

MANAGEMENT OF GRANT-FUNDED CAPITAL ASSETS

The Oregon Department of Transportation (ODOT) Public Transit Division (PTD) is the direct recipient of federal funds and awards projects to transit agencies for the purchase of a variety of capital assets. The Federal Transit Administration (FTA) requires ODOT PTD to maintain continuing control of the capital assets purchased with FTA funds.

The FTA also requires that every agency receiving capital grant funds develops a written maintenance plan for federally-funded vehicles, major equipment, and facilities. PTD will monitor this FTA requirement via desk reviews (requesting copies of documents) and/or during on-site compliance reviews. PTD staff will verify that maintenance is being performed according to maintenance plans and schedules for the specified assets, per manufacturer's recommendations. This is to ensure that assets 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 (including office computer servers, personal computers (PCs), copiers, and other large office equipment)
- ✓ Communications Equipment (includes telephone systems, and radio systems when the purchase is \$5,000 or more)
- ✓ Security/Surveillance Equipment (includes security systems such as lighting, cameras and recording equipment – for installation at a facility or in vehicles)
- ✓ Passenger Shelters and Signage
- ✓ Buildings and Facilities (such as bus barns, maintenance shops, or transit centers)

PTD monitors subrecipient agencies to ensure that grant-funded assets are maintained in a state of good repair, as required by the Federal Transit Administration (FTA). The FTA defines State of Good Repair as the condition where all assets perform their assigned functions without limitation:

- Assets operate as intended, without restrictions
- With regular maintenance, an asset will operate at the same level on the first day, and on the last day of service, throughout its useful life

ASSET MANAGEMENT PLAN REQUIREMENTS

PTD recognizes the diversity of public transportation providers across the state, and that a "one size fits all" approach to asset management plans is not practical. PTD is responsible for ensuring that all public transportation providers receiving capital grants develop and

maintain an appropriate asset management plan. PTD will work with individual agencies to define a plan that fits the agency's size, scope of assets, service profile, and resources.

Sample asset management documents and forms are available for download on the PTD web site, under Reporting and Forms. If you have questions about your agency's asset management plan, please contact PTD for assistance.

- 1. Very small transportation agencies and community-based providers:** these agencies may operate a small fleet of 10 vehicles or less, and may also have a capitalized preventive maintenance grant. Small transit agencies must have a basic vehicle and facility maintenance plan that includes the required elements such as an annual inspection and inventory of all federally-funded assets, a vehicle replacement policy, and a vehicle maintenance plan.
- 2. Small-to-medium-size transportation or community-based agencies:** these agencies may be managing a larger fleet of 10-40 transit vehicles, as well as additional assets, such as computer equipment, a radio system, passenger shelters, perhaps a bus barn for storing vehicles, or even an administrative building. An asset management plan for these agencies will include more information, such as an organizational description including an organization chart, descriptions of staff and management responsibilities for asset management, safety goals, facility and vehicle maintenance plans, and a vehicle replacement policy.

Examples of vehicle asset management plans for small to medium-size agencies are posted on the PTD web site – see Resources at the end of this section.

- 3. Medium to large transit agencies:** this is the “full-service” transit agency with a significant investment of federal funds in its vehicle fleet and perhaps facilities. Typically this size agency manages a large and diverse transit fleet providing an array of transportation services in a regional or densely populated system. Additional grant-funded assets typically include communication and computer systems, security and surveillance systems, shop equipment, passenger shelters and signs, vehicle storage lots/barns, and sometimes major facilities. A fully developed asset management plan, with all components noted below, under “Elements of an Asset Management Plan,” should be prepared for these agencies.

ELEMENTS OF AN ASSET MANAGEMENT PLAN

The components of an asset management plan typically include the following. Certain items are mandatory for all agencies as noted – while other components represent industry best practices.

- ✓ Complete inventory of vehicle, equipment, and facility assets, updated annually. Assets must be identified with a unique Property Tag number that identifies the asset as purchased with federal dollars. **Mandatory.**
- ✓ Agencies' adopted asset/vehicle replacement schedule and policy (should comply with PTD guidelines in this Handbook). **Mandatory.**
- ✓ A copy of the agency's Vehicle Maintenance Plan (see appropriate section of this Handbook). **Mandatory.**

- ✓ Mission Statement – statement of the agency’s guiding principles for managing assets (for example, safety, state of good repair, cost-effective operations, etc.)
- ✓ Overview of agency’s resources for administration and maintenance of assets, including designation of responsible management and supervisory positions, and a description of duties related to asset management.
- ✓ Organization chart showing asset management responsibilities.
- ✓ Agency’s safety goals, objectives, and standards regarding all assets.
- ✓ A copy of the agency’s adopted facility maintenance plan and schedules (see link to sample forms and documents under Resources).
- ✓ A statement of how the agency will measure or evaluate the success of its asset management plan.

VEHICLE ASSET MANAGEMENT

Each agency receiving capital grant funds from PTD to purchase capital assets is expected to manage its assets safely, efficiently, and effectively. Managing vehicles generally includes a plan for the expected life cycle for each vehicle established by the agency awarded the asset.

PTD Useful Life Standards for Vehicle Replacement

In accordance with FTA guidelines, PTD has established minimum useful life standards for vehicle replacements funded with federal dollars. Attachment A shows the useful life standards for public transit vehicles by category.

The criteria used to evaluate vehicle replacement grant applications are:

- ✓ The transit service for which the vehicle will be used,
- ✓ The vehicle minimum age standard is met or exceeded,
- ✓ The vehicle minimum mileage standard is met or exceeded,
- ✓ Vehicle condition and excessive maintenance issues/expenditures are considered,
- ✓ Federal policy requires that providers of client-only transportation service share vehicles; these providers must indicate how they will provide rides to non-clients, or how vehicles will be shared with other public transportation providers in the area. (Making vehicles available to other client-only providers in an area is not considered sharing the vehicle.)

Grant recipients are eligible to replace vehicles that have met or exceeded vehicle useful life standards as follows:

1. When an agency requests to replace a vehicle, it must meet or exceed the useful life standards of age and/or mileage prior to the new vehicle being placed in service, as shown in Attachment A.
2. A vehicle replaced through a PTD grant may be disposed of by:
 - Selling it in a public venue such as an auction (goal is to get the highest return)—net proceeds from selling must be used for next **vehicle** purchase;

- Transferring it to another transportation provider;
 - Keeping it as a spare or back-up.
3. 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 ODOT PTD 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.
 4. If kept for spare or back-up service or transferred to another public agency, the vehicle can only be replaced **once** through a PTD grant. PTD staff tracks this in the OPTIS system and confirms a vehicle has not already been replaced when grant applications are reviewed for eligibility.
 5. All PTD grant-funded vehicles must be reported through the agency’s periodic reports to ODOT PTD for as long as the vehicle remains in service, including spare or back-up vehicles.
 6. Agencies are required to notify PTD if the vehicle has been out of service for 90 consecutive days.
 7. Agencies are required to notify PTD when the grant recipient can no longer use a vehicle, if the original purpose for the vehicle changes, the service is terminated, the transit project ends, or the agency is closing or no longer providing public transportation. If the project is at an end or an agency closes and useful vehicle life remains, PTD will transfer the vehicle to another eligible agency.
 8. Titles are released to the owner (grant recipient) when requested for replacement/disposal once useful life standards have been met. When a vehicle is requested to be transferred to another agency for similar service, PTD releases the title for changes but must remain on the title as first lien holder as long as it is used for public transportation. PTD releases interest in vehicle titles when a vehicle is being sold or donated to agencies that are not providing public transportation.
 9. When disposing of a vehicle, the agency may follow its own rules and procedures for disposing of federally-funded surplus property, as long as the disposal or sale is conducted in an open public process and meets all state or federal laws, rules, and requirements. Agencies may sell the vehicle and keep the sales proceeds, but must reinvest the funds for the next vehicle purchase in the transit program for which the disposed vehicle was purchased.
 10. Once a vehicle has been formally replaced through a PTD grant, any subsequent replacement (such as when the vehicle is no longer fit for back-up service) is considered a vehicle expansion purchase. Agencies may submit expansion vehicle grant applications through the established PTD grant programs that include capital projects.

Agency Vehicle Life Cycle Management

Agencies should not confuse PTD’s vehicle useful life standards (Attachment A) with developing an agency’s internal vehicle life cycle planning and fleet management policies. PTD’s vehicle useful life standards establishes how often federal funds may be used to purchase a replacement

vehicle in PTD's grant programs. Many transit agencies continue to safely operate vehicles as part of their fleet well past the PTD useful life standards.

Each agency providing public 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

In order to create and manage a vehicle replacement policy, an up-to-date asset inventory is required. PTD has established data guidelines for rolling stock inventories. PTD maintains an Asset Register in its grant management system, the Oregon Public Transit Information System (OPTIS), for all grant-funded vehicles. Agencies should maintain a vehicle inventory that includes all rolling stock/passenger service vehicles, whether grant-funded or purchased with other funds. (Vehicles used for agency purposes, such as maintenance vehicles, are considered equipment and inventory requirements are listed in the Equipment Inventory Requirements below.)

The rolling stock 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. This is the information maintained in OPTIS, or requested in agency periodic reports:

- ✓ Agency's vehicle number (inventory "property tag number")
- ✓ Year of manufacture
- ✓ Vehicle Category (from Useful Life Standards – Attachment A)
- ✓ Make and model
- ✓ Vehicle condition (see below for description categories)
- ✓ Seating capacity – total capacity of the vehicle (all ambulatory seats); and capacity when all ADA stations are deployed (if it reduces total capacity).
- ✓ Total number of ADA stations
- ✓ Fuel type
- ✓ Vehicle Identification Number (VIN)
- ✓ License number ("plate number")
- ✓ Date placed into revenue service
- ✓ Total purchase cost (OPTIS asset register set-up will show which grant funded the purchase)
- ✓ Minimum useful life (years and miles) or remaining useful life (annual update required)
- ✓ Title holder (will be PTD if grant-purchased)
- ✓ Mileage (annual update required)

- ✓ Date removed from revenue service (if applicable)
- ✓ Disposal method, if applicable: sold at auction, transferred to (agency), or junked

Vehicle Condition Descriptions

PTD has established the following vehicle condition definitions, which are tracked in the OPTIS Asset Register. Agencies may also use these definitions in their vehicle inventory. Note that any vehicle in less than good condition, as noted in OPTIS, requires an explanation on the agency's PTD quarterly reports.

In-Service Vehicles:

- New (N) = Less than 2,500 miles delivered over road from factory or less than 250 miles delivered by truck/rail; in new condition. Once the vehicle is reported as New, the condition would change next quarter to Excellent or appropriate condition.
- Excellent (E) = Low mileage in relation to age and no visible or evident mechanical or cosmetic flaws.
- Good (G) = Average mileage in relation to the age and only minor mechanical or cosmetic flaws. May include rehabilitated vehicles restored to good condition.
- Fair (F) = High mileage and/or noticeable mechanical or cosmetic flaws. Repairs are beginning to exceed normal maintenance schedules.
- Poor (P) = High mileage and major mechanical or cosmetic flaws. Non-maintenance repair happening frequently and becoming more costly. Major repairs such as engine or transmission overhaul needed to keep the vehicle in service.

Out-of-Service Vehicles:

- Out of Service (O) = The vehicle is unreliable or is completely inoperable; has been pulled from service due to mechanical or body/chassis flaws that create unsafe operating conditions, or is not ADA compliant. Plan to reinstate, repair, renovate, etc. in order to put it back into service.
- Disposed (D) = Vehicle has been retired from service permanently and disposed of (e.g., sold, donated, traded-in on a new vehicle purchase, or removed for scrap if severely damaged).
- Transferred (T) = Transferred to another agency in the area for continued transportation services (e.g., local senior center).

Vehicle Safety Standards

Agencies should establish vehicle and driver safety standards which apply to all passenger vehicles and on-board equipment. These standards should address the following elements:

- ✓ Agency management commitment to safety. Examples may include: safety policies, an agency safety committee, a safety communication program for the workplace (such as posters, safety bulletins, safety meetings, etc.), and workplace procedures that include safety elements
- ✓ Operational on-board safety equipment, including fire extinguishers, first aid kit, web cutter, bio-hazard kit, road warning triangles, based on agency policies

- ✓ Ensure communications equipment is working properly and that back-up procedures are in place for emergency communications in areas of poor coverage or “dead spots”
- ✓ Driver training for the safe transport of all passengers, including service animals, should include special needs passenger assistance, proper restraints for children, responding to passenger and vehicle emergencies, and requirements for seat-belt use
- ✓ Driver training for transporting special needs individuals, including lift operation, storing portable oxygen tanks, securing wheelchairs and non-traditional personal mobility devices, and any other specialized driver training required by the agency
- ✓ Driver first aid and CPR training, should include procedures for dealing with potential blood-borne pathogen spills inside a vehicle
- ✓ Vehicle pre-trip and post-trip inspections as outlined in the Preventive Maintenance section of this handbook
- ✓ Driver training for driving under challenging conditions such as winter storm driving, techniques for driving in heavy rain, snow and ice, night driving, left turns at intersections, driving in heavy winds, etc. (Optional but strongly recommended.)
- ✓ Procedures for vehicle breakdown and unavoidable stops, including safe vehicle evacuation and grouping of passenger outside of the vehicle
- ✓ Safety procedures for bus storage and vehicle maintenance facilities, if the agency operates such facilities, covering both the operation of vehicles inside the facilities, and the safe use of equipment
- ✓ Procedures and policies for responding to all hazards, including evacuations, as established by the agency’s policies and procedures, and in coordination with emergency first responders in the area. Agencies are encouraged to establish inter-agency agreements and to define how vehicles might be deployed in the event of an emergency—what agency will be providing drivers, insurance coverage would in place, and procedures are in place in advance

Disposal of Grant-funded Vehicles

Agencies must contact PTD to receive approval for disposal of a PTD grant-funded vehicle that has not met the useful life by miles or age. (See “PTD Minimum Useful Life Standards for Replacement” section, above.) If useful life has been met, grant-funded vehicles may be disposed of under the following circumstances:

1. Agency has been awarded a grant to replace a vehicle under a PTD or FTA direct grant program. The vehicle must have met or exceeded its minimum useful life. Agencies should submit a written or e-mail request for the vehicle title to be released by PTD. Information must include the Vehicle Identification Number (VIN), year, make/model, mileage, reason for disposal, and intended disposition method. Agencies replacing vehicles have these options for disposal of the old vehicle:
 - Disposal by auction or public sale. Agencies may follow local procedures for disposal as long as the process involves an open public bid or auction process. Sale proceeds must

be retained in the transit program under which the vehicle was initially acquired and used to reduce the cost of the next vehicle purchase. Agencies should maintain a copy of 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. PTD will require copies or review this documentation, which must be retained for three years after disposal.

- Disposal by trade-in on purchase of a new transit vehicle. New vehicle must be for the same grant program as disposed vehicle was purchased for.
2. Agency requests to transfer the vehicle to another public or nonprofit agency providing public transportation. Contact PTD prior to the transfer to determine if the agency and its service is eligible. PTD staff may consult with the Special Transportation Fund (STF) Agency for that jurisdiction if useful life standards have not been met. The STF Agency should maintain a file copy of the transfer agreement and a copy of the Driver and Motor Vehicles (DMV) title transfer documenting the transfer of the vehicle between agencies. PTD must remain on the title as first security interest holder and the new title will be held at PTD.
- If within the useful life standard, the vehicle transfer must be approved by PTD. The receiving agency must use the vehicle for public transportation within the same grant program for which the vehicle was initially acquired. Agencies must request that PTD release vehicle title for purposes of the transfer, and must ensure that the new title lists PTD as first security interest holder. Transferring agencies may request reimbursement of local match at the awarded percentage based on the current fair market value of the vehicle.
 - If the vehicle has met or exceeded the useful life standards, the vehicle can be sold, transferred or donated. Agencies must request that PTD release vehicle title, but PTD will not continue as security interest holder if it is no longer being used in public transportation service provision. (For instance, donated to a local church or other nonprofit organization.) Net proceeds still need to be used for the next vehicle purchase.
3. Casualty Loss: if a vehicle is withdrawn from service due to damage from an accident, theft, or vandalism, the agency must immediately notify PTD. The following actions will be taken:
- a) If the damaged vehicle can be repaired, the agency 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.
 - b) If the vehicle cannot be adequately repaired, is stolen, or otherwise unrecoverable, the following steps must be taken:
 - 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.
 - The transit agency will promptly file an insurance claim for damage or loss of vehicle. PTD will be provided a copy of the insurance claim, and subsequent correspondence with the insurance carrier or agent.
 - The preferred action is for the agency to use insurance proceeds, plus any additional local funds required, to replace the vehicle.

- Transit agency would request ODOT PTD to release the vehicle title. When a new vehicle is purchased, PTD must be the first security interest holder (lien holder) on the title of the new vehicle.
- If for some reason the agency 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 PTD. The agency will be required to use the insurance proceeds to pay PTD the grant share at the current FMV of the vehicle.

EQUIPMENT ASSET MANAGEMENT

PTD has established management standards for grant-purchased equipment similar to those established for rolling stock. Grant-purchased capital equipment has a value of \$5,000 or more and a useful life of at least one (1) year. Examples:

- ✓ Vehicle Equipment – additional, unique components such as fare boxes and bike racks
- ✓ Shop Equipment for vehicle maintenance
- ✓ Computer Equipment and Software required to put the equipment into service (such as servers, PCs, printers, etc.)
- ✓ Computer software systems of \$5,000 or more such as scheduling software, maintenance/fleet management software, etc.
- ✓ Communications Equipment (includes telephone systems, radio systems, and security systems with an aggregate cost of \$5,000 or more)
- ✓ Security and Surveillance Equipment (includes lighting, and video surveillance systems)
- ✓ Light-duty sedans, cargo vans, and trucks that are **not** used for passenger transportation (such as maintenance vehicles, staff vehicles, etc.)

Equipment Minimum Useful Life Standards for Replacement

PTD has established minimum useful life standards for grant-funded equipment. These standards were established in accordance with FTA guidelines, and reflect a combination of industry standards, PTD experience, consultation with ODOT engineers, and consultation and research with other state counterparts. The minimum useful life standards for equipment are noted below. Please note these are established for grant replacement purposes only; they do not necessarily reflect your agency's internal equipment life cycle expectations.

- Computer equipment, software, and other office equipment = 5 years
- Communications equipment (mobile radios, base stations) = 5 years
- Surveillance equipment (cameras, etc. for vehicles or facilities) = 5 years
- Shop equipment (e.g., vehicle lift, bus washing, tire changers, etc.) = 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 = 4 years or 100,000 miles

Equipment Inventory

PTD has established guidelines for inventorying capital equipment, and maintains an Asset Register in OPTIS for all grant-funded capital equipment. Local transportation agencies should maintain an internal equipment inventory which includes all capital equipment, whether grant-funded or paid for with other funds. The inventory should include the following data elements and should be updated as new equipment is acquired or old equipment is replaced. Expected replacement date may also be included. If it is, it should be updated annually.

- ✓ Agency's internal equipment ID number (inventory property "tag number" identifying the asset as federally-funded)
- ✓ Year of manufacture
- ✓ Equipment condition (use vehicle condition categories in previous section as a guide)
- ✓ Serial Number
- ✓ Date placed into service
- ✓ Total purchase cost (OPTIS asset register set-up will show which grant funded the purchase)
- ✓ Minimum useful life or remaining useful life (annual update required)
- ✓ Date removed from service (if applicable)
- ✓ Disposal method (if applicable; e.g., "auction sale")

Equipment Maintenance Plans

All grant-funded equipment, or equipment purchased as part of a capitalized system (i.e., computer network or communications system) should have a basic, written maintenance plan. Maintenance should be based on manufacturer's recommendations, 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.

Please refer to the section on Vehicle Preventive Maintenance Plans for further guidance and examples. Generally, except for very costly items, equipment maintenance plans do not have to be as detailed as vehicle maintenance plans. Maintenance schedules should be based on safety and risk considerations, the cost of the equipment, whether it has moving parts, and follow instructions in the materials provided by the manufacturer.

Equipment Safety

All agencies should have a safety program that includes equipment safety. In particular, shop equipment and non-rolling stock vehicles present safety risks which should be addressed through a safety plan.

- ✓ Agency management commitment to safety may include safety policies, an agency safety committee, a safety communication program for the workplace (such as posters, safety bulletins, etc.), and incorporating safety elements into workplace procedures, as appropriate.
- ✓ Appropriate safety response equipment, including fire extinguishers and first aid kits, eye washes, bio-hazard kits, etc., should be provided. Office and maintenance facilities are regulated under Oregon Occupational Safety and Health Administration (OSHA) workplace safety guidelines, and should comply with all pertinent safety requirements. A link to OSHA information may be found at the end of this section.
- ✓ Operator training for all grant-funded equipment should include initial training upon installation (typically provided by the manufacturer's representative or local dealer), and refresher training for new employees
- ✓ A sufficient number of employees should be trained in first aid and CPR to respond quickly to emergencies. Procedures for emergency response and public safety information should be provided to employees as recommended by local first responder agencies
- ✓ Safety procedures for non-rolling stock vehicles should be included in the agency's general safety policies and procedures, and should reflect the same standards as driver safety procedures for rolling stock vehicles, excluding procedures for transit passengers

Disposal of Equipment

Generally, requirements for approved disposal of grant-funded equipment follow the requirements for disposal of vehicles, although PTD does not hold title to equipment. Please refer to the section of 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 PTD grant funds.

Equipment may be disposed of through the following methods:

- ✓ Sale by open bid process or public auction
- ✓ Trade-in for replacement equipment
- ✓ Transfer to a public or nonprofit agency
- ✓ Donation to a charity if value is under agency threshold for capital
- ✓ Disposal and required replacement due to damage, theft, or vandalism

Sale of used equipment is a common method of disposal. Agencies should make every effort to sell items for the highest price. Sale proceeds must be used for the purpose of the original grant program. If the item has a sale value of \$5,000 or more, it must either be used as match for a new equipment purchase or used in provision of service in the same program that funded the original purchase. PTD encourages agencies to contact the PTD program manager with questions regarding the disposal of grant-purchased equipment, and to review options for use of sale proceeds.

FACILITIES 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

For PTD grant project purposes, capital facilities 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 paving parking 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. Project awards are accomplished through formal Sealed Bid or Request for Proposals. 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.

Capital Facilities Minimum Useful Life Standards for Replacement

PTD has established minimum useful life standards for capital facilities replacement. These standards were established in accordance with FTA guidelines, and reflect a combination of industry standards, PTD experience, consultation with ODOT engineers, and consultation and research with other state counterparts. The minimum useful life standards for facilities are listed below. Please note these are established for grant replacement purposes only; they are not intended to reflect your agency's internal facility life cycle expectations.

- Passenger shelters (pre-fabricated metal and glass/Plexiglas and stick-frame) = 20 years
- Signs and sign poles = 10 years
- Amenities: (e.g., benches and on-ground bicycle lockers or racks) = 15 years

- Equipment sheds > 300 square feet (pre-fabricated and erected on site) = 20 years
- Any “stick frame” constructed building/structure = 40 years
Examples include bus barns, maintenance shops, administrative offices
- Concrete/pavement infrastructure (bus parking areas, passenger transfer stations, park-and-ride lots, transit malls) = 20 years
- Security fencing (permanently installed metal cyclone-type) = 20 years
- Office furnishings within buildings (e.g., office partition systems, desks, filing cabinets, etc.) = 10 years
- Land = perpetual - useful life does not expire on land purchases
- Renovations to existing grant-funded facilities = allowable maximum of once every 10 years; each proposed project will be reviewed separately, on its own merit

Facilities Inventory

PTD has established data guidelines for inventorying capital facilities, and maintains an Asset Register in OPTIS for all grant-funded capital facilities. Local transportation agencies should maintain an internal inventory which includes all facilities, whether grant-funded or acquired with other funds. There are two levels of inventory requirements, based on the type, size and cost of the facility. The inventory requirement for bus shelters and other small capital facilities is less detailed, whereas the inventory requirement for structures and facilities reflects the significantly higher investment in those facilities.

Bus Passenger Shelters, Signs, and Amenities – Inventory Requirements

- ✓ Facility/item location – the street address, or nearest cross-streets and side of street (North, South, East, West) where the shelter or amenities are located.
- ✓ One-sentence description of the asset.
- ✓ Identifying inventory property tag number or item code assigned by the local agency.
- ✓ Month and year of installation.
- ✓ Original cost of facility/item, including applicable federal share, state share, and local share. (OPTIS asset register set-up will show which grant funded the project)
- ✓ Current condition and remaining grant replacement useful life (use same categories listed under “Vehicle Condition Descriptions” section for identifying condition, and see “Facilities Minimum Useful Life Standards for Replacement,” above).

Structures and Facilities – Inventory Requirements

- ✓ Facility name (if applicable) and address. The full name of the facility as it appears on the legal deed (e.g., “City of Treeville, Edwin R. Burton Transit Facility”), and the legal street address.
- ✓ Brief general facility description including purpose/function of the facility, transit programs served, number of floors, and square footage.
- ✓ Facility number or code assigned by the local agency.

- ✓ Facility occupancy rating by local or state fire marshal.
- ✓ Date the occupancy permit allows facility to be used.
- ✓ Original total cost of facility, including applicable federal share, state share, and local share. If real estate acquisition was part of the grant project, that cost should be included in the total project cost. (OPTIS asset register set-up will show which grant funded the project.)
- ✓ For facility renovations: Date completed, square footage, and project cost of all major facility renovations or additions, including federal and state grant shares, if funded in a PTD grant.
- ✓ A list of the major building infrastructure equipment systems, including (but not necessarily limited to) elevators, central fans/blowers, HVAC chillers and heaters, cooling towers, emergency power generators, and waste disposal equipment – including manufacturer's serial numbers.
- ✓ Current building condition (use same categories listed under "Vehicle Condition Descriptions" section for identifying condition, and see "Facilities Minimum Useful Life Standards for Replacement," above.)

Facility Management Plan

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

There are two levels of management plan requirements, based on the type, size and cost of the facility. Bus shelters and other small capital facilities only require a maintenance plan. Structures and facilities require additional information.

Examples of facility asset management plans are posted on the PTD Web site – see links at the end of this section.

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, and 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

Management Plans for major capital facilities should include the following components:

1. Agency's goals and objectives for management of the facility, and how these were established.
2. A copy of the facility inventory (see section above).
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).
4. Facility and Building Equipment Maintenance Plan. Building equipment maintenance should be based on manufacturer's recommendations, and should include required warranty service or inspections, as well as a schedule of preventive maintenance. Record-keeping should include a permanent central file with copies of purchase orders, manufacturer's specifications, warranties, and a historical schedule of inspections, service, and repairs conducted on the building equipment. This plan should address preventive maintenance servicing as follows:
 - ✓ A preventive maintenance servicing and inspection schedule for each major equipment component or system in the facility. This would include heating, ventilation and air conditioning systems (HVAC), plumbing, electrical, fire alarms, sprinkler systems, lighting, and public announcement (PA) systems. The inspection and servicing would include completing preventive or unplanned repairs and would be based on manufacturer's recommendations for the units inspected;
 - ✓ The facility equipment inspection program should include a form or checklist for monitoring scheduled dates of inspection and whether repairs were required, and document when servicing and repairs were completed;
 - ✓ A process for managing and monitoring facility equipment warranties and, if applicable, service agreements, to ensure all service requirements are met;
 - ✓ Annual inspections of building infrastructure such as roof, paint (both exterior and interior), windows, flooring, sidewalks, paving, fencing, etc.
 - ✓ A procedure for documenting annual building infrastructure inspections, any repairs arising from these inspections, and for recording information about the repairs such as what work was done and when;
 - ✓ A procedure and regular schedule for general building maintenance such as walking through areas for routines such as changing light bulbs, servicing clocks, water coolers, servicing doors and locks, and other general work area maintenance.
5. Facility Custodial Plan:
 - For out buildings and storage structures, the custodial plan should include trash can or dumpster pick-up schedule, daily restroom cleaning or port-a-potty service schedule, and sweeping or washing paved surfaces, window washing, etc.;

- For indoor facilities, the custodial plan should include waste can and office recycling pick-up, general dusting and surface cleaning, daily restroom cleaning, periodic carpet cleaning and floor washing/waxing, as well as responding to accidental spills.
6. A general plan and periodic schedule for longer term maintenance projects, such as interior and exterior re-painting; roof replacement; and carpet and flooring replacement.

Facilities Insurance Requirements

All major structures and facilities funded under PTD 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 ODOT Public Transit Division listed as additional insured) must be submitted for final payment of any PTD-grant funded facility project. PTD 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.

Facilities Safety Program

Grant-funded major structures and facilities should have a Facility Safety and Security Plan. The level of detail and activities in the safety plan should be commensurate with the type and size of the facility, as well as the number of occupants, risk potential of activities and functions performed at the facility, and local regulations, as well as OSHA requirements.

- For out buildings and storage structures, safety issues may include lighting, fencing, call boxes, alarm systems, surveillance equipment and other measures for safe and secure vehicle storage;
- For indoor facilities, safety issues may include responding to emergency events; scheduling fire/earthquake drills; a process for working with local law enforcement to develop appropriate workplace violence and bomb threat response protocols; lock-box protocols with local fire departments; parking and exterior lighting, building key or card control systems, alarm systems, and other measures for safe and secure facilities;
- An annual facility safety inspection by a designated position or group. This inspection must include all safety components and any ADA-related equipment. For larger facilities housing a number of employees, establishing a safety committee is a good way to monitor ongoing safety issues.

Fueling facilities, facilities that have underground liquid storage tanks, and facilities that employ hazardous substances in the course of daily business, such as maintenance shops, have additional safety regulations under State law. Please consult with your local

environmental and/or building inspection agency for these requirements. A link to OSHA requirements can be found at the end of this section.

Disposal of Facilities

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.

Grant-funded facilities must meet or exceed established minimum useful life standards for replacement, in order to be replaced under a new grant.

Removable-type facilities such as passenger shelters and amenities may be disposed of through the following methods:

- ✓ Transfer to a public or nonprofit agency
- ✓ Public sale or auction

If a grant-funded facility were to be disposed of, agencies would be expected to access a real estate company to assist in the sale and advertise the property via multiple listing services. Most federally-funded facilities other than passenger shelters, amenities, and sidewalk construction/parking lots have a restrictive covenant filed on the deed. This is to protect the federal investment and to ensure that ODOT PTD is notified and involved in the sale or transfer of the property.

Transferring used facilities such as passenger shelters to other public or nonprofit agencies may be requested. Please contact the PTD capital program manager to discuss transfer plans and requirements.

Agencies selling facilities or structures must make every effort to sell such item(s) in a public venue to get the highest price possible. Proceeds of sale must be used for the same grant program that funded the original purchase/installation or construction. If the item has a sale value of \$5,000 or more, proceeds must be used to purchase new amenities. PTD encourages agencies to contact the PTD program manager regarding the disposal of grant-purchased facilities, and to review options for using the proceeds.

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

RESOURCES

Federal Publications

Code of Federal Regulations (CFR) 49

- Part 611: Major Capital Investment Projects
http://www.access.gpo.gov/nara/cfr/waisidx_09/49cfr611_09.html
- Part 633: Project Management Oversight
http://www.access.gpo.gov/nara/cfr/waisidx_09/49cfr633_09.html

Federal FTA Circulars

- FTA Circular 9070.1F , Elderly Individuals and Individuals With Disabilities Program Guidance, at:
http://www.fta.dot.gov/laws/circulars/leg_reg_6930.html
- FTA Circular C-5010.1D, Chapter IV: Project Management at
http://www.fta.dot.gov/documents/C_5010_1D_Finalpub.pdf
- FTA Circular C-5800.1, Safety and Security Management for Major Capital Projects, at:
http://www.fta.dot.gov/laws/circulars/leg_reg_6930.html
- FTA Circular 9300.1B Capital Investment Program Guidance and Application Instructions, at:
http://www.fta.dot.gov/laws/circulars/leg_reg_8642.html

Other Useful National Organization Publications

- Federal capital Project and Construction Management Handbook at:
<http://www.fta.dot.gov/documents/FTA-CONSTRUCTION-PRJT-MGMT-HDBK2009.pdf>
- Federal capital Project and Construction Management Guidelines, at:
http://www.fta.dot.gov/publications/reports/other_reports/planning_environment_1335.html
- Federal Transit Administration – Procurement best Practices, at:
http://www.fta.dot.gov/funding/thirdpartyprocurement/grants_financing_6037.html
- Federal Transit Agency – Safety, Security, and Emergency Management Excellence – A Framework for Small, Rural, and Community Transit
<http://bussafety.fta.dot.gov/Framework.pdf>
- Community Transportation Association of America (CTAA) – website
<http://web1.ctaa.org/webmodules/webarticles/anmviewer.asp?a=23&z=2>

State Publications

- Occupational Safety and Health Administration at: <http://www.cbs.state.or.us/external/osh/>
- OSHA safety rules at: http://orosha.org/rules_laws.html
- ODOT PTD State Management Plan at:
http://www.oregon.gov/ODOT/PT/PROGRAMS/SHARED/state_mgmt_plan.shtml
- ODOT Publications re: Buying and Selling Vehicles at
http://www.oregon.gov/ODOT/PT/PROGRAMS/capital_program.shtml
- ODOT Publications re: Shelters and Facilities at:
http://www.oregon.gov/ODOT/PT/PROGRAMS/capital_program.shtml
- Oregon Procurement contracts and purchasing statutes at:
<http://landru.leg.state.or.us/ors/279.html>
- Oregon Procurement administrative rules at:
http://arcweb.sos.state.or.us/rules/OARS_100/OAR_125/125_055.html
- Oregon DAS Cooperative Purchasing Program at:
<http://www.oregon.gov/DAS/SSD/SPO/coop-menu.shtml>

FORMS AND RESOURCE DOCUMENTS

- ✓ Sample Transit Asset Management Plan (provided by Washington DOT)
<http://oregon.gov/ODOT/PT/docs/Sample-Transit-AssetMgmt-Plan.pdf>
- ✓ Transit Facility Operating Plan Guidelines (from FTA Construction Project guidance)
<http://oregon.gov/ODOT/PT/docs/Transit-Facility-Operating-Plan-Guidelines.pdf>
- ✓ Sample Annual Building Inspection Checklist
<http://oregon.gov/ODOT/PT/docs/Annual-Bldg-Inspection-Checklist.doc>
- ✓ Model Vehicle Safety Program (provided by Ohio DOT)
<http://oregon.gov/ODOT/PT/docs/Model-Vehicle-SafetyProgram-OhioDOT.pdf>
- ✓ Transit System Safety and Security Plan (provided by Tillamook County Transportation District)
<http://oregon.gov/ODOT/PT/docs/TCTD-SystemSafety-SecurePlan.pdf>

ATTACHMENT A

Oregon Vehicle Description and Useful Life Standards

Oregon Public Transit Division Category	Approx. GVWR in lbs.	No. Seats	Approx. Length *	Useful Life Minimum	Price Range
A: Large, Heavy-Duty Transit Bus 	33,000 – 40,000	35-40+	35 ft. – 40 ft. or greater	12 years or 500,000 miles	\$300,000 – \$400,000
B: Medium-Size, Heavy-Duty Transit Bus 	26,000 – 33,000	25-35	30 ft. – 35 ft.	10 years or 350,000 miles	\$100,000 – \$280,000
C: Medium-Size, Medium-Duty Transit Bus & Truck Chassis Cutaway 	15,000 – 26,000	16-30	25 ft. – 30 ft.	7 years or 200,000 miles	\$ 70,000 – \$175,000
D: Medium-Size, Light-Duty Bus & Van Chassis Cutaway Bus 	10,000 – 16,000	12-16	20 ft. – 25 ft.	5 years or 150,000 miles	\$50,000 – \$80,000
E 1: Small, Light-Duty Bus; E 2: Modified Vans; E 3: Modified Minivans 	6,000 – 14,000	3-14	E 1: 20-22 ft. E 2: < 20 ft. E 3: < 20 ft.	4 years or 100,000 miles	\$35,000 – \$65,000
Small Standard Vehicles – Standard vehicles are not on the ODOT Public Transit Division Price Agreement contracts. However, these vehicle types may be on the Department of Administrative Services statewide contracts. Check ORPIN online at: http://www.oregon.gov/DAS/SSD/SPO/coop-menu.shtml					
E 4: Vans E 5: Minivans E 6: Station wagons E 7: Sedans	6,000 – 14,000	3-14	< 20 ft.	4 years or 100,000 miles	\$20,000 – \$35,000

* Vehicles 22 ft. or longer require at least two ADA stations, or one ADA station if less than 22 ft.
 Note: Photos are for reference only—provided as examples. From ODOT Public Transit files.