



RLS
Associates, Inc.

Moving Public Transportation
Into the Future

Transit Management 101

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and Julie Schafer, Director
of State Initiatives
RLS & Associates, Inc.
April 13, 206**

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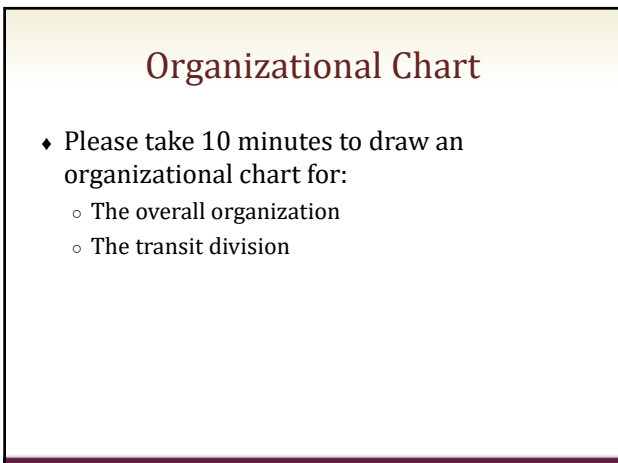
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Agenda

- ◆ Welcome and Introductions
- ◆ Organizational Structure
- ◆ FTA and DOT Expectations
- ◆ Mission and Values
- ◆ Role of the Board
- ◆ Manager Responsibilities
- ◆ Establishing a Solid Foundation
- ◆ FTA Programs Overview
- ◆ Elements of a Transit Program
- ◆ Policies and Procedures
- ◆ Action Plan

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Organizational Chart

- ◆ Please take 10 minutes to draw an organizational chart for:
 - The overall organization
 - The transit division

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Introductions

- ◆ Please Introduce Yourself
 - Years in transit
 - Your role
 - Describe your organizational chart and how the transit division fits in the organization
 - Roles and responsibilities of transit division staff

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Action Plan Introduction

- ◆ What Are Some of the Challenges That Are Unique To Your Work Environment?
 - Which Ones Have You Always Had?
 - Which Ones Are New?
- ◆ What Challenges Does This Create for Transit Management?


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Sub-Recipient
Roles & Responsibilities

FTA AND DOT EXPECTATIONS

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Oversight Roles & Responsibilities

- ◆ FTA Delegated Responsibility To Administer Rural Transit Program to Each State
 - 49 U.S.C. § 5338 provides statutory basis
 - Oversight responsibilities
 - Technical assistance
 - Promote compliance

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Oversight Roles & Responsibilities (cont'd)

- Formula Grants for Rural Area
 - Section 5311, 5310, 5339 (and in some cases 5307)
- State Management Plan
 - Description of how state intends to administer programs
 - Individual state discretion
 - Specific mechanisms in place

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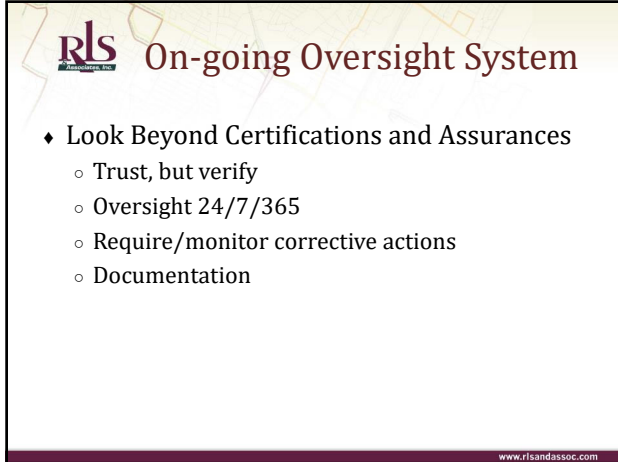


Basic Oversight Requirement

- ◆ Evaluate Each Subrecipient's Risk of Noncompliance
 - Federal statutes, regulations, and terms and conditions of the subaward
- ◆ Develop a Subrecipient Monitoring Program
 - Used for authorized purposes
 - In compliance with Federal statutes, regulations and terms and conditions of subaward
 - Subaward performance goals are achieved

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RLS On-going Oversight System

- ◆ Look Beyond Certifications and Assurances
 - Trust, but verify
 - Oversight 24/7/365
 - Require/monitor corrective actions
 - Documentation

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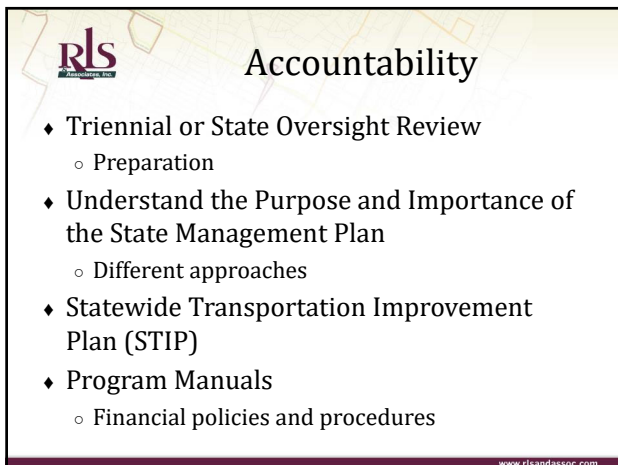


RLS Basic Oversight Requirements

- ◆ Federal
 - Most DOTs Mimic the FTA Triennial Review Process
 - Expect Enforcement
- ◆ State
 - State Programs, Funding, Requirements
 - Civil Rights (Non-Federal Enforced Regulations)
 - EEO ADA
 - DBE Title VI

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RLS Accountability

- ◆ Triennial or State Oversight Review
 - Preparation
- ◆ Understand the Purpose and Importance of the State Management Plan
 - Different approaches
- ◆ Statewide Transportation Improvement Plan (STIP)
- ◆ Program Manuals
 - Financial policies and procedures

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Differing Perspectives and Expectations

- ◆ Federal
 - Subrecipient Compliance Issues are the State's Compliance Issues
 - Contractor's Manual— State DOT Review Field Guide - Open Book Test
- ◆ State
 - State Programs, Funding, Requirements
 - Technical Assistance
- ◆ Subrecipients

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Federal and State Expectations

- ◆ Are You Doing What You Say You Are Doing?
- ◆ Are You Being a Good Steward of Federal Dollars?
- ◆ Are You Doing it Safely?
- ◆ Are You Doing So in a Manner That Does Not Infringe on Anyone's Civil Rights?

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State Expectations

- ◆ State Program Accountability
- ◆ Compliance
- ◆ Reporting
 - Invoicing/Financial
 - TAM
 - DAMIS
 - NTD
- ◆ Funding/Program Purpose

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Compliance Topics

- ◆ Legal
- ◆ Financial Management
- ◆ Technical Capacity
- ◆ Transit Asset Management
- ◆ Satisfactory Continuing Control
- ◆ Maintenance
- ◆ Procurement
- ◆ DBE (State)
- ◆ Title VI
- ◆ EEO (State)
- ◆ ADA
- ◆ Charter/School Bus
- ◆ Drug & Alcohol, DFWP
- ◆ PTASP
- ◆ Cybersecurity

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**TRANSIT MANAGER
QUALITIES AND
RESPONSIBILITIES**


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 **Transit Manager Qualities**

- ◆ What Qualities Should a Transit Manager Possess?
 - A feeling of ownership of your transit system
 - Ownership of your transit system fosters responsibility and professionalism
- ◆ A Feeling of Pride in the Transit System
 - Pride can be evident in
 - How you work with your staff
 - How you work with your local elected officials and/or Board


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Transit Manager

- ◆ As a Transit Manger You Will
 - Feel pride in what you are doing
 - Feel frustration in what you are not accomplishing or can't accomplish
 - Feel overwhelmed, may even panic sometimes
 - Help people



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Transit Manager Responsibilities

- ◆ What Are a Transit Manager's Responsibilities?
 - Every transit system, regardless of how big or small, must perform the same types of functions, to some degree or another
 - As a transit manager, especially in a smaller transit system, you will be doing many of the functions yourself, or with a small staff

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Transit Manager Responsibilities (Cont'd)

- ◆ Plan and Organize Work With Your Staff in a Manner Consistent With Your Organization Requirements, State DOT Requirements, FTA Requirements, and Organization Mission

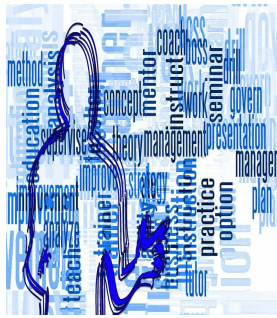
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The Role(s) of a Transit Manager

◆ Transit Managers Play Different Roles With Their Stakeholders

- Coach/role model
- Team builder/facilitator
- Leader/visionary
- Advocate/problem solver



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Coach/Role Model

◆ A Coach/Role Model

- Lets the employees know that they are providing an important community service
- Inspires and encourages
- Is professional at all times
- Cares for his/her employees and the riders
- Is honest and ethical
- Is a hard worker
- Is a problem solver
- Is patient
- Knows how to laugh...especially at him/herself

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Team Builder

◆ A Team Builder Fosters Partnerships and Builds Trust

- Inspires loyalty
- Acts consistently, just, and fairly
- Knows what to expect from his/her employees
- Expects employees to take responsibility for the system and their work
- Delegates wisely
- Offers praise when praise is due
- Offers criticism and guidance/training when needed

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Team Builder (Cont'd)

- ◆ A Team Builder Fosters Partnerships and Builds Trust, Cont'd
 - Helps employees grow and learn
 - Maintains an excellent, competent staff
 - Acts as the lightning rod for all complaints, issues, and problems
 - Spreads the praise for all accomplishments, so all can share in the successes

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Transit Staff

- ◆ Your Staff Is
 - Your #1 resource
 - An integral part of the day-to-day operations and the administrative functions of public transit
- ◆ Every Job in the Transit System Is Essential to Quality, Customer-Oriented and Safe Service

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Transit Staff (Cont'd)

- ◆ To Help Your Staff Be Successful, They Must Know
 - What is expected of them
 - That they are appreciated and valued
- ◆ And They Must Be Provided With the Tools (Training) To Do Their Job

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RLS **Subrecipient Expectations**

- ◆ Relationship Building with the State
 - Trust - safe space
 - Support - technical assistance
- ◆ Subject Matter Expertise
 - Credibility
- ◆ Responsiveness

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RLS **Accountability**

- ◆ Program Manuals
 - Financial policies and procedures
 - 5307,5310, 5311, 5339
 - Business operations plan
 - 5 year operating plan
 - 5 year capital plan

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RLS **They're Going To Look At What?**



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RLS **Triennial Review Process**

- ◆ Contractors Manual
 - Basic Requirement
 - Applicability
 - Explanation
 - Indicators of Compliance
 - Instruction to Reviewer
 - Governing Directives



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Review Process

9 Basic Steps 

Pre-Review	RIR	Scoping ERF	Site Visit Prep	Site Visit	Findings Summary	Draft Report	Final Report	Corrective Actions
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RLS **How Can a Compliance Review Benefit You?**

- ◆ Free Technical Assistance
 - One-on-one interaction with reviewers
 - Suggestions for corrective actions
- ◆ Validation of Current Policies/Procedures
- ◆ Obtain Clarification About Confusing Requirements
 - Opportunity to ask questions
- ◆ Direct Interaction with FTA Regional Office and Civil Rights Staff

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Keys to Success

- ◆ Develop Meaningful Policy Response to Compliance Issues - Avoid Short Cuts
 - Reasonable
 - Implementable
 - Sustainable
- ◆ Speak to Intent of Regulation - Not Just Checking a Box

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Keys to Success (cont'd)

- ◆ Stay Informed – List Serves
 - Regulatory changes
 - New regulations
- ◆ Due Diligence To Understand Regulation and What It Means to Your Organization
- ◆ Ongoing Communication With Regions, Civil Rights Officers, Subject Matter Experts

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Keys to Success (Cont'd)

- ◆ Institutionalize Corrective Actions
 - Further Organization compliance
 - Follow through on corrective action
 - Demonstrate compliance
 - Avoid repeat findings
- ◆ Communicate, Cross-Train, Create SOP -Self-Evaluate Periodically
- ◆ Prioritize Within Organization

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 **Keys to Success** (cont'd)

- ◆ Invest in Staff Knowledge
- ◆ Take Advantage of Resources
 - Workshops—In-Person Technical Assistance Workshops
 - Webinar
 - Contractor's Manual
 - Conferences
 - Newsletters, tool kits, best practices
 - Circulars/guidance
 - Regulatory summaries
 - Regulations

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 **Keys to Success** (Cont'd)

- ◆ Commitment to Compliance
- ◆ Focus on How To Comply, Not How To Avoid
- ◆ Self-Evaluate Periodically
- ◆ Prioritize Within Organization
- ◆ Avoid Shortcuts (i.e., Boilerplate)

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 **Keys to Success** (Cont'd)

- ◆ Don't Be Intimidated
- ◆ Get Help if Needed
 - Peers
 - Industry SMEs
 - National, regional, statewide associations
 - State DOTs
 - FTA

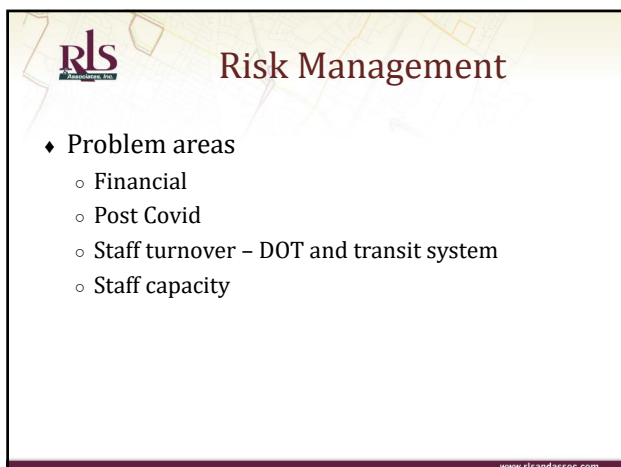
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SUBRECIPIENT OVERSIGHT CHALLENGES

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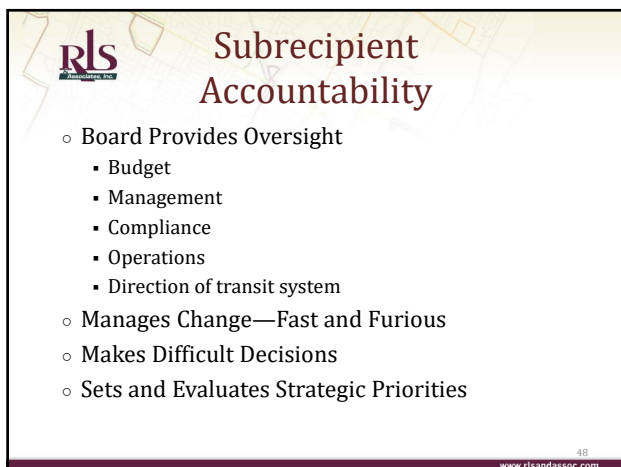


RLS Risk Management

- ◆ Problem areas
 - Financial
 - Post Covid
 - Staff turnover – DOT and transit system
 - Staff capacity

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RLS Subrecipient Accountability

- Board Provides Oversight
 - Budget
 - Management
 - Compliance
 - Operations
 - Direction of transit system
- Manages Change—Fast and Furious
- Makes Difficult Decisions
- Sets and Evaluates Strategic Priorities

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RLS **Does Your Organization Have a Strong Foundation?**



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MISSION AND VALUES

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RLS **What Is Your System's Foundation**

- ◆ Why Does The System Exist?
- ◆ What Is The System's Purpose?
- ◆ What Does Your System Do Well?
- ◆ Where Does Your System Struggle?
- ◆ What Are Your System's Biggest Challenges?
- ◆ What Opportunities Lie Ahead?
- ◆ Is There A Clear Direction?
- ◆ Are We In Sync?

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Mission and Values

- ◆ Every Organization Must Have a Statement That Clearly Describes Its Mission and Values
- ◆ Mission Should be the Driving Force Behind All Decisions
 - "We deliver the promise of the digital world to our customers. We make their innovative lifestyles possible." (Verizon)
 - "To provide exceptional services to ensure that all people with disabilities and their families have equal opportunities to live, learn, work and play in their communities." (EasterSeals)

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Mission Statement

The Rapid


Our mission is to create, offer, and continuously improve a flexible network of regional public transportation options and mobility solutions.



We at Metro Transit deliver environmentally sustainable transportation choices that link people, jobs and community conveniently, consistently and safely.

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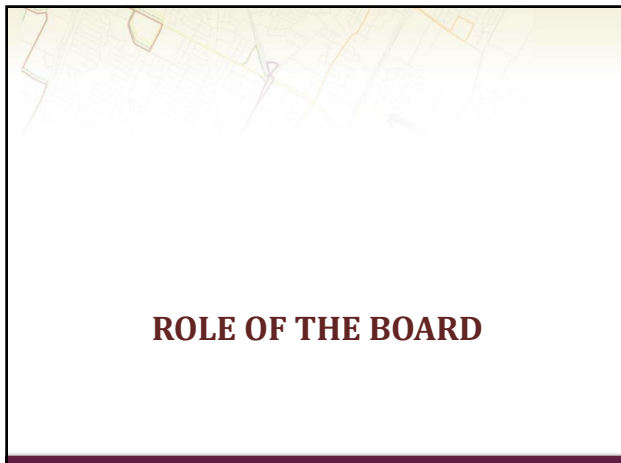


Mission and Values (Cont'd)

- ◆ Discussion
 - What is your mission statement?
 - How can you determine your organization's mission and values from their mission statements?
 - What does your mission statement mean to you?
 - What does your mission statement mean to your staff?

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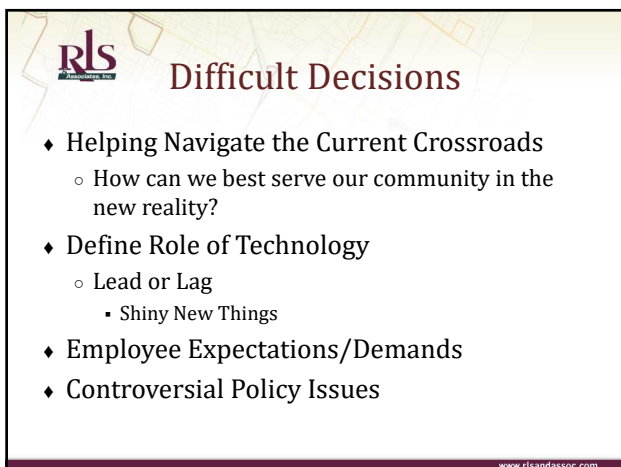
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Executive Director's Assessment of Board Knowledge
PLEASE RATE YOUR LEVEL OF AGREEMENT WITH EACH OF THE FOLLOWING STATEMENTS

	Strongly Disagree									Strongly Agree								
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
1. Your Board members understand and can convey the organization's mission, vision and purpose.																		
2. Your Board members are confident that the organization is in compliance with federal, state and local regulations.																		
3. Your Board members understand their legal responsibilities and accountability in regard to issues: finance, safety, policies, etc.																		
4. Your Board members believe a strategic plan is needed or necessary for the organization.																		
5. Your Board members understand and can discuss with others the organization's programs and services.																		
6. Your Board members are confident in the process and understand how the Board monitors and evaluates the performance of the Executive Director on an ongoing basis and formally on a yearly basis.																		
7. Your Board members provide proper and effective financial oversight for the organization, including approving a realistic budget.																		
8. Your Board members understand their role in the provision of public transit services in your service area, how the board's decisions impact regional planning, and the way in which they can be most effective in advocating for the organization within regional processes.																		
9. Your Board members understand the board policies and procedures as they are written.																		
10. Your Board members understand their role in securing local funding and advocating for it.																		
11. Your Board members understand their role as an advocate to the community on behalf of the organization and its clients/patrons/riders.																		
12. Your Board members understand the respective roles and responsibilities of the board and staff.																		
13. Your Board contains an appropriate range of expertise and diversity and represents the community makeup.																		
14. All of your Board members are effectively involved in board activities and responsibilities.																		
15. Your Board effectively and periodically assess their own performance.																		
16. Your Board understands the role of a committee structure for the board and how it can be used effectively?																		
17. Your clear messaging to customers, providers, children and staff can...																		

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Defining Boards

LEAST INVOLVED
MOST INVOLVED

The Passive Board

- Functions at the discretion of the CEO.
- Limits its activities and participation.
- Limits its accountability.
- Ratifies management's preferences.

The Certifying Board

- Certifies to shareholders that the CEO is doing what the board expects and that management will take corrective action when needed.
- Emphasizes the need for independent directors and needs without the CEO.
- Stays informed about current performance and designates external board members to evaluate the CEO.
- Establishes an orderly succession process.
- Is willing to change management to be credible to shareholders.

The Engaged Board

- Provides insight, advice, and support to the CEO and management team.
- Recognizes its ultimate responsibility to oversee CEO and company performance; guides and judges the CEO.
- Conducts useful, two-way discussions about key decisions facing the company.
- Seeks out sufficient industry and financial expertise to add value to decisions.
- Takes time to define the roles and behaviors required by the board and the boundaries of CEO and board responsibilities.

The Intervening Board

- Becomes intensely involved in decision making around key issues.
- Convenes frequent, intense meetings, often on short notice.

The Operating Board

- Makes key decisions that management then implements.
- Fills gaps in management experience.

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Board and Transit Leadership

The relationship between transit leadership and governing or advocacy boards must be balanced to achieve system success.

Board

- Passive
- Lacking Influence
- Rubberstamp

Transit Leadership

- Unchecked
- All Decisions
- Non-Transparent

Board


- Micro Manage
- Restricts Leadership
- Compliance Avoidance

Transit Leadership

- Hamstrung
- Vision Restriction
- Job Shopping

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Board and Transit Leadership

A balanced relationship with shared mission, values and vision can function to accomplish mutually agreed upon goals and objectives in an effort to provide quality transportation service in the community.



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Empowering Board Activity

Board activity can go beyond the periodic board meetings.

- ◆ Boards must be advocates for the transit system.
- ◆ They should engage the community
- ◆ They should provide representation when transit leadership is unable
- ◆ This does not mean call leadership every time a community member calls them
- ◆ They can provide creativity day to day leadership may not have the time to do
- ◆ Board members should not be afraid to challenge norms but be “change influencers” to new concepts or methods

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Organizational Culture

COMPANY CULTURE'S ROLE IN HIRING

35% of workers would decline a job offer if the role was a perfect fit, but the corporate culture wasn't

91% of managers say a candidate's fit with the company culture is equally or more important than skills and experience

COMPANY CULTURE'S ROLE IN HIRING – Survey by Robert Half

35% of workers would decline a job offer if the role was a perfect fit, but the corporate culture wasn't

91% of managers say a candidate's fit with the company culture is equally or more important than skills and experience

Company culture is the shared values, attitudes, behaviors, and standards that make up a work environment.

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RLS Organizational Culture –
5 Key Factors

1. How the organization treats employees
2. The company mission
3. How decisions are made
4. How people communicate with each other
5. Expectations around work style and volume

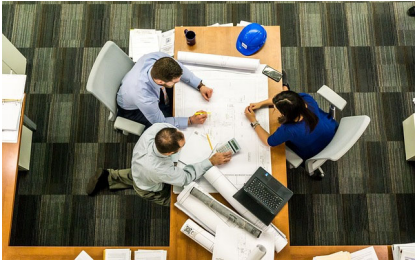
"I'm doing everything I can to create a positive work environment. My employees are not meeting me halfway." – Transit Manager Quote

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RLS Positive Culture

◆ What Words Describe a Positive Culture?



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RLS Positive Culture

◆ What Words Describe a Positive Culture?
◆ Quantum "Great Places to Work Survey"

Challenging	Friendly	Engaging
Rewarding	Collaborative	Flexible
Supportive	Exciting	Caring
Family	Professional	Busy
Fast-paced	Innovative	Teamwork
Motivating	Positive	Comfortable
Integrity	Fun	

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Positive Culture

- ◆ Evolves Based on Different Needs and Attitudes of Employees
- ◆ Making Sure the Mechanisms Are In Place to Solve Problems that May Lead to a Toxic Culture
- ◆ Right Hires
- ◆ Continuous, Honest Performance Feedback and Encouragement

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Positive Culture

- ◆ Leaders of the Organization Are Committed to Making It a Great Place to Work
 - Living company values
- ◆ Employees Trust the Leaders of the Organization to Set the Right Course
 - Prioritize positive attitudes
 - Mutual respect with employees
- ◆ Belief That the Organization Will Be Successful in the Future
 - Work is worthwhile and valued

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Positive Culture

- ◆ Each Employee Should Understand How They Fit Into the Organization's Future Plans
- ◆ Leaders of the Organization Value People As Their Most Important Resource
- ◆ The Organization Makes Investments to Make Employees More Successful
 - Authentic, equitable, and fulfilling recognition

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RLS **Challenges to Establishing a Positive Culture**

- ◆ Workplace Stressors
- ◆ Interactions With the Public
- ◆ Employee Personal Challenges
- ◆ Changes in Societal Norms
- ◆ Changes in Perception of Employer
- ◆ Workplace Conflicts
- ◆ Toxicity in The Workplace

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RLS **Workplace Stressors**

- ◆ Ridership Composition Changes
- ◆ Service Delivery Changes
- ◆ Vehicle/Parts Shortages
- ◆ Aging Fleet/Reliability Issues
- ◆ Staffing Shortages—Operations, Maintenance, Management
- ◆ Staffing Turnover—Loss of Expertise and Knowledge Base

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RLS **Okay, Now What?**

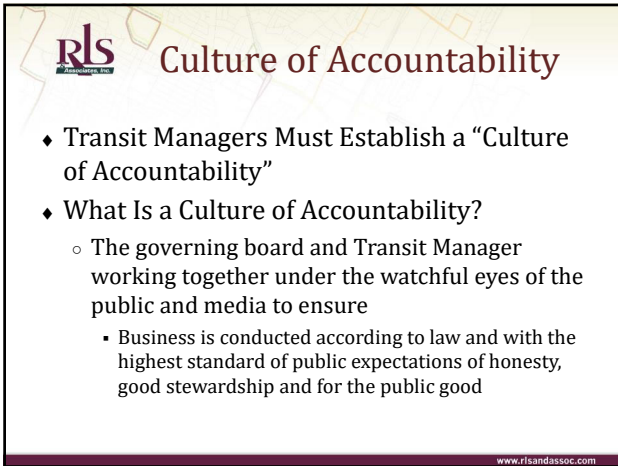


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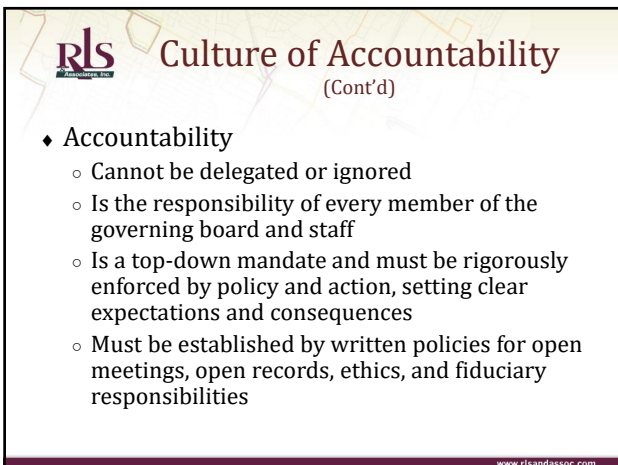
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RLS **Culture of Accountability**
(Cont'd)

- ◆ Failure To Comply With These Accountability Requirements Can Result in Legal Actions Against the Governing Board (Both as a Board and Individually) and Against the Transit Manager and Staff
- ◆ The Board and Transit Manager's Credibility Can Also Be Seriously Damaged

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RLS **Culture of Accountability**
(Cont'd)

- ◆ Open Records
 - The request does not have to be in writing and the reason for the request does not have to be given
 - Certain records are considered private and are exempt from being open to the public
 - A public office must keep all public records indefinitely unless the retention period is set forth in the board's adopted records retention schedule, and the retention period has lapsed
 - Retention periods must be consistent with FTA and state regulations

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RLS **Culture of Accountability**
(Cont'd)

- ◆ Ethics
 - The transit governing board and the transit manager together must create a culture of accountability with a focus on ethics
 - Ethics law recognizes that many public officials and employees are in a position to make or influence decisions that directly affect their own financial interests or those of their family or business associates

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RLS **Culture of Accountability**
(Cont'd)

- ◆ **Ethics, Cont'd**
 - The law contains provisions restricting conflicts of interest that involve nepotism, post-employment, representation, influence-peddling, confidentiality, and supplemental compensation
 - As the transit manager, you can directly promote an ethical culture in your transit system by...

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RLS **Culture of Accountability**
(Cont'd)

- ◆ **Promoting Ethical Culture**
 - Having the board adopt a policy on ethics and conflict of interest
 - Promoting a culture of disclosure
 - Avoiding problems when potential conflicts arise
 - Establishing procedures, such as competitive bids, that ensure that the organization is receiving fair value in the transaction

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RLS **Culture of Accountability**
(Cont'd)

- ◆ **Fiduciary Responsibility**
 - The transit manager and governing board must create a culture of accountability with a focus on fiduciary responsibility
 - Fiduciary responsibility is a legal and/or ethical relationship of confidence or trust regarding the management of financial and other resources

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RLS **Culture of Accountability**
(Cont'd)

- ◆ **Fiduciary Responsibility, Cont'd**
 - **Board members**
 - Are the trustees of all transit assets
 - Must exercise due diligence to oversee that the organization
 - Is well managed
 - That its financial situation remains sound
 - Have this responsibility regardless of transit system size or type

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RLS **Culture of Accountability**
(Cont'd)

- ◆ **Fiduciary Responsibility, Cont'd**
 - **Board members/Transit Managers**
 - Must always act for the good of the organization, not for their own benefits
 - Must exercise reasonable care in all decision making without placing the organization at undue risk

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RLS **Culture of Accountability**
(Cont'd)

- ◆ **Fiduciary Responsibility, Cont'd**
 - **Board members**
 - Must have basic financial terminology
 - Be able to read financial statements and judge their soundness
 - Have the capacity to recognize warning signs that might indicate a [negative] change in the overall financial health of the organization
 - This fiduciary duty requires board members to stay objective, unselfish, responsible, honest trustworthy, and efficient

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RLS **Culture of Accountability**
(Cont'd)

- ◆ **Fiduciary Responsibility, Cont'd**
 - **Transit managers**
 - Must ensure that the board has the opportunity to
 - Conduct financial strategic planning
 - Conduct annual budgeting of operating and capital expenses and revenues
 - Conduct monthly reviews of financial reports and variances
 - Keep a close eye on the fiscal health of the system
 - Review grants and grants management

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RLS **Culture of Accountability**
(Cont'd)

- ◆ **Fiduciary Responsibility, Cont'd**
 - **Transit managers**
 - Monitor available cash amounts
 - Act on fares and contract rates
 - Ensure satisfactory reserves are on hand
 - Ensure the propriety of expenditures
 - Insist on and monitor internal controls
 - Actively review annual financial audits
 - Review investments
 - Ensure that all Federal, State, and local laws and requirements are followed

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RLS **Comprehensive Approach**

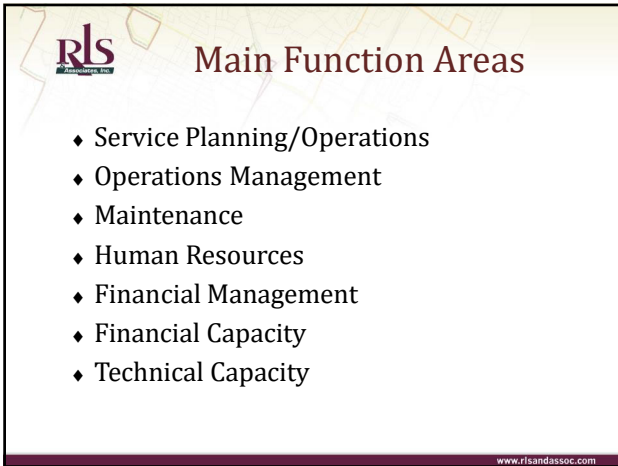
- Grant Application
- Invoicing
- Oversight Monitoring
- Technical Assistance / Training

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Main Function Areas

(Cont'd)

- ◆ Risk Management
- ◆ Safety
- ◆ Staff Training
- ◆ Staff Retention
- ◆ Customer Relations/Marketing/Public Relations
- ◆ Transit Asset Management

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Main Function Areas

(Cont'd)

- ◆ ADA
- ◆ Title VI
- ◆ EEO
- ◆ DBE Risk Management
- ◆ Cyber-security

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Grant Application

- ◆ The Application Is the First Phase of Assessing Subrecipient Risk
 - Technical capacity
 - Award Management
 - Program Management
 - Project Management
 - Financial capacity
 - Service description
 - Justification
 - Budget

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 **Application**

- ◆ **Justification**
 - Demonstrated need for continued and new services
 - Data with historical comparisons (3 years min)
 - Capital needs
 - Operating needs

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 **Application**

- ◆ **Budget**
 - Historical comparison (3 years min)
 - Operations financial plan
 - Capital plan
 - Expense justification
 - Direct
 - Indirect
 - In-kind
 - Local match commitment
 - Evidence of match source

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 **Grants Management**

- ◆ **Invoice Review**
 - Technical capacity
- ◆ **Monthly, Quarterly, Annual Report Review**
 - Financial health
 - Performance

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RLS **Monitoring**

- ◆ Compliance Review/Assessments
 - 2 CFR Part 200
- ◆ Special Review
 - Drug and Alcohol Testing Program
 - Operational
 - Financial
- ◆ Periodic Meetings, On Street Oversight, Vehicle/Facility Inspections

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RLS **Training and Technical Assistance**

- ◆ Rural Transit Assistance Program
- ◆ DOT
- ◆ Partnership/Relational
- ◆ Peers

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RLS **What Does Your Stool Look Like?**

Four Legged Stool



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Grant Applications

- ◆ Operating Budget
- ◆ Capital Budget
- ◆ Local Match Budget and Certification
- ◆ Indirect Cost Plan
- ◆ In-kind Plan

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Important Document Review

- ◆ Facility, Equipment, and Vehicle Preventative Maintenance Plans
- ◆ ADA and Title VI Complaints
- ◆ Title VI Plan
- ◆ ADA Procedures
- ◆ EEO Policy or Plan As Appropriate
- ◆ DBE Plan as Appropriate

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Important Document Review (cont'd)

- ◆ Drug Free Workplace
- ◆ Drug and Alcohol Policy
- ◆ Procurement Policy
- ◆ System Marketing Documents

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RLS **Grant Applications**

- ◆ Best Practices
 - Tools
 - Application packet
 - Risk assessment
 - Annual important document review
 - Checklists
 - Application documents
 - Resources
 - Grants mgt software
 - System file



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RLS **Invoices and Reports**




- Grant Application
- Invoicing

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RLS **Look Closely—It Is The Detail That Tells the Story**



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Invoices & Reports

- ◆ Many Different Approaches
 - Grants management software
 - Excel workbooks
 - Quarterly
 - Monthly
 - Support documentation
 - Reconciliation with each invoice
 - Annual reconciliation

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Invoices & Reports (cont'd)

- ◆ Many Different Approaches
 - Invoice requires transaction detail
 - Invoice requires only category totals
 - Invoice includes unallowable expenses
 - Invoice does not account for unallowable expenses
 - Invoice included DBE reporting

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Invoices & Reports (cont'd)

- ◆ How Are Your Invoices Reviewed?
 - Level of expertise/knowledge of reviewers
 - Level of familiarity with subrecipient
- ◆ Extensive Review or cursory Review?
- ◆ Reconciliation Reviews
- ◆ What Line Items Are the Most Critical?
- ◆ Where Are Mistakes Most Often Made?
- ◆ How Are Issues Resolved?
- ◆ How Do You Avoid Repeat Mistakes?

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RLS **Invoices & Reporting** (cont'd)

- ◆ Invoice Verification Tools
 - Chart of accounts crosswalk to allow reconciliation to USOA chart of accounts
 - DOT invoice that captures unallowable expenses
 - Submission of supporting financial reports
 - Reconciliation of invoice to financial reports
 - Deep dive for repeat/frequent errors
 - Detailed transaction report
 - Review of supporting documentation

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RLS **Invoices & Reporting** (cont'd)


- ◆ Invoice Checks and Balances
 - Reconciliation with financial general ledger report
 - Budget variance evaluation
 - Random requests for support documentation
 - DBE contracting opportunity tracking

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RLS **Invoice & Reporting** (cont'd)

- ◆ Red Flags
 - Cash accounting
 - Frequent errors or missed deadlines
 - No general ledger or supporting financial report
 - Expenses claimed as direct and indirect



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RLS Invoice & Reporting (cont'd)

- ◆ Red Flags
 - Improper USOA category
 - Expense only in-kind
 - Operating expenses claimed as capitalized maintenance
 - No documentation to support salary and benefit expenses
 - Expenses claimed as direct and indirect



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RLS Invoice & Reporting (cont'd)

- ◆ Red Flags
 - Financial report cannot segregate expense and revenue by program
 - Local match is not adequate



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RLS Invoicing & Reporting (cont'd)

- ◆ Reporting
 - Service data
 - By mode
 - Denials
 - NTD data
 - Capital asset inventory
 - DAMIS
 - Audit

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RLS Invoicing & Reporting (cont'd)

- ◆ Best Practices
 - Tools
 - Monthly/quarterly statistical report
 - Quarterly preventative maintenance report that calculates percentage of on time
 - Monitoring of deadline adherence
 - State calendar with due dates
 - Checklists
 - Resources
 - Standard operating procedure for review

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RLS Invoices & Reporting (cont'd)

- ◆ Invoice Verification Tools
 - Chart of accounts crosswalk to allow reconciliation to USOA chart of accounts
 - DOT invoice that captures unallowable expenses
 - Submission of supporting financial reports
 - Reconciliation of invoice to financial reports

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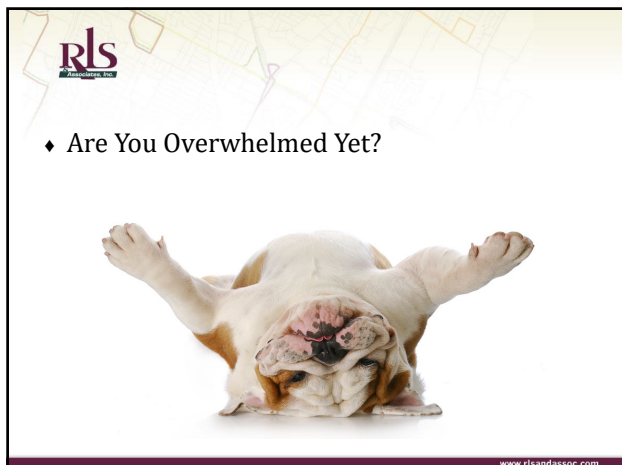
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RLS Invoices & Reporting (cont'd)

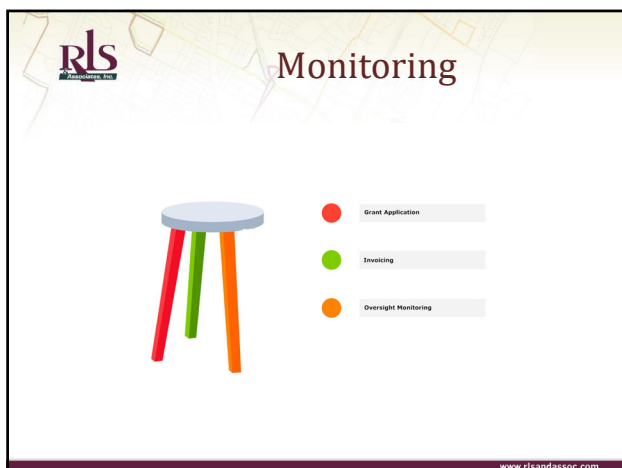
- ◆ Invoice Checks and Balances
 - Reconciliation with financial general ledger report
 - Budget variance evaluation
 - Random requests for support documentation
 - DBE contracting opportunity tracking

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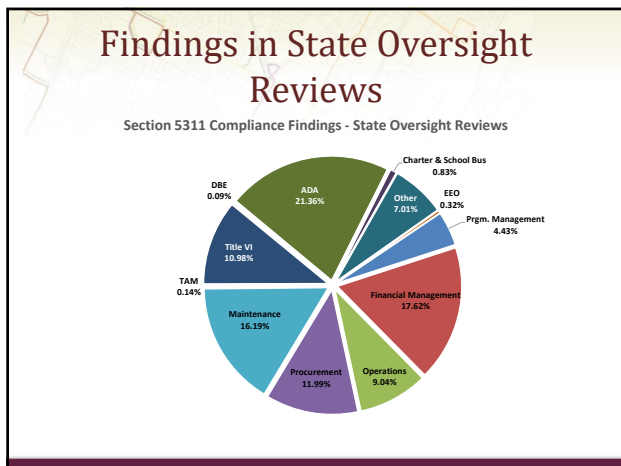
123

RLS **Oversight Monitoring**

- ◆ Risk Based
- ◆ Technical Assistance vs. Audit
- ◆ Exception vs Comprehensive Report
- ◆ Report, Grants Management Entries, Checklists, Spreadsheets
- ◆ Corrective Actions
 - Timeline and Responsibility

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Effective Leadership

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RLS **Effective Leaders**

- ◆ Who Do You Think Are Effective Leaders?
- ◆ What Do They Have In Common?
- ◆ What Do You Think Are the Qualities of a Leader?

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RLS **Traits of an Effective Leader**

- ◆ Hard-working
- ◆ Open-minded
- ◆ Empathic
- ◆ Visionary
- ◆ Confident
- ◆ Honorable
- ◆ Passionate
- ◆ Consistent



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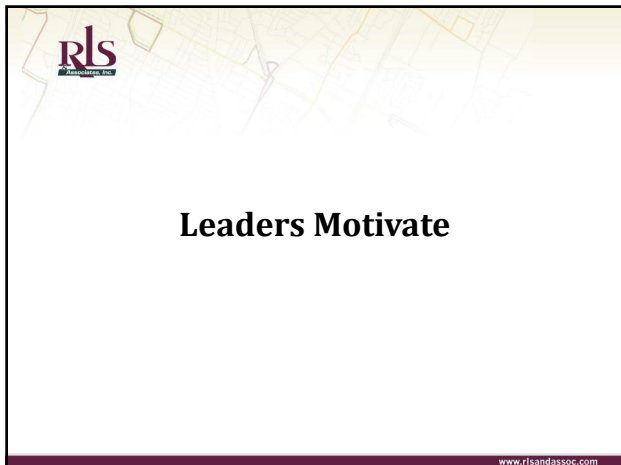
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RLS **Qualities of an Effective Leader**



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RLS
 Rethinking Leadership

Leaders Motivate

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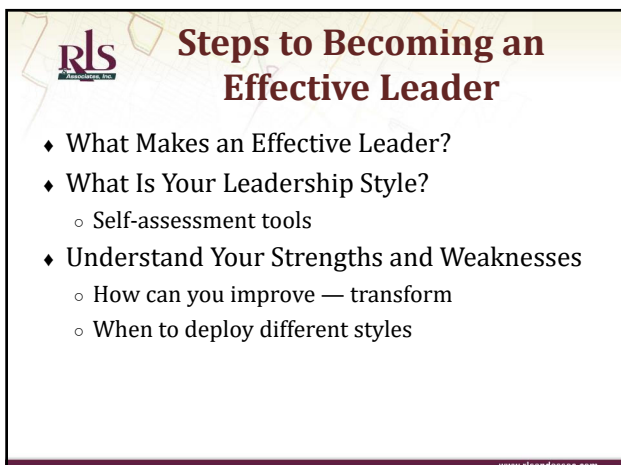
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Your Leadership Style

- ◆ What Is Your Primary Leadership Style?
 - Blend of styles?
- ◆ How Does Your Leadership Style Influence How You Manage?
 - Your staff
 - Your transit services
- ◆ Is it Working?
- ◆ How Can You Improve?

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RLS
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Steps to Becoming an Effective Leader

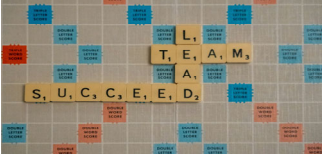
- ◆ What Makes an Effective Leader?
- ◆ What Is Your Leadership Style?
 - Self-assessment tools
- ◆ Understand Your Strengths and Weaknesses
 - How can you improve — transform
 - When to deploy different styles

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RLS **Leadership Definition**

- ◆ Leadership Is the Process of Influencing, Guiding and Motivating Individuals To Work Collaboratively Toward Achieving a Common Goal
 - Provides the “why” and inspires action



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RLS **Key Aspects of Leadership**

- ◆ Key Aspects of Leadership
 - Influence and inspiration
 - Creates a “desire” to achieve objectives rather than a mere direction
 - Shared goals
 - Guiding their team to a unified objective
 - Empowerment and growth
 - Enables everyone on their team to contribute their potential, grow individually and bolster the team

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RLS **Key Aspects of Leadership (cont'd)**


- ◆ Key Aspects of Leadership
 - Strategic vision
 - Provides direction and a clear vision for the future
 - Provides the necessary tools and knowledge to accomplish goals
 - Adaptability to change
 - Guides people and activities through change
 - Fosters proactive and continuous improvements

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RLS **Management Definition**

- ◆ Management Focuses on Planning, Organizing, and Controlling Processes, Delegating Tasks, and Maintaining Stability to Achieve Predictable Outcomes
 - Manager focuses on "how" to ensure tasks are completed efficiently




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RLS **Effective Leaders**

- ◆ Think of the Best Leader You Have Ever Had the Pleasure of Working With
 - What position did they have?
 - What did they say or do?
 - What traits or qualities did they have?




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RLS **Non-effective Leaders**

- ◆ Think of the Poorest Leader (Person in a Leadership Position) You Have Ever Had the Displeasure of Working With
 - What position did they have?
 - What did they say or do?
 - What traits or qualities did they have?



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**EFFECTIVE LEADERS -
DISCUSSION**

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RLS **True or False**

- ◆ You Either Have It Or You Don't
- ◆ Leadership Is A Choice




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RLS **Key Traits of Effective
Leaders**

- ◆ Self-Awareness
- ◆ Understanding Your Innate Leadership Style
- ◆ Plan for Transformation and Growth



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RLS **True or False**

◆ Leaders Motivate



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RLS **Key Traits of Effective Leaders**

- ◆ Those Who Bring Out the Best in Every One on Their Team
 - Inspires, encourages while expecting and demonstrating the highest standards
- ◆ Respected
 - Team is fiercely loyal, engaged

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RLS **Key Traits of Effective Leaders**

- ◆ Remind Team Members of the Purpose of Their Work
- ◆ Have High Expectations and Inspire Employees To Reach Higher
- ◆ Integrity—Role Model



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RLS **True or False**

◆ Leadership Is Situational

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RLS **Key Traits of Effective Leaders**

◆ Modifying Your Style to the Situation—A Good Leader Is Able To Adapt Their Style to the Situation

- Workplace culture
- Employee expectations and needs
 - Different employees need different things
- Organization challenges

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RLS **True or False**

◆ Leaders Build Trust and Cooperation By Creating a Safe Space for Employees To Grow and Address Challenges

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RLS **Effective Leaders**



- ◆ In Adverse Situation Leaders Step Up
 - Personal sacrifice/risk to protect others
 - Sets positive tone while acknowledging the situational reality
 - Educates and supports
 - Build self-confidence
 - Gives opportunity to take risks/fail

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RLS **True or False**

- ◆ Rank or Authority Within an Organization Is Synonymous With Organization Leadership

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RLS **Effective Leaders**


- ◆ Who Are the Leaders Within Your Organization?
 - What positions do they hold?
 - Not all people with authority are leaders
 - Everyone's has a sphere of influence
 - Leaders can emerge at all levels of the organization

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Sphere of Influence

- ◆ Everyone Has a Sphere of Influence Within Their Organization
- ◆ What Do You Have Control Over?
- ◆ Who Do You Interact With?
- ◆ How Can You Be a Leader?



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Sphere of Influence

- ◆ Roles and Responsibilities
 - ◆ Chain of command
 - ◆ Organization policies and guidance
- ◆ Influence
 - ◆ Respect
 - ◆ Attitude
 - ◆ Positivity
 - ◆ Supportive



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Where Do You Start?

- ◆ Self Leadership First—Reality Check
 - Are you who you would like to be?
 - Self-awareness
 - Characteristics in common with previous examples
 - Technical skills/soft skills
 - Self-reflection
 - What have you achieved? How will you respond to the challenges that lay ahead?
 - Self-regulation
 - Reframing situation—How important is this issue? What type of response does it warrant? What style will be the most effective?

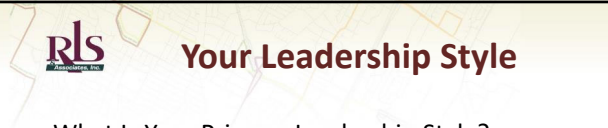
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**LEADERSHIP SELF-ASSESSMENT
TOOL**
PURDUE UNIVERSITY
LEADERSHIP DEVELOPMENT PROGRAM

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RLS **Your Leadership Style**

- ◆ What Is Your Primary Leadership Style?
 - Blend of styles?
- ◆ How Does Your Leadership Style Influence How You Lead?
 - Your staff
 - Your transit services
- ◆ Is It Working?
- ◆ How Can You Improve?

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RLS **Assessment Tools**

- ◆ Assessment Tools Evaluate Skills, Strengths and Weaknesses
 - Provides insights to enhance leadership effectiveness and personal growth
 - Gain self-awareness
 - Identify future leaders
 - Understand team dynamics
 - Audit individual performance
 - Manage conflict
 - Assess organizational culture

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RLS
Rethinking Leadership Solutions

Assessment Tools

- ◆ Types of Assessment Tools
 - Leadership style assessments
 - Situational leadership assessment
 - DISC assessments*
 1. Dominance
 2. Influence
 3. Steadiness
 4. Conscientiousness

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RLS
Rethinking Leadership Solutions

Assessment Tools

- ◆ Types of Assessment Tools
 - Leadership style assessments
 - Leadership practices inventory
 1. Model
 2. Inspire
 3. Challenge
 4. Enable
 5. Encourage
 - 360-degree assessment
 - Others perception

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RLS
Rethinking Leadership Solutions

Assessment Tools

- ◆ Types of Assessment Tools
 - Leadership style assessments
 - Strengths assessment
 - CliftonStrengths**
 - Personality and emotional intelligence scales
 - The Hogan Assessments**
 - Myers-Briggs Type Indicator*
 - The Mayer-Salovey-Caruso Emotional Intelligence Test
 - Human-centered leadership
 - Servant leadership
 - Authentic leadership — Brene Brown

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RLS **Assessment Tools**

- ◆ Leadership Circle Self-Assessment Tool
 - Leadershipcircle.com
- ◆ Brene Brown—Daring Leadership Assessment
 - Daretolead.brenebrown.com/daring-leadership-assessment
- ◆ Daniel Goleman’s Six Leadership Styles

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DISCOVERING YOUR LEADERSHIP STYLE
LEADERSHIP THAT GETS RESULTS
DANIEL GOLDMAN

<https://skillsyouneed.com/lead/leadership-styles.html>

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RLS **Leadership Styles**

- ◆ Daniel Goleman’s Six Leadership Styles
 - Visionary/authoritative
 - Coaching
 - Affiliative
 - Democratic
 - Pace-setting
 - Commanding/coercive

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RLS **Visionary/Authoritative**

- ◆ “Come With Me”
 - Moves people towards a vision
 - Most useful when a new vision or clear direction is needed
 - Strongly positive
 - Leader acts as a change catalyst
 - Draws employees into the vision
 - Engages them with the future
 - Leader has high self-confidence and empathy

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RLS **Coaching**

- ◆ “Try It”
 - Develops people
 - Allows people to try different approaches to problem-solving and achieving a goal in an open way
 - Appropriate when an organization values long-term staff development
 - Leader has high level of empathy, self-awareness and skills in developing others

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RLS **Affiliative**

- ◆ “People Come First”
 - Values and creates emotional bonds and harmony
 - Useful when a team has been through a difficult experience and needs to heal rifts or develop motivation
 - Goal is team harmony, not accomplishing tasks
 - Leader demonstrates empathy and strong communication skills; good at building relationships

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Democratic

- ◆ “What Do You Think?”
 - Builds consensus through participation
 - Good at developing buy-in
 - Consensus can be difficult to achieve
 - Typically, slow progress toward goals
 - Leader demonstrates high levels of collaboration, team leadership and strong communication skills

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Pace-setting

- ◆ “Do As I Do, Now?”
 - Expects excellence and self-direction
 - Leads by example
 - Works well with a highly-competent and well-motivated team
 - May be difficult to sustain
 - Leader shows drive to succeed and initiative coupled with conscientiousness

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Commanding/Coercive

- ◆ “Do What I Tell You”
 - Works well with in a crisis situation or when something needs to be accomplished quickly
 - Requires clean, calm, commanding direction
 - Does not allow for initiative of others
 - Leader shows initiative, self-control, and drive to succeed

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RLS **Situational Application**

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RLS **Assessment Tools**

- ◆ Kurt Lewin
 - Authoritarian/Autocratic
 - Democratic/Participative
 - Delegative/Laissez Faire



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RLS **Leadership Styles**

- ◆ Authoritarian/Autocratic
 - Benefits — high-risk or urgent situations
 - Team needs to follow a process
 - Performance-related issues
 - Deadlines/deliverables
 - Conflict is an issue
 - Quick decisions needed

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RLS **Leadership Styles**

- ◆ Authoritarian/Autocratic
 - Relying on control and punishment will likely drive people away
 - Must provide rationale for decisions
 - Respectful
 - Expectations must be realistic
 - Be aware of potential negative impacts on creativity, motivation and trust
 - Danger of getting lost in the weeds

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RLS **Leadership Styles**

- ◆ Democratic/Participative
 - Set goals, guide team discussions — make final decisions
 - Acknowledges employees have valuable insight
 - Gain creative input and fresh ideas
 - Challenges — differing opinions; manage expectations; slow
 - Set example
 - Be open and flexible

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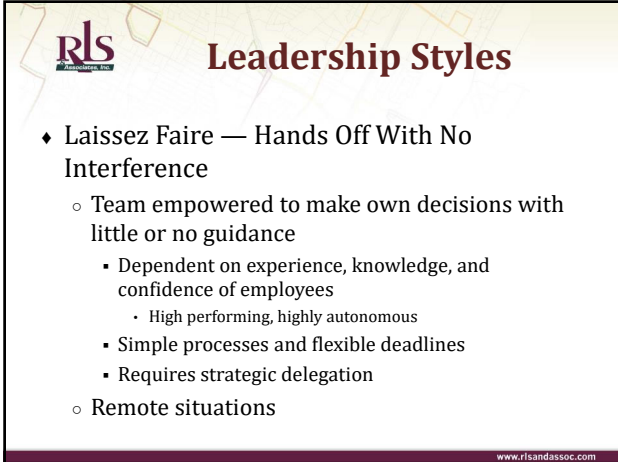
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RLS **Leadership Styles**

- ◆ Democratic/Participative
 - Balance required
 - Employee input valuable
 - Take charge when swift decisions are needed
 - Mutual respect
 - Conflict resolution to manage differences of opinion
 - Manage emotion
 - Ownership when opinion taken
 - Frustration when not

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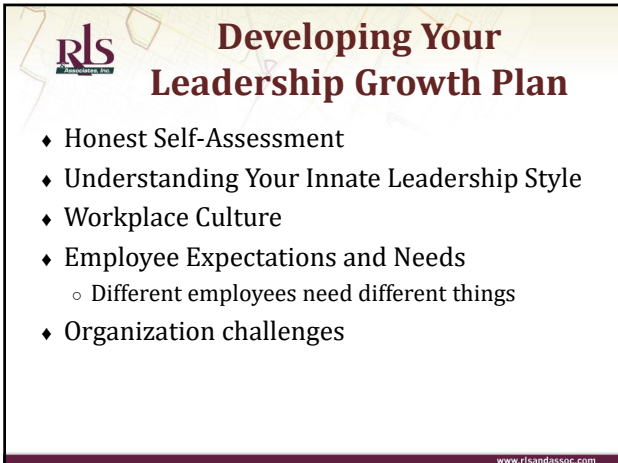


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Leadership Styles

- ◆ Laissez Faire — Hands Off With No Interference
 - Team empowered to make own decisions with little or no guidance
 - Dependent on experience, knowledge, and confidence of employees
 - High performing, highly autonomous
 - Simple processes and flexible deadlines
 - Requires strategic delegation
 - Remote situations

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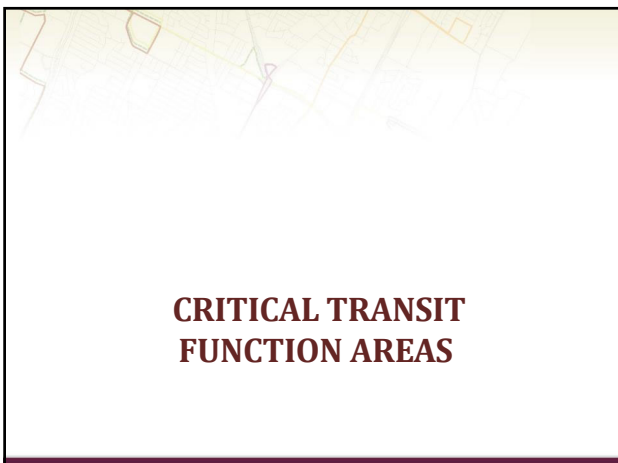


RLS
Developing Your Leadership Growth Plan

- ◆ Honest Self-Assessment
- ◆ Understanding Your Innate Leadership Style
- ◆ Workplace Culture
- ◆ Employee Expectations and Needs
 - Different employees need different things
- ◆ Organization challenges

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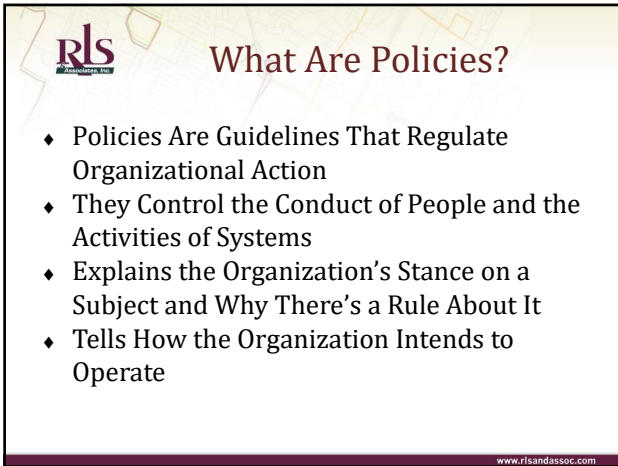


**CRITICAL TRANSIT
 FUNCTION AREAS**

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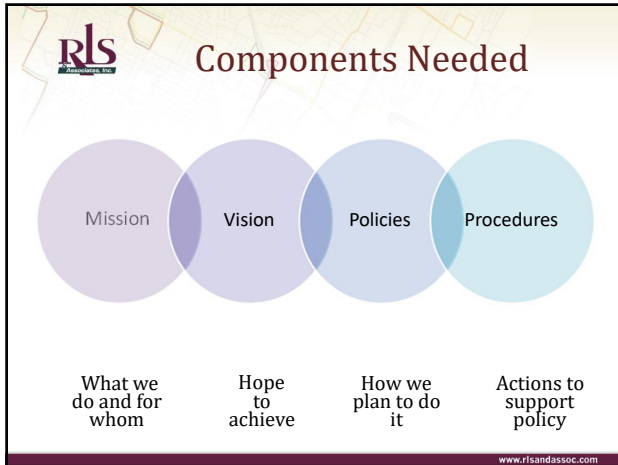
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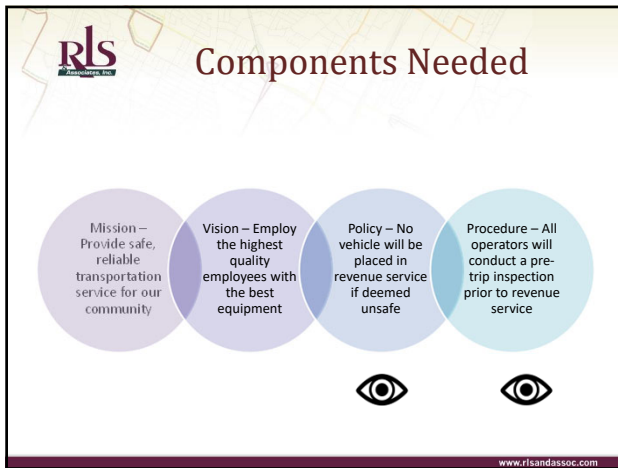
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RLS **Proactive Vs. Reactive**

- ◆ Be Proactive in Developing Policies
- ◆ Do Not Wait Until Something Happens Before Implementing a Policy
- ◆ Decide if You Want Your Policy To Be Regulation Based or Mission Based
 - Are you simply developing a certain policy only to satisfy regulatory compliance? OR
 - Are you developing policies based on your organization's mission and specific issues

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RLS **When You Need Policies and Procedures**

- ◆ Do Not Create a Policy or Procedure Because It Seems Like a Good Idea
 - It needs to accomplish something
- ◆ Proactive Vs. Reactive
- ◆ A Policy Is Needed for Any Issue That Is Important or Benefits from Clarification

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Steps in Developing a Policy

◆ Planning	◆ Finalization
◆ Analysis	◆ Implementation
◆ Research	◆ Communication
◆ Prewriting	◆ Review
◆ The law	◆ Updating

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RLS **What Readers Want To Know**

- ◆ Why Am I Being Required To Do This?
- ◆ What Will This Do to Me? For Me? Will It Make My Life Easier or Harder?
- ◆ Will I Get Enough Training, Time, Money, and Staff To Do What's Required?
- ◆ What Do I Do if I Don't Understand or Get Stuck?
- ◆ Will I Have a Chance To Voice My Concerns and Problems?
- ◆ What if It Doesn't Work?
- ◆ Will I Be Blamed if This Goes Wrong?

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RLS **Overwhelmed Now?**

We're Not There Yet



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Generational Awareness

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RLS Five Generations In the Workplace

- ◆ Builders (1925-1945)
- ◆ Baby Boomers (1946-1964)
- ◆ Gen X (1965-1979)
- ◆ Gen Y (1980-1994)
- ◆ Gen Z (1995-2009)
- ◆ Gen Alpha (2010-2024)

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RLS Builders

- ◆ Grew Up During Depression and WW II.
 - Frugal, resourceful, grateful, conservative
- ◆ Percent of the Workforce
 - 2024—6%
 - 2030—0%
- ◆ Great listeners; use resources fully; problem solvers; wisdom and patience

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RLS Baby Boomers

- ◆ Post WW II, Civil Rights Movement
 - Expansion, economy swelled, questioned everything
- ◆ Percent of the Workforce
 - 2024—25%
 - 2030—10%
- ◆ Problem Solvers; Life Experiences, Awareness of Pitfalls, Life Coaching for Younger Generations

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Baby Boomers

- ◆ Recognize Experience and Expectations
- ◆ Appreciate Past Roles; Ask to Share
- ◆ Allow The to Take Charge
- ◆ Don't Micromanage; Give Space & Resources
- ◆ Ask to Give Back; Coach Others
- ◆ Remind Them Of Their Younger Years When They Got Impatient

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GenX/Baby Busters

- ◆ Vietnam War, Watergate, Aids
 - Bust economy, working parents, family planning
- ◆ Percent of the Workforce
 - 2024—25%
 - 2030—15%
- ◆ Pragmatic Wisdom, Realistic Perspective, Resourceful, Balance

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GenX/Baby Busters

- ◆ Listen and Communicate; Build Relationship
- ◆ Allow to Function Outside of Conventional Office
- ◆ Be Brutally Honest; Life Can Be Tough
- ◆ Provide Authentic Community
- ◆ Let Them Lead
- ◆ Minimal Boundaries
- ◆ Influence Through Your Relationship, Not Your Position

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RLS **GenY/Millennials**

- ◆ Combine, 9/11, Internet
 - Pre-occupation with safety, self-esteem and status. Life was customized, entitlement, participation trophies
- ◆ Percent of the Workforce
 - 2024—35%
 - 2030—50%
- ◆ Versatile—old and new school, optimism, energy and confidence, tech savvy, social connections

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RLS **GenY/Millennials**

- ◆ Provide Incentives, Clarify WHY Of Task
 - Explain Why Task Is Important
- ◆ Micromanage with Consistent Feedback Before Autonomy
- ◆ Provide Safe Space to Share Ideas
- ◆ “Gamify” the Tasks and Goals—Competition
- ◆ Graciously Tell Truth
- ◆ Celebrate Any and All Progress
- ◆ Mentor and Coach Rather than Scrutinize

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RLS **Gen Z/Coronial**

- ◆ Recessions, Mass Shootings, Pandemic, Political Polarization, Anxiety
 - Mental health is top priority
- ◆ Percent of the Workforce
 - 2024—9%
 - 2030—25%
- ◆ Problem Solvers, Sensitive, Open-Minded, Willing Not to Judge Immediately, Social Causes/Entrepreneurial; Hacker Mindset

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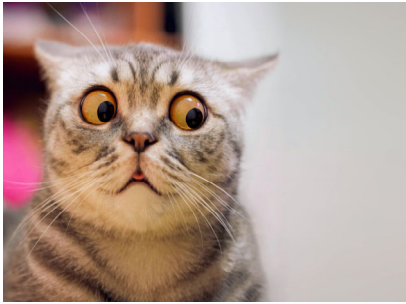
RLS **Gen Z/Coronial**

- ◆ Listen and Affirm Dreams and Goals
 - Discuss personal values—Value-driven
- ◆ Provide Sense of Purpose
- ◆ Give Short-term Commitments
 - Build Confidence and Connection
 - Focus on one meaningful objective
- ◆ Build Relationship Before Expect Trust
- ◆ Express High Expectation and High Belief
 - Own projects

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RLS **There's More?**



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REGULATORY COMPLIANCE

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RLS Regulatory Compliance:
Critical Element of Success

- ◆ Compliance Is Ongoing (24/7/365)
 - Not a response to a Triennial or State review
- ◆ Stay Informed of Regulatory Updates
- ◆ Understand Purpose/Intent of Regulation
 - Why was the regulation necessary?
 - What is its intent?

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RLS Keys to Success (Cont'd)

- ◆ Stay Informed – List Serves
 - Regulatory changes
 - New regulations
- ◆ Due Diligence To Understand Regulation and What It Means to Your Organization
- ◆ Ongoing Communication With DOT/FTA Region, Civil Rights Officers, Subject Matter Experts

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RLS Keys to Success (Cont'd)

- ◆ Institutionalize Corrective Actions
 - Further Organization compliance
 - Follow through on corrective action
 - Demonstrate compliance
 - Avoid repeat findings
- ◆ Communicate, Cross-Train, Create SOP

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RLS **Keys to Success (Cont'd)**

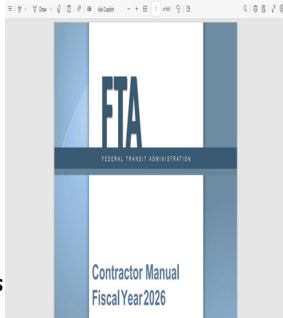
- ◆ Invest in Staff Knowledge
- ◆ Take Advantage of Resources
 - Workshops
 - Webinar
 - Contractor's Manual
 - Conferences
 - Newsletters, tool kits, best practices
 - Circulars/guidance
 - Regulatory FAQ
 - Regulation Circulars

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RLS **Triennial Review Process**

- ◆ **Contractors Manual**
 - **Basic Requirement**
 - **Applicability**
 - **Explanation**
 - **Indicators of Compliance**
 - **Instruction to Reviewer**
 - **Governing Directives**



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RLS **Keys to Success (Cont'd)**

- ◆ Commitment to Compliance
- ◆ Focus on How To Comply, Not How To Avoid
- ◆ Self-Evaluate Periodically
- ◆ Prioritize Within Organization
- ◆ Avoid Shortcuts (i.e., Boilerplate)

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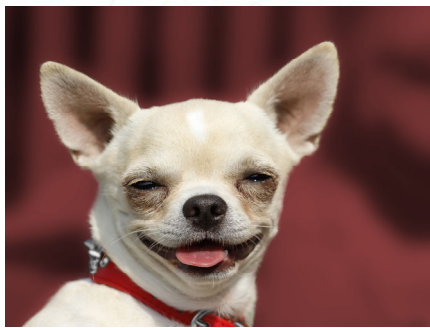
RLS **Keys to Success** (Cont'd)

- ◆ Don't Be Intimidated
- ◆ Get Help if Needed
 - Peers
 - Industry SMEs
 - National, regional, statewide associations
 - State DOTs
 - FTA

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RLS **We Can Do It!**



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Questions?

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