15 Minute Manager

Data Collection

According to the ADOT Grant Guide, records must be maintained in an auditable manner during the period of contractual obligation to ADOT as well as for five years after the date of Agreement completion and/or release of the ADOT lien. A sub-recipient may be audited without notice at any time during this period. Records to be maintained for the period specified above include all records related to the Agreement, especially those required during a financial audit. The types of records to keep for this period are:

- Application materials submitted;
- Executed Agreement documents;
- Any forms received from ADOT related to the application/Agreement;
- Reimbursement request documents and related backup information;
- Audits;
- Any Agreement associated procurement files;
- DBE LPA records/submissions;
- Title VI complaint logs; and
- EEO complaint logs.

If vehicle equipment is awarded, records to keep also include:

- Up-to-date vehicle inventory with age, mileage, condition assessment, spare ratio, and location;
- Percentage of vehicles purchased with FTA 5310 or 5311 funds;
- ADOT related vehicle delivery/acceptance documents;
- Vehicle registration;
- Vehicle maintenance and repair logs;
- ADOT annual vehicle inspection documents; and
- Insurance certificates.

In addition, sub-recipients must maintain records regarding:

- Ridership data/trip logs;
- Service miles
- Service hours
- Vehicle pre/post trip inspections;
- Fare revenue
- Operating Expenses
- Driver training records;
- Incidents and accident reports;
- Regional coordination plan inclusion.

Each of these reports require that data be developed, collected, and summarized. Training staff on data collection and record keeping will be based on their job responsibilities. Departments or positions that typically require specific data collection training include Finance, Fleet Management or Mechanics, Human Resources, Drivers, Dispatchers, Transit Manager, and others.

15 Minute Manager – Data Collection – Administrators (Finance, Transit staff, HR)

The Federal Transit Administration and the Arizona Department of Transportation regulate how our transit program collects data. Our funding is contingent on the proper provision of data and can be withheld or denied if regular reports containing specific data are not provided.

Transit/transportation data is collected by a number of employees throughout the organization.

Pass out to each employee in the training session, copies of the forms that are prescribed for each data collection activity. Expected forms include those highlighted below:

Administrators must collect the following:

- Application materials submitted;
- Executed Agreement documents;
- Any forms received from ADOT related to the application/Agreement;
- Reimbursement request documents and related backup information (using prescribed form);
- Audits (any agency receiving >$750,000 in federal funds)
- Any Agreement associated procurement files;
- DBE LPA records/submissions (using prescribed forms);
- Title VI complaint logs (using form found in the Title VI Plan); and
- EEO complaint logs (using form found in Title VI Plan).

(Files that contain data which must be collected and kept up to date.)

Review each of these topics and discuss each associated form, including:

- **How they are filled out;**
- **Who is expected to fill them out;**
- **Who makes sure they are filled out properly;**
- **Who gets copies of each form (internally and externally);**
- **Are there due dates or deadlines for this data;**
- **Where are forms stored electronically and/or hard copy; and**
- **How long must these files be kept?**

You may want to develop a table (see sample) and pass it out (electronically and hard copy) to each employee. The table should include each requirement for this section.

Requirement	Form link	Who fills out	Who reviews	Send to	Deadline or timeline	Where stored (folder link)
Application for funding	http://azegrants/mycompany/url	Transit Specialist	Transit Manager	Board, COG, ADOT	3/15/18	Put url here.

Resources: ADOT 5310 Guide

15 Minute Manager – Data Collection - Fleet Manager/Maintenance/Mechanic

The Federal Transit Administration and Arizona Department of Transportation require that subrecipients of federal funding produce data regarding their fleets. This data must be submitted in order to be eligible for reimbursement of expended funds.   Staff are expected to plan for and deliver data on a timely basis as defined in the data collection schedule.

Vehicle records that are required are numerous and must be kept organized and up to date.

Vehicle File

- Up-to-date vehicle inventory with age, mileage, condition assessment, active/spare ratio, and location; and
- Percentage of vehicles purchased with FTA 5310 or 5311 funds.

Pass out to each employee in the training session, copies of the forms that are prescribed for each data collection activity. Expected forms include those highlighted below:

A vehicle file for each vehicle that includes:

- ADOT related vehicle delivery/acceptance documents;
- Vehicle registration;
- Lien documents;
- Warranty documents;
- Spare keys location;
- Owners' manual;
- Insurance certificates;
- Insurance claims;
- Useful life and replacement plan;
- Use restrictions;
- Vehicle transfer/disposal information;
- ADOT annual vehicle inspection documents (correspondence, schedule, inspection form);
- Accident file (discussed under separate training);
- Inspections (using prescribed ADOT form);
- Technology and added equipment inventory (using in-house form);
- Maintenance and repairs (including ADA Equipment) (discussed under separate training); and
- Cleaning log (using in-house form)

(Files that contain data that must collected and kept current.)

Review each of these topics and discuss each associated form, including:

- **How they are filled out;**
- **Who is expected to fill them out;**
- **Who makes sure they are filled out properly;**
- **Who gets copies of each form (internally and externally);**
- **Are there due dates or deadlines for this data;**
- **Where are forms stored electronically and/or hard copy; and**
- **How long must these files be kept?**

You may want to develop a table (see sample) and pass it out (electronically and hard copy) to each employee. The table should include all requirements for this section.

Requirement	Form link	Who fills out	Who reviews	Send to	Deadline or timeline	Where stored (folder link)
Accident report	http://azegrants/my company/accident	Driver	Transit Manager Fleet Manager	Attorney, Insurance broker, Executive Director, ADOT	Within 24 hours of accident	Put url here.

Resources: ADOT 5310 Guide

15 Minute Manager – Data Collection for Performance – Drivers, Dispatchers, and Transit staff

The Federal Transit Administration and Arizona Department of Transportation require that subrecipients of federal funding produce data regarding their transit service. This data must be submitted in order to be eligible for reimbursement of expended funds.   Staff are expected to plan for, collect, and deliver data on a timely basis as defined in the data collection schedule. Adequately and accurately collecting and reporting data is part of each employees' job requirement and a condition of employment. Providing estimated data where actual data is available and expected is unacceptable and may be considered in an employee's evaluation and continued employment.

The following data help determine our performance and are required by ADOT and this agency.

Pass out to each employee in the training session, copies of the forms that are prescribed for each data collection activity. Expected forms include those highlighted below:

- Ridership data/trip logs;
- Service miles;
- Service hours;
- Vehicle pre/post trip inspections (covered in separate training);
- Fare revenue;
- Operating Expenses;
- Driver training records;
- Incidents and accident reports (covered in a separate training);
- Vehicle regular/major maintenance and repair files (covered in a separate training); and
- Regional coordination plan inclusion.

Tip: Hand out copies of blank forms and also filled out forms that are samples of how to do it correctly. Go over each line to make sure that everyone understands:

- **How is data collected;**
- **How forms are filled out;**
- **Who is expected to fill them out;**
- **Who makes sure they are filled out properly;**
- **Who gets copies of each form (internally and externally);**
- **Are there due dates or deadlines for this data;**
- **Where are forms stored electronically and/or hard copy; and**
- **How long must these files be kept?**

You may want to develop a table (see sample) and pass it out (electronically and hard copy) to each employee. The table should include all data collection requirements for this section.

Requirement	Form link	Who fills out	Who reviews	Send to	Deadline or timeline	Where stored (folder link)
Driver log	http://azegrants/my company/driver log	Driver	Transit Manager Fleet Manager	Transit Manager	Within 2 hours of shift completion	Put url here.

Resources: ADOT 5310 Guide