIOD REPORTING: OCTOBER 1, 2019 - DECEMBER 31, 2019			
Income from the use or rental of real or personal property	\$0.00					
Income from the sale of advertising/concessions	\$0.00					
Income from the sale of commodities or items fabricated	\$0.00					
Other Income	\$0.00					
TOTAL Project Income from Federal Programs	\$0.00					
B. Project Income Expended	Transit Operating		Transit Capital			
TOTAL Project Income Expended:	\$0.00		\$0.00			

[illegible]

NCDOT ROAP Report

Rural Operating Assistance Program (ROAP)

FY20: July 1, 2019 - June 30, 2020

[illegible]

10	Name of County	0
11	Period 1 End Date	December 31, 2019

12	13	14	15	16	17	18	
EDTAP Subrecipient(s) from the County	Original Sub-allocation	Sub-Allocation adjustment	Total number of EDTAP trips provided	Public Transit System Trips	Non-Public Transit System Trips	Amount Expended to provide EDTAP trips	
0		\$ -			-		
		\$ -			-		
		\$ -			-		
		\$ -			-		
		\$ -			-		
		\$ -			-		
		\$ -			-		
		\$ -			-		
		\$ -			-		
		\$ -			-		
		\$ -			-		
		\$ -			-		
		\$ -			-		
		\$ -			-		
TOTAL	\$ -	\$ -	-	-	-	\$ -	

In the space below, list the name of any agency or organization reported as a subrecipient that did NOT use the coordinated public transit system in the county to provide the trips reported. Which of the following options did these subrecipients use to provide the EDTAP funded trips - private transit providers, agency/staff vehicles, taxi services or volunteers?

19	Fare Revenue from EDTAP Trips		20	Interest Income from EDTAP Funds	\$ -
----	-------------------------------	--	----	----------------------------------	------

21	Funds transferred from EMPL/RGP to EDTAP within county	\$ -	25	EDTAP Funds Received from NCDOT	\$ -
22	EDTAP Funds transferred to county in regional system	\$ -	26	TOTAL Available EDTAP Funds	\$ -
23	EDTAP Funds received from county in regional system	\$ -	27	Total EDTAP Funds Expended	\$ -
24	EDTAP Funds transferred to JARC, New Freedom, 5310 E&D, 5311 or Rural State Operating for Local Match	\$ -	28	Cumulative Deficit or Surplus	\$ -

NCDOT ROAP Report
Rural Operating Assistance Program (ROAP)
FY20: July 1, 2019 - June 30, 2020

0

81 Reconciliation of FY20 ROAP funds for County or Eligible Authority

		ROAP Funds disbursed to County	Amount Transferred From	Amount Transferred To	Amount Transferred to Non-ROAP	Net ROAP Allocation	Unexpended ROAP Funds	
	EDTAP	\$ -	\$ -	\$ -		\$ -	\$ -	
	EMPL	\$ -	\$ -	\$ -		\$ -	\$ -	
	RGP	\$ -	\$ -	\$ -		\$ -	\$ -	
	Total	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	

82 Elderly and Disabled Transportation Assistance Program

Total Available EDTAP Funds	\$ -	Total Expended Funds	\$ -
Expended EDTAP Funds	\$ -	Number of EDTAP funded trips provided	-
Additional Local Contribution	\$ -	Additional EDTAP Trips not Funded by ROAP	-
Unexpended EDTAP Funds	\$ -	% of EDTAP funded trips provided by the transit system	0%

83 Employment Transportation Program

Total Available EMPL Funds	\$ -	Total Expended Funds	\$ -
Expended EMPL Funds	\$ -	Number of EMPL funded trips provided	-
Additional Local Contribution	\$ -	Additional EMPL Trips not Funded by ROAP	-
Unexpended EMPL Funds	\$ -	% of EMPL funded trips provided by the transit system	0%

84 Rural General Public Transportation Program

Total Available RGP Funds (not include 10% local match)	\$ -	Total Expended Funds	\$ -
State Share	\$ -		
10% Local Share	\$ -	Number of RGP funded trips provided	-
Additional Local Contribution	\$ -	Additional RGP Trips not Funded by ROAP	-
Unexpended RGP Funds	\$ -	% of RGP funded trips provided by the transit system	100%

I hereby certify, to the best of my knowledge, the following information is accurate and complete for each reporting period.
I further certify that all funds were expended in accordance with applicable federal, state and local guidelines.
I understand that any unexpended funds from the total FY20 ROAP allocation will be invoiced by NCDOT.
I also understand that future disbursements will not be made until the invoice has been paid.

85 _____
 Signature of County Finance Officer or Authority Executive Director Date

86 Unexpended ROAP funds (over \$50.00) will be returned to the NCDOT Integrated Mobility Division. Do not send a check with the ROAP Report. Checks will be returned if received. After an NCDOT review of this report, an invoice will be sent for the unspent funds from the FY20 ROAP allocation.

\$ -

87a In the space below, provide a detailed explanation if 10% or more of the EDTAP funds allocated to the county are being returned to NCDOT.

87b In the space below, provide a detailed explanation if 10% or more of the EMPL funds allocated to the county are being returned to NCDOT.

87c In the space below, provide a detailed explanation if 10% or more of the RGP funds allocated to the county are being returned to NCDOT.

Operating Statistics (OpStats)

Jeremy Scott, ITRE

Webinar Overview

- Deadlines
- Reporting Expenses and Revenues
- Report Overview

OpStats Report Deadlines

Report Deadlines

The reports are due to IMD no later than:

- 1st Quarter: October 15
- 2nd Quarter: January 15
- 3rd Quarter: April 15
- 4th Quarter/Annual Report: August 31

Reporting Expenses

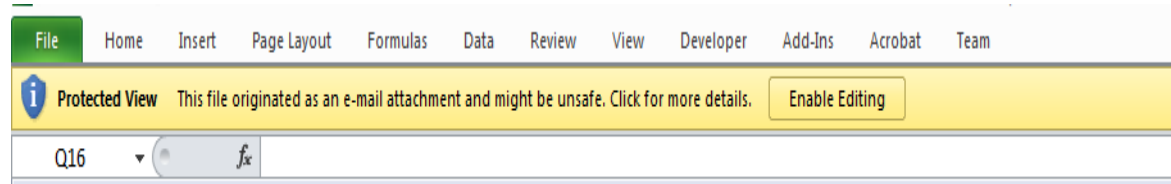
- Make sure to report ALL expenses, not just those covered by 5311 or other Federal grants
- NTD requires expenses to be reported using the Modified Accrual Accounting method (most counties report using a cash basis)
 - Expenses are reported in the fiscal year in which the expense is incurred

Reporting Expenses -- Example

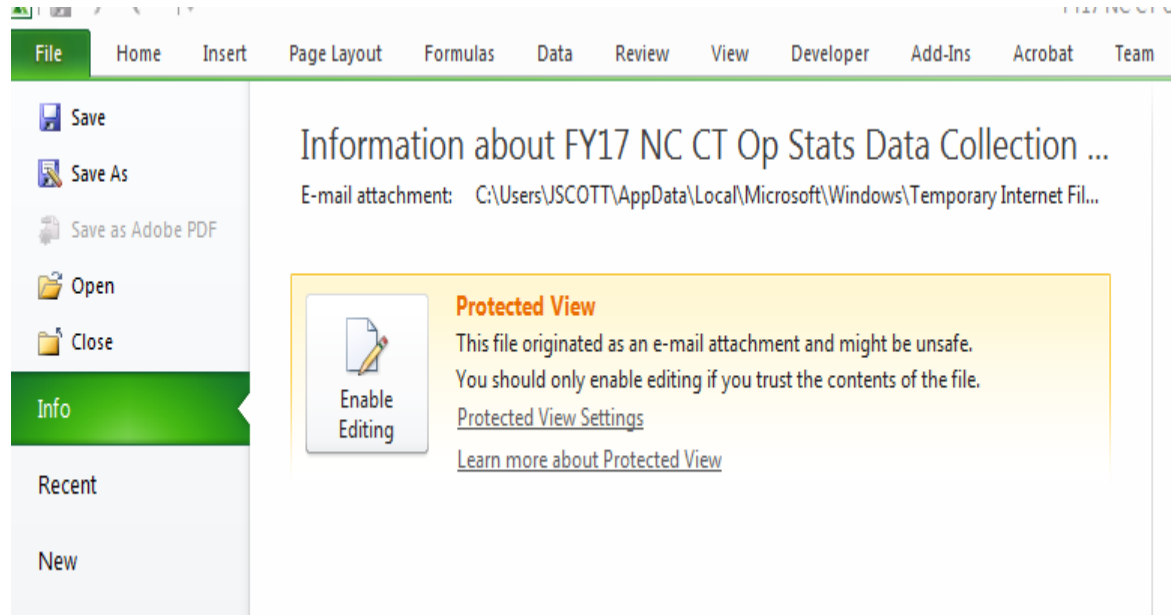
- The Capital Expenses should be reported in the fiscal year the vehicle was received, not when it was ordered.
- Example:
 - A vehicle was purchased on March 1, 2020 but was not received until after July 1, 2020. The expenses and revenues should be reported in FY21.

Enabling Macros

1.



2.



Overview: System Information

1. OVERVIEW:				
FY2020				
	A	B	C	
System Information				
1	<u>CTP Grantee's Legal Name</u>			1
	First Name	Middle Initial	Last Name	
2	<u>Transit's Contact Person</u>			2
3	<u>Contact Email</u>			3
4	<u>Transit's Website Address http://</u>			4
5	<u>Transit's Telephone Number</u>			5
Service Area				
6	<u>Select service area</u>			6
7	<u>List counties in Multi-County System (if applicable)</u>			7

Only Enter data into
colored cells

Color code for FY21 is
orange

Overview: Operating Modes

Operating Modes	
	Operating Modes
Demand Response Directly Operated (DR DO)	<input checked="" type="checkbox"/>
Demand Response Purchased (DR PT)	<input checked="" type="checkbox"/>
Fixed Route Directly Operated (MB DO)	<input type="checkbox"/>
Fixed Route Purchased (MB PT)	<input type="checkbox"/>

Be sure to check the "check box" for your operating modes

FY2020	July	August	September	October	November	December	January
Operating Days							
Customer Satisfaction							
Demand Response Directly Operated (DR DO)							
Hours							
Miles							
Passenger Trips: Non-Contract							
Medicaid Contract							
Non-Medicaid Contract							
Total Passenger Trips for This Mode	0	0	0	0	0	0	0
Demand Response Purchased (DR PT)							
Hours							
Miles							
Passenger Trips: Non-Contract							
Medicaid Contract							
Non-Medicaid Contract							
Total Passenger Trips for This Mode	0	0	0	0	0	0	0
Fixed Route Directly Operated (MB DO)							
Hours							
Miles							
Passenger Trips: Non-Contract							
Medicaid Contract							
Non-Medicaid Contract							
Total Passenger Trips for This Mode	0	0	0	0	0	0	0

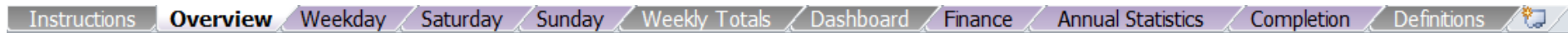
Overview – Operating Modes cont'd

Operating Modes		Route types
Operating Modes		
Demand Response Directly Operated (DR DO)	<input type="checkbox"/>	
Demand Response Purchased (DR PT)	<input type="checkbox"/>	
Fixed Route Directly Operated (MB DO)	<input checked="" type="checkbox"/>	Fixed Route
Fixed Route Purchased (MB PT)	<input checked="" type="checkbox"/>	Deviated Fixed Route

Select the route types if check “MB DO” OR “MB PT” mode

Financial Information

- FY18+
 - Only one finance tab, similar to earlier years



Finance Tab

Resource		Admin/Operating					Capital					Description	
		DR	DO	DR	PT	MB	DO	MB	PT	TOTA			
EXPENSES	ADMINISTRATIVE												
	Driver Salaries & Fringes										0		
	Other Operating Staff Salaries & Fringes										0		
	Mechanics Salaries & Fringes										0		
	Indirect Services										0		
	Fuel										0		
	Vehicle Maintenance										0		
	Payment of Insurance Deductible(s)										0		
	Disposal of Vehicle(s)										0		
	Management/Operation Services										0		
	Volunteer Reimbursement										0		
	Other Transit Provider Services										0		
	Other (describe to the right)										0		
	Total Operating Expenses		0		0		0		0		0		
Total Admin/Operating Expenses			0		0		0		0		0		
CAPITAL													
	Capital Purchases										0		
	Body Work on Wrecked Vehicle										0		
	Facility Renovation or Construction										0		
	Advanced Technology Purchases										0		
	Other (describe to the right)										0		
Total Capital Expenses				0		0		0		0			
FEDERAL													
	Urbanized Area Formula Funding-Section 5307										0		
	CARES Act-Section 5307										0		
	ETA Capital Program Funds-Section 5309										0		
	Elderly and Disabled-Section 5310										0		
	Capital Assistance Spent on Operations-Section 5310										0		
	CTP Funds - Administrative/Capital-Section 5311										0		
	CTP Funds - Operating-Section 5311										0		
	Capital Assistance Spent on Operations-Section 5311										0		
	Appalachian-Section 5311										0		
	Tribal Federal Assistance-Section 5311										0		
	ABRA Assistance-Section 5311										0		
	ABRA Tribal Assistance-Section 5311										0		
	CARES Act-Section 5311										0		
	JARC Funds-Section 5316										0		
	New Freedom Funds-Section 5317										0		
	Bus and Bus Facilities 5339										0		
	Other ETA Revenues (describe to the right)										0		
	Other Federal Non-ETA Revenues (describe to the right)										0		
	Federal total			0		0		0		0		0	

Reporting ROAP Revenues

- Do NOT report total disbursement
 - Any unexpended funds used in the following fiscal year should be reported at that time
- Only report revenues received for expenses incurred in the current fiscal year

CARES Act Funding Sources

- Updated the Federal Revenues section to include 5307 and 5311 CARES Act funding

FEDERAL												
Unemployment Compensation-Section 5307	0	0	0	0	0	0	0	0	0	0	0	0
CARES Act-Section 5307	0	0	0	0	0	0	0	0	0	0	0	0
FTA Capital Program Funds-Section 5309	0	0	0	0	0	0	0	0	0	0	0	0
Elderly and Disabled-Section 5310	0	0	0	0	0	0	0	0	0	0	0	0
Capital Assistance Spent on Operations-Section 5310	0	0	0	0	0	0	0	0	0	0	0	0
CTP Funds - Administrative/Capital-Section 5311	0	0	0	0	0	0	0	0	0	0	0	0
CTP Funds - Operating-Section 5311	0	0	0	0	0	0	0	0	0	0	0	0
Capital Assistance Spent on Operations-Section 5311	0	0	0	0	0	0	0	0	0	0	0	0
Appalachian-Section 5311	0	0	0	0	0	0	0	0	0	0	0	0
Tribal Federal Assistance-Section 5311	0	0	0	0	0	0	0	0	0	0	0	0
ARRA Assistance-Section 5311	0	0	0	0	0	0	0	0	0	0	0	0
ARRA Tribal Assistance-Section 5311	0	0	0	0	0	0	0	0	0	0	0	0
CARES Act-Section 5311	0	0	0	0	0	0	0	0	0	0	0	0
JARC Funds-Section 5316	0	0	0	0	0	0	0	0	0	0	0	0
New Freedom Funds-Section 5317	0	0	0	0	0	0	0	0	0	0	0	0
Bus and Bus Facilities 5339	0	0	0	0	0	0	0	0	0	0	0	0
Other FTA Revenues (describe to the right)	0	0	0	0	0	0	0	0	0	0	0	0
Other Federal Non-FTA Revenues (describe to the right)	0	0	0	0	0	0	0	0	0	0	0	0
Federal total	0	0	0	0	0	0	0	0	0	0	0	0

Take Note!

- Enter data into colored cells only
- Report ALL Expenses and Revenues
 - Revenues DO NOT have to equal expenses
- Report Contract Revenue in Other Directly Generated Funds
 - Unless revenues cover full cost of service (admin + operating + capital)
- CA Spent on Operations moved to Admin/Operating column

Virtual Training Series – Tentative Topics

- 10/6 – Compliance Pt. 2 (safety, drug and alcohol testing, driver training, etc.)
- 10/8 – Procurement (guidance and key requirements)
- 10/13 – Title VI (Title VI plans, ADA, public involvement, transportation equity)

Virtual Training Series – Tentative Topics

- 10/15 – Service Planning, Data Analysis, and Measuring Success

Training Hub Link:

<https://connect.ncdot.gov/business/Transit/Pages/Training-Hub.aspx>





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