

**FINAL REPORT**

**FY2010 TRIENNIAL REVIEW**

of the

**City of Madison  
(Madison Metro)  
Madison, Wisconsin  
Recipient ID: 1910**

**Desk Review: December 15, 2009  
Site Visit: March 22-24, 2010**

**April 2010**

**Prepared for the  
Federal Transit Administration  
Region 5  
Chicago, Illinois**

**by**

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## **I. TRIENNIAL REVIEW BACKGROUND**

The United States Code, chapter 53 of title 49, requires the Federal Transit Administration (FTA) of the United States Department of Transportation (USDOT) to perform reviews and evaluations of Urbanized Area Formula Grant activities at least every three years. This requirement is contained in 49 U.S.C. 5307(i).

- (2) At least once every three years, the Secretary shall review and evaluate completely the performance of a recipient in carrying out the recipient's program, specifically referring to compliance with statutory and administrative requirements and the extent to which actual program activities are consistent with the activities proposed under subsection (d) of this section and the planning process required under sections 5303-5306 of this title.
- (3) The Secretary may take appropriate action consistent with the review, audit and evaluation under this subsection, including making an appropriate adjustment in the amount of a grant or withdrawing the grant.

The Triennial Review includes a review of the grantee's compliance in 24 areas. The basic requirements for each of these areas are summarized below.

This report presents the findings from the Triennial Review of the City of Madison, Wisconsin's Madison Metro transit service. This review was performed in accordance with FTA procedures (published in FTA Order 9010.1B, April 5, 1993) and included preliminary reviews of documents on file at the Region 5 Office in Chicago and on-site discussions and review of the procedures, practices, and records of the City as deemed necessary. The review concentrated primarily on procedures and practices employed during the past three years; however, coverage was extended to earlier periods as needed to assess the policies in place and the management of grants. During the site visit, administrative and statutory requirements were discussed, documents were reviewed, and facilities were toured. Specific documents examined during the Triennial Review are available in FTA's and the City's files.

## **II. REVIEW PROCESS**

The desk review was conducted in the Region 5 Office on December 15, 2009. Following the desk review, a review package was sent to the City advising it of the site visit and indicating additional information that would be needed and issues that would be discussed.

The site visit to Madison occurred on March 22-24, 2010. The individuals participating in the review are listed in Section VII of this report.

At the entrance conference, the purpose of the Triennial Review and the review process were discussed. During the site visit, administrative and statutory requirements were discussed and documents were reviewed. The City's transit facilities were toured to provide an overview of activities related to FTA-funded projects. A sample of maintenance records for FTA-funded vehicles was examined during the site visit.

Upon completion of the review, an exit conference was held with the City staff to discuss findings, corrective actions, and schedules. This information is summarized in the table in Section V of this report. A draft copy of this report was provided to the staff at the exit conference.

### **III. DESCRIPTION OF THE GRANTEE**

Madison Metro bus service operates in the City of Madison, City of Fitchburg, City of Middleton, Town of Madison, Village of Shorewood Hills, City of Verona, and through the University of Wisconsin Madison campus. The City directly operates all fixed route service and provides demand responsive service both directly and through contractors. The population of the service area is approximately 245,000 persons.

Transit service is provided by the Metro Transit Department of the city. The city has a Transit and Parking Commission that is a policy body for transit operations and makes recommendations to the Common Council regarding policies on all transit and parking matters including fare and service levels. Actions by the Commission are subject to approval by the Common Council. The Transit Manager works with the Commission but administratively reports directly to the Mayor.

The City operates a network of 59 fixed routes. Service is provided weekdays from 5:00 a.m. to midnight. Service is operated on Saturday from 6:00 a.m. to 10:45 p.m. and on Sunday from 7:00 a.m. to 10:45 p.m. The complementary paratransit service operates during the same days and hours of service as the fixed routes.

The basic adult fare for bus service is \$2.00. A reduced fare of \$1.00 is offered during all hours of service. The fare for ADA paratransit service is \$4.00 during peak periods and \$3.00 during off peak periods

The City operates a fleet of 204 buses for fixed-route service. Its bus fleet consists of 40-foot standard and low-floor transit coaches, including hybrid buses. The current peak requirement is 170 vehicles. The City also has a fleet of 23 vehicles that it operates for ADA complementary paratransit services. This service is supplemented with service provided by four contractors with their own vehicles.

The City operates from a single maintenance and administration facility at 1101 East Washington Avenue in Madison. The City has four transfer centers located north, south, east and west of downtown Madison.

The City's National Transit Database Report for FY2008 provided the following financial and operating statistics for its fixed-route and paratransit service:

	<b>Fixed-Route Service</b>	<b>Paratransit Service</b>
Unlinked Passengers	13,433,149	286,037
Revenue Hours	366,840	115,178
Operating Expenses	\$39,237,204	\$7,484,522

The City has undertaken several projects since the last triennial review and has plans for projects in the near future. During the past three years, the City upgraded its telephone system and purchased replacement paratransit vehicles. During this same period and continuing this year is the purchase of fixed route buses as part of an on-going replacement program (replacing approximately 15 buses per year) and installing security camera systems for all buses.

During the next three to five years, the City plans to purchase or lease land and a facility for expansion, subsequently remodel the transit headquarters building, continue to purchase replacement fixed route buses, and replace or refurbish the entire fare collection system.

More importantly, in the near future Madison and the surrounding area may see major changes in the way transit is provided. In June 2009 the state legislature passed a bill that created a regional transportation authority in the Madison area. A regional transit plan is being prepared that may include local commuter rail service. This regional plan will be taken before the voters for the enactment of a one-half cent sales tax to support transit service in the area.

#### ARRA Projects

The City has used ARRA grants for 2010 operating assistance and to purchase: Gillig hybrid fixed route buses, low floor paratransit vehicles, replacement garage/shop lighting, additional security equipment at transfer points, and additional signage.

### **IV. RESULTS OF THE REVIEW**

The Triennial Review focused on the City's compliance in 24 areas. This section provides a discussion of the basic requirements and findings in each area. No deficiencies were found with the FTA requirements in 15 of the 24 areas. Deficiencies were found in other eight areas: Technical, Procurement, Disadvantaged Business Enterprises, Buy America, Title VI, Americans with Disabilities Act, School Bus, Drug and Alcohol Program, and Equal Employment Opportunity. No deficiencies were identified related to ARRA grants. Deficiencies in Drug and Alcohol vendor monitoring are repeat deficiencies from the last review.

#### **1. Legal**

Basic Requirement: The grantee must be eligible and authorized under state and local law to request, receive, and dispense FTA funds and to execute and administer FTA funded projects. The authority to take all necessary action and responsibility on behalf of the grantee must be properly delegated and executed.

Findings: During this Triennial Review of City, no deficiencies were found with the FTA requirements for legal.

#### **2. Financial**

Basic Requirement: The grantee must demonstrate the ability to match and manage FTA grant funds, cover cost increases and operating deficits, financially maintain and operate FTA funded facilities and equipment, and conduct and respond to applicable audits.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for financial.

### **3. Technical**

Basic Requirement: The grantee must be able to implement the FTA-funded projects in accordance with the grant application, Master Agreement, and all applicable laws and regulations, using sound management practices.

Findings: During this Triennial Review of the City, deficiencies were found with the FTA requirements for technical.

The City receives FTA funds for preventive maintenance and uses its own work force to maintain the fixed route and paratransit fleet. The amount of this force account work exceeds \$100,000, which requires the City to have a force account plan that meets the requirements defined in FTA C 5010.1D.

Corrective Action(s) and Schedule: The City must submit to the FTA a force account plan to justify the use of City labor to perform preventive maintenance. The City provided a force account plan to FTA on April 2, 2010. The deficiency has been closed.

### **4. Satisfactory Continuing Control**

Basic Requirement: The grantee must maintain control over real property, facilities, and equipment and ensure that they are used in transit service.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for satisfactory continuing control.

### **5. Maintenance**

Basic Requirement: Grantees and their subrecipients must keep Federally funded equipment and facilities in good operating order and maintain ADA accessibility features.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for maintenance.

### **6. Procurement**

Basic Requirement: FTA grantees use their own procurement procedures that reflect applicable state and local laws and regulations, provided that the process ensures competitive procurement and the procedures conform to applicable Federal law, including 49 CFR Part 18 (specifically Section 18.36) and FTA Circular 4220.1F, “Third Party Contracting Guidance.”

**Findings:** During this Triennial Review of the City, deficiencies were found with the FTA requirements for procurement.

In its 2007 bid for buses, the City included spare part “kits” that the City had prepared. FTA funds were used to procure both the buses and these spare part kits. The total cost for the spare parts kits based on information in the bid documents is approximately \$250,000. A cursory review of the parts in the original kits list, the purchase orders associated with the kits, and the parts invoices for parts ordered and delivered identified discrepancies. These include but may not be limited to the City placing kit orders but ordering parts not identified in the original kits and prices of parts ordered not being the same price as that quoted in the original bid.

Within the time confines of a triennial review, a thorough analysis of this procurement was not possible. Based on conversations with staff, it appears that a number of factors may impact the issues identified. First, City staff developed the content of the kits based on its experience with buses. The vendor, Gillig, provided prices for this list since it was in the request for proposal, but the actual parts eventually put into a bus may not be included in the parts listed for the kits. Second, parts number can change, and the procurement documents do not clearly indicate if the parts being delivered were actually the original parts ordered but with different parts numbers or were different parts that were used in the manufacture of the bus and not included on the original lists of parts in kits.

The confusion with parts numbers and numbering also affects an examination of the pricing of parts. The review indicated that the cost of the parts in the kits was bid at a specific price with no allowance for price increases in the future. The review of the actual purchases showed some parts being delivered at the established price, while other parts appeared to be provided both below and above the stated price. Again it was difficult to draw any firm conclusions due to the uncertainty about parts substitutions and parts renumbering. An examination of a sample of the parts or a complete analysis of all parts orders would be required to understand more clearly the consequences of the actions taken. It is clear, however, that the City in certain cases has been ordering parts that were not in the original kits. FTA considers this situation to be a sole source procurement without proper justification. FTA does not allow the payment of prices that differ from what was quoted in the original bid without proper justification.

**Corrective Action(s) and Schedule:** The City needs immediately to stop buying kits (or parts in kits) that do not comply with the original specifications and bid. The City must also pay only the price identified in the original bid.

By July 25, 2010, the City needs to provide FTA a better understanding of the non-competitive procurement issues by identifying the kits and parts purchased that comply with the original bid, the parts purchased that were not in the original bid (allowing for changes in part numbers for the “same” part) and purchases of parts at prices different from the prices quoted.

Following the provision of this information, the City will take further actions as defined by FTA.

## **7. Disadvantaged Business Enterprise (DBE)**

Basic Requirement: The grantee must comply with 49 CFR Part 26 to ensure nondiscrimination in the award and administration of DOT-assisted contracts. Grantees also must create a level playing field on which DBEs can compete fairly for DOT-assisted contracts.

Findings: During this Triennial Review of the City, deficiencies were found with USDOT requirements for DBE.

During the triennial review period the City awarded three procurements where bidders did not meet the stated DBE goals. The City had no documentation of its analysis of whether the bidders had pursued sufficient good faith efforts to justify not meeting the established goals.

Corrective Action(s) and Schedule: By July 25, 2010, the City will provide to FTA written procedures of how good faith efforts will be analyzed and documented in all future procurements where DBE goals are not met.

## **8. Buy America**

Basic Requirement: Federal funds may not be obligated unless steel, iron, and manufactured products used in FTA funded projects are produced in the United States. The only exceptions are if FTA has granted a waiver or if the product is subject to a general waiver. Rolling stock must have sixty percent domestic content. Also, final assembly of rolling stock must take place in the United States and grantees must conduct a pre-award and post-delivery audit for purchases of rolling stock in order to verify that the 60 percent domestic content and final assembly requirements were met.

Findings: During this Triennial Review of the City, deficiencies were found with the FTA requirements for Buy America.

A review of procurement documents showed that the City was normally including Buy America provisions in procurements undertaken by Metro Transit. However, the procurement of replacement overhead doors that was administered by the City Engineering department did not contain Buy America language and resulted in a contract over \$120,000.

Corrective Action(s) and Schedule: By June 25, 2010, the City needs to provide FTA documentation that it has revised its procedures to ensure Buy America provisions are included in all FTA-funded procurements.

## **9. Debarment and Suspension**

Basic Requirement: To protect the public interest from and prevent fraud, waste, and abuse in Federal transactions, persons or entities, which by defined events or behavior, that potentially threaten the integrity of federally administered non-procurement programs, are excluded from participating in FTA assisted programs.

**Findings:** During this Triennial Review of the City, no deficiencies were found with the FTA requirements for debarment and suspension.

## **10. Lobbying**

**Basic Requirement:** Recipients of Federal grants and contracts exceeding \$100,000 must certify compliance with Restrictions on Lobbying before they can receive funds.

**Findings:** During this Triennial Review of the City, no deficiencies were found with the FTA requirements for lobbying.

## **11. Planning/Program of Projects**

**Basic Requirement:** The grantee must participate in the transportation planning process in accordance with FTA requirements, SAFETEA-LU, and the metropolitan and statewide planning regulations.

Grantees must develop and/or participate in a locally developed, coordinated public transit-human services transportation plan that identifies the transportation needs of individuals with disabilities, older adults, and people with low incomes, provides strategies for meeting those local needs, and prioritizes transportation services for funding and implementation.

Each recipient of a Section 5307 grant shall have complied with the public participation requirements of Section 5307(c)(1) through (7). Each grantee is required to develop, publish, afford an opportunity for a public hearing on, and submit for approval a Program of Projects (POP).

**Findings:** During this Triennial Review of the City, no deficiencies were found with the FTA requirements for planning/POP.

## **12. Title VI**

**Basic Requirement:** The grantee must ensure that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participating in, be denied the benefits of, or be subject to discrimination under any program or activity receiving Federal financial assistance. The grantee must ensure that Federally supported transit services and related benefits are distributed in an equitable manner.

**Findings:** During this Triennial Review of the City, deficiencies were found with the FTA requirements for Title VI.

Title VI information can be found on both the Madison Metro web site page and on the City's web site. However, no information was found on buses, on schedules, at transit facilities, on the Ride Guide, or on the system map. FTA considers information only available on a web site to be insufficient to meet the Title VI requirements. Subsequent to the site visit, the

information on the Madison Metro website has been updated including revising the on-line Ride Guide. The paper Ride Guide is being changed and is scheduled to be printed in June.

Corrective Action(s) and Schedule: The City needs to provide evidence that it has notified the public of its rights under Title VI in terms of access and use of transit service with the submission of a printed Ride Guide containing the information. The City provided their revised written and electronic schedules, Ride Guide and system maps to include the appropriate Title VI requirements to FTA on April 1, 2010. The deficiency has been closed.

### **13. Fare Increases and Major Service Reductions**

Basic Requirement: Section 5307 grantees are expected to have a written locally developed process for soliciting and considering public comment before raising a fare or carrying out a major transportation service reduction.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for fare increases and service reductions.

### **14. Half Fare**

Basic Requirement: During non-peak hours for fixed route service supported with Section 5307 assistance, fares charged elderly persons, persons with disabilities, or an individual presenting a Medicare card will not be more than half the peak hour fare.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for half fare.

### **15. ADA**

Basic Requirement: Titles II and III of the Americans with Disabilities Act of 1990 provide that no entity shall discriminate against an individual with a disability in connection with the provision of transportation service. The law sets forth specific requirements for vehicle and facility accessibility and the provision of service, including complementary paratransit service.

Findings: During this Triennial Review of the City, deficiencies were found with the FTA requirements for ADA.

The City takes reservations during normal business hours Monday through Saturday. On Sundays and holidays the reservation hours are reduced to 11:30 a.m. to 4:30 p.m. This period is not compatible with normal business hours.

The City provides four routes (81, 82, 84, and 85) at no fare as a result of funds received from the University of Wisconsin. Complementary paratransit service for the service area of these routes operates with the regular fare.

Corrective Action(s) and Schedule: By July 25, 2010, the City must provide FTA documentation that it has changed the reservation hours on Sundays and holidays and the fare for paratransit service in the areas served by fare-free routes. Also, by the same date it needs to provide documentation of how the public has been informed of these changes.

## **16. Charter Bus**

Basic Requirement: FTA grantees are prohibited from using Federally funded equipment and facilities to provide charter service if a registered private charter operator expresses interest in providing the service. Grantees are allowed to operate community based charter services excepted under the regulations.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for charter bus.

## **17. School Bus**

Basic Requirement: Grantees are prohibited from providing exclusive school bus service unless the service qualifies and is approved by the FTA Administrator under an allowable exemption. Federally funded equipment or facilities cannot be used to provide exclusive school bus service. School tripper service that operates and looks like all other regular service is allowed.

Findings: During this Triennial Review of the City, deficiencies were found with the FTA requirements for school bus.

The City provides a number of school tripper routes. The routes are open to the public and specifically designed to serve schools. FTA generally requires such services to look and operate like regular bus service. Moreover, as the result of a court decision related to school tripper service in Rochester, New York, on September 16, 2008 FTA issued 49 CFR Part 605 [Docket No. FTA-2008-0015] Final Policy Statement on FTA's School Bus Operations Regulations. This statement states:

With respect to a grantee's regularly scheduled public transportation service, FTA shall interpret the definition of "tripper service" under 49 CFR 605.3(b), as it historically has interpreted that definition to allow a grantee to (1) utilize "various fare collections or subsidy systems," (2) modify the frequency of service, and (3) make de minimis route alterations from route paths in the immediate vicinity of schools to stops located at or in close proximity to the schools. For example, a grantee may provide more frequent service on an existing route to accommodate increased student ridership before and after school. Furthermore, a grantee may alter route paths to accommodate the needs of school students by making de minimis route alterations from route paths to drop off and pick up students at stops located on school grounds or in close proximity to the schools.

Some of the tripper routes operated by the City are not minor modifications to existing routes but are specific routes designed around school needs. Other routes are operated in

conjunction with existing routes but are not shown this way in the public information. Some routes are shown as school routes with separate numbers rather than as trippers associated with existing routes.

The tripper routes do not always require passengers to be at bus stops. While some regular bus route stops are used, students can also flag down buses at locations designated on the schedules.

The City's school tripper routes do not meet FTA requirements for school tripper service.

Corrective Action(s) and Schedule: By July 25, 2010, the City must cease operating all school tripper service that does not meet FTA requirements.

## **18. National Transit Database (NTD)**

Basic Requirement: Grantees that receive 5307 and 5311 grant funds must collect, record, and report financial and non-financial data in accordance with the Uniform System of Accounts (USOA) and the *National Transit Database (NTD) Reporting Manual* as required by 49 USC 5335(a).

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for National Transit Database.

## **19. Safety and Security**

Basic Requirement: Any recipient of Urbanized Area Formula Grant Program funds must annually certify that it is spending at least one percent of such funds for transit security projects or that such expenditures for security systems are not necessary.

Under the safety authority provisions of the Federal transit laws, the Secretary has the authority to investigate the operations of the grantee for any conditions that appear to create a serious hazard of death or injury, especially to patrons of the transit service. States are required to oversee the safety of rail fixed guideway systems through a designated oversight agency, per 49 CFR Part 659, Rail Fixed Guideway Systems, State Safety Oversight. FTA has developed web sites for Bus Safety and Rail Safety. These sites include helpful tools, such as resources, self assessments, and forums.

Under security, a list of 17 Security and Emergency Management Action Items has been developed by FTA and the Department of Homeland Security's Transportation Security Administration (TSA). This list of 17 items, an update to the original FTA Top 20 security action items list, was developed in consultation with the public transportation industry through the Mass Transit Sector Coordinating Council, for which the American Public Transportation Association (APTA) serves as Executive Chair. Security and Emergency Management Action Items for Transit Agencies aim to elevate security readiness throughout the public transportation industry by establishing baseline measures that transit agencies should employ. Additionally, FTA has developed an extensive website for transit security.

The goal of FTA's Safety and Security Program is to achieve the highest practical level of safety and security in all modes of transit. To this end, FTA continuously promotes the awareness of safety and security throughout the transit community by establishing programs to collect and disseminate information on safety/security concepts and practices. In addition, FTA develops guidelines that transit systems can apply in the design of their procedures and by which to compare local actions. Many of the questions in this review area are designed to determine what efforts grantees have made to develop and implement safety, security, and emergency management plans. While there may not be specific requirements associated with all of the questions, grantees are encouraged to implement the plans, procedures, and programs referenced in these questions. For this reason, findings in this area will most often result in advisory comments rather than deficiencies.

**Findings:** A summary of the City's expenditures of Section 5307 funds for security projects is provided in Section VI of this report.

During this Triennial Review of the City, no deficiencies were found with the FTA requirements for safety and security.

## **20. Drug-Free Workplace**

**Basic Requirement:** FTA grantees are required to maintain a drug-free workplace for all employees and to have an ongoing drug-free awareness program.

**Findings:** During this Triennial Review of the City, no deficiencies were found with the FTA requirements for drug-free workplace.

## **21. Drug and Alcohol Program**

**Basic Requirement:** Grantees receiving Urbanized Area Formula Program (Section 5307), Non-Urbanized Area Formula Program (Section 5311), or Capital Investment Program (Section 5309) funds must have a drug and alcohol testing program in place for all safety-sensitive employees.

**Findings:** During this Triennial Review of the City, deficiencies were found with the FTA requirements for the drug and alcohol program.

The City's drug and alcohol policy for transit safety-sensitive employees has not been completely updated to reflect recent changes in the requirements. While issues of negative-dilute have been added, other issue such as observable tests have not. The policy needs to be updated to reflect all regulatory revisions.

The City has four paratransit contractors with safety sensitive employees. Three of these contractors have adopted the City's program as their own. The changes that need to be made in the City's program need to be made in these contractor programs. Additionally, the programs of Badger Cab and Transit Solutions do not identify specific job titles that are subject to drug and alcohol testing.

In 2007, City staff visited the paratransit subcontractors to review the management of the drug and alcohol programs. No visits have been made since this initial review.

In its last triennial review, a finding was made concerning oversight of collection facilities. The City does send a checklist when a senior manager is being tested, but it does not have a more formal program of monitoring compliance with testing requirements.

Corrective Action(s) and Schedule: By June 25, 2010, the City must submit to the FTA:

- An updated Drug and Alcohol program that meets FTA requirements
- Updated programs for all contractors
- A written program for monitoring contractors with safety sensitive employees and documentation that the program has been implemented
- A written program for monitoring collection site activities and ensuring that persons firms involved in the drug and alcohol program meeting requirements.

## **22. Equal Employment Opportunity (EEO)**

Basic Requirement: The grantee must ensure that no person in the United States shall on the grounds of race, color, religion, national origin, sex, age, or disability be excluded from participating in, or denied the benefits of, or be subject to discrimination in employment under any project, program, or activity receiving Federal financial assistance from the Federal transit laws. (Note: EEOC's regulation only identifies/recognizes religion and not creed as one of the protected groups.)

Findings: During this Triennial Review of the City, deficiencies were found with the FTA requirements for EEO.

The City has approved EEO programs of its paratransit contractors. At the time of the review, the program of Badger Cab had expired and a new program had not been submitted to the City.

Corrective Actions and Schedule: By July 25, 2010, the City needs to provide FTA documentation that it has reviewed and approved the Badger Cab EEO program.

## **23. ITS Architecture**

Basic Requirement: Intelligent Transportation Systems (ITS) projects funded by the Highway Trust Fund and the Mass Transit Account must conform to the National ITS Architecture, as well as to United States Department of Transportation (USDOT) adopted ITS Standards.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for ITS architecture.

## **24. American Recovery and Reinvestment Act (ARRA)**

Basic Requirement: Grantees must have the legal, financial, and technical capacity to carry out the proposed program of projects and meet the additional reporting requirements for its ARRA-funded grant activities.

Findings: The City has two active ARRA grants and one pending grant. Projects funded by the grants are operating assistance and the purchase of: Gilling hybrid fixed route buses, low floor paratransit vehicles, replacement garage/shop lighting, additional security equipment at transfer points, and additional signage.

Findings: During this Triennial Review of the City, no deficiencies were found with the FTA requirements for ARRA requirements.

## **V. SUMMARY OF FINDINGS AND CORRECTIVE ACTIONS**

<b>Review Area</b>	<b>Finding</b>	<b>Deficiency</b>	<b>Corrective Action</b>	<b>Response Date</b>	<b>Date Closed</b>
1. Legal	ND				
2. Financial	ND				
3. Technical	D-06	Lacking force account plan/justification	Prepare a force account plan for use of labor force for preventive maintenance	04/25/10	04/02/10
4. Satisfactory Continuing Control	ND				
5. Maintenance	ND				
6. Procurement	D-20	Lacking required justifications(s) and documentation for non-competitive award	Cease buying spare parts as part of Gillig bus contract	Immediately	
			Provide FTA information on non-competitive procurements and complete any further actions required by FTA after the submission of the information	04/25/10	
7. Disadvantaged Business Enterprise	D-09	Inadequate implementation of DBE contract compliance	Develop and implement written procedures for reviewing contractor good faith efforts and submit to FTA	04/25/10	
8. Buy America	D-01	Buy America provision not in solicitation and/or contract	Provide procedures to ensure that Buy America provisions are included in all FTA-funded procurements.	04/25/10	
9. Debarment and Suspension	ND				
10. Lobbying	ND				
11. Planning/POP	ND				
12. Title VI	D-10	Title VI public notification deficiencies	Provide updated Ride Guide showing that the public has been informed of its rights under Title VI in terms of access and use of transit service.	04/25/10	04/02/10
13. Fare Increases and Service Reductions	ND				
14. Half Fare	ND				
15. ADA	D-04	ADA service provisions deficiencies	Provide FTA evidence of changes in reservation hours and how the public was informed of the changes	04/25/10	
			Provide FTA evidence of changes in paratransit fares for complementary paratransit service for fare-free routes and how the public was informed	04/25/10	
16. Charter Bus	ND				
17. School Bus	D-03	Tripper Violations	Cease operating service that does not meet FTA requirements	04/25/10	
18. National Transit Database	ND				
19. Safety and Security	ND				

<b>Review Area</b>	<b>Finding</b>	<b>Deficiency</b>	<b>Corrective Action</b>	<b>Response Date</b>	<b>Date Closed</b>
20. Drug-Free Workplace	ND				
21. Drug and Alcohol Program	D-02	Drug and alcohol policy lacking required elements	Update City's transit drug and alcohol program and provide documentation to FTA	04/25/10	
			Ensure that all contractors with safety sensitive employees have updated programs and inform FTA that programs have been reviewed and approved	04/25/10	
	D-08	Contractors, subrecipients, and/or lessees not properly monitored	Develop and implement a written program for monitoring contractors with safety sensitive employees and submit to FTA	04/25/10	
	D-09	Drug and/or alcohol program vendors not properly monitored	Develop and implement a written program for monitoring drug and alcohol program vendors and submit to FTA	04/25/10	
22. Equal Employment Opportunity	D-07	Failure to obtain EEO plans from subrecipients/ Contractors	Provide documentation to FTA that Badger Cab has an approved EEO program	04/25/10	
23. ITS Architecture	ND				
24. ARRA	ND				

Findings: ND = No Deficiencies; D = Deficient; AC = Advisory Comment; NA = Not Applicable

## **VI. TRANSIT SECURITY EXPENDITURES**

Does the grantee expend one percent or more of its Section 5307 Urbanized Area Formula Grant funds for transit security?

FY2007:	Yes:	X	No:	
FY2008:	Yes:		No:	x
FY2009:	Yes:	X	No:	

If no, why does the grantee consider such expenditure unnecessary? (check all that apply)

	No deficiency found from a threat and vulnerability assessment
	TSA/FTA Security and Emergency Management Action Items met or exceeded
X	Other (please describe): 1% over three years exceeded and reason for not meeting 1% in 2008 was timing of activities.

Security Funding	FTA Section 5307 Funds (in Dollars)		
	FY 2007	FY 2008	FY 2009
Total amount of 5307 Funds expended	\$7,431,182	\$7,736,847	\$9397,911
Amount of 5307 Funds expended on security	94,426	17,042	298,033
Percent of 5307 Funds expended on security	1.3 %	0.2%	3.2%
<b>Infrastructure/Capital Improvement Security Projects:</b>			
Lighting, Fencing & Perimeter Control		9,812	22,500
CCTV and Surveillance Technology	94,426	7,230	257,225
Communications Systems			18,308
Security Planning			
Drills & Tabletop Exercises			
Employee Security Training			
Other Security-Related Infrastructure & Capital Improvements (please list): _____			
<b>Operating/Personnel Expenditures (can only be used by agencies in areas with populations UNDER 200,000):</b>			
Contracted Security Force			
In-house Security Force			
Other Security-Related Operating Expenditures (please list): _____			

## VII. ATTENDEES

Name	Title/Organization	Phone Number	E-mail Address
<b><i>City of Madison</i></b>		<b>(608)</b>	
Wayne Block	Finance Manager	267-8766	wblock@cityofmadison.com
Karen Meudt	Accountant	267-8772	kmeudt@cityofmadison.com
Andrew Probst	Accountant	261-9633	aprobst@cityofmadison.com
Jim Drengson	Maintenance Manager	266-4739	jdrengson@cityofmadison.com
Ann Gullickson	Transit Service Mgr	267-8780	agullickson@cityofmadison.com
Crystal Martin	Paratransit Program Manager	267-8654	cmartin@cityofmadison.com
Chuck Kamp	General Manager	266-4904	ckamp@cityofmadison.com
Drew Beck	Planning & Scheduling Mgr	266-6599	dbeck@cityofmadison.com
David Eveland	Information Systems Coordinator	267-8757	develand@cityofmadison.com
James Fink	Building, Grounds & Maintenance Supervisor	267-4951	jfink@cityofmadison.com
Ann Schroeder	Administrative Services Coordinator	267-4967	aschroeder@cityofmadison.com
Mick Rusch	Marketing/customer services manager	266-6532	mrusch@cityofmadison.com
Jennifer Bacon	Marketing Specialist	266-4903	jbacon@cityofmadison.com
Tom Frisch	Transit Parts Supervisor	267-8790	tfrisch@cityofmadison.com
<b><i>City of Madison Department of Civil Rights</i></b>			
Norman Davis	Affirmative Action Division Manager	267-8759	ndavis@cityofmadison.com
<b><i>FTA</i></b>			
Duana Love	General Engineer	312-353-3882	duana.love@dot.gov
Susan Weber	Transportation Specialist	312-353-3888	susan.weber@dot.gov
<b><i>Reviewer</i></b>			
David Norstrom	Reviewer	614-846-0492	dnorstrom@ee.net
Don Gismondi	Reviewer	312-802-6697	gismotransit@gmail.com