



*A PROPOSAL TO PROVIDE DRUG AND ALCOHOL  
MONITORING SERVICES*

*PREPARED FOR THE  
WEST VIRGINIA DEPARTMENT OF TRANSPORTATION*

*NOVEMBER 16, 2009*



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PURCHASING DIVISION  
STATE OF WV



3131 South Dixie Hwy. | Suite 545 | Dayton, OH 45439

(937)299-5007 voice | (937)299-1055 facsimile | www.rlsandassoc.com

November 16, 2009

Mr. Frank Whittaker  
Division of Public Transit  
West Virginia DOT  
Building 5, Room 906  
1900 Kanawha Blvd  
East Charleston, WV 25305-0432

RFQ-PTR 10008 DRUG AND ALCOHOL  
MONITORING SERVICES

Dear Mr. Whittaker:

RLS & Associates is pleased to submit our response to the WVDOT Division of Public Transit's (DPT) request for Drug and Alcohol Monitoring Services.

RLS is a service-oriented firm that provides transportation management, operations consulting, and regulatory compliance assessments primarily to small urban and rural transit systems. RLS has performed compliance reviews, comprehensive operational analyses, short range planning, etc. for hundreds of transit systems throughout the nation.

In the area of drug and alcohol testing and compliance, RLS & Associates, Inc. has provided countless training sessions, compliance reviews, and program design throughout the United States since the FTA's issuance of its Drug and Alcohol Testing Regulations. This work has included drug and alcohol compliance programs for the Georgia DOT, Wisconsin DOT, Ohio DOT, North Carolina DOT, Illinois DOT, CALTRANS, Oregon DOT, Nevada DOT, West Virginia DOT, New Jersey Transit, Indiana DOT, and the Government of The Virgin Islands. Further, in addition to assisting transit systems with preparation for FTA audits, RLS has also helped transit systems take immediate corrective actions in response to audit findings achieve full compliance.

The firm's principal, Ms. Robbie Sarles, is one of the foremost experts on FTA's Drug and Alcohol Testing Regulations. Ms. Sarles authored the FTA Implementation Guidelines and is responsible for the publication of the FTA Drug and Alcohol Regulation Updates that are published quarterly. Ms. Sarles was also responsible for the creation of the FTA's Prescription and Over-the-Counter Medication Toolkit. She has conducted over 130 workshops/seminars over the last fourteen years with over 5,000 transit professionals in attendance. Ms. Sarles is our proposed principal-in-charge.

We also propose to include Mrs. Jennifer Creamer and Mrs. Jane Bogard as Investigators for this work effort. Mrs. Creamer has performed over 100 regulatory compliance assessments in West

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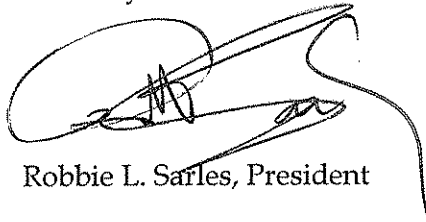
Virginia and throughout the nation. She will serve as the primary on-site investigator and lead contact for the DPT. She has worked with the West Virginia DPT in the past and is looking forward to working with them again. Mrs. Bogard has twenty plus years of transportation experience, has assisted several new start systems in Ohio with the development and implementation of FTA Drug and Alcohol Testing programs, and has conducted several drug and alcohol compliance assessments. She will serve as an investigator and provide technical support to the transit systems.

RLS is certified as a Disadvantaged Business Enterprise by the State of West Virginia. RLS certifies that the company is not on the Comptroller General's list of ineligible contractors and is an equal-opportunity employer.

Of considerable importance to this project is the firm's extensive background in providing consulting services to small urban and rural transit systems throughout the country and specifically in the State of West Virginia. Ms. Sarles and key staff members have extensive knowledge of transit system operating environments, and the management of drug and alcohol testing programs. Additionally, RLS has a keen understanding of the problems and opportunities in managing and conducting oversight of such programs.

RLS is enthusiastic about the opportunity to assist the West Virginia Division of Public Transit to review and modify drug and alcohol programs for DOT providers to assure and maintain Federal compliance. Should you have any questions regarding our submission or need any additional documentation, please contact me at your earliest convenience.

Sincerely,

A handwritten signature in black ink, appearing to read "Robbie L. Sarles", with a long, sweeping flourish extending to the right.

Robbie L. Sarles, President



State of West Virginia  
 Department of Administration  
 Purchasing Division  
 2019 Washington Street East  
 Post Office Box 50130  
 Charleston, WV 25305-0130

# Request for Quotation

RFO NUMBER  
 PTR10008

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 1

ADDRESS CORRESPONDENCE TO ATTENTION OF  
 FRANK WHITTAKER  
 304-558-2316

\*128112315 937-299-5007

RLS & ASSOCIATES INC  
 3131 S DIXIE HWY  
 SUITE 545  
 DAYTON OH 45439

DIVISION OF PUBLIC TRANSIT  
 BUILDING 5, ROOM 906  
 1900 KANAWHA BOULEVARD, EAST  
 CHARLESTON, WV  
 25305-0432 304-558-0428

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DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
10/23/2009				

BID OPENING DATE: 11/17/2009 BID OPENING TIME 01:30PM

LINE	QUANTITY	UOP	CAT NO	ITEM NUMBER	UNIT PRICE	AMOUNT
0001	1	EA		952-06		\$38,010.00
<p>DRUG AND ALCOHOL MONITORING SERVICES</p> <p>THE WEST VIRGINIA PURCHASING DIVISION, FOR THE AGENCY, THE WEST VIRGINIA DIVISION OF PUBLIC TRANSIT IS SOLICITING BIDS FROM RESPONSIBLE VENDORS FOR AN OPEN-END CONTRACT TO PROVIDE THE AGENCY WITH DRUG AND ALCOHOL MONITORING SERVICES AND TRAINING OF ITS FTA SECTION 5311 SUBRECIPIENTS PER THE ATTACHED SPECIFICATIONS.</p> <p>ALL TECHNICAL QUESTIONS MUST BE SUBMITTED IN WRITING TO THE PURCHASING DIVISION C/O FRANK WHITTAKER VIA EMAIL AT FRANK.M.WHITTAKER@WV.GOV OR VIA FAX AT 304-558-4115. DEADLINE FOR TECHNICAL QUESTIONS IS 11/09/09 AT 3:00 PM. ALL TECHNICAL QUESTIONS WILL BE ADDRESSED BY ADDENDUM AFTER THE DEADLINE</p> <p>EXHIBIT 3</p> <p>LIFE OF CONTRACT: THIS CONTRACT BECOMES EFFECTIVE ON ..... AND EXTENDS FOR A PERIOD OF ONE (1) YEAR OR UNTIL SUCH "REASONABLE TIME" THEREAFTER AS IS NECESSARY TO OBTAIN A NEW CONTRACT OR RENEW THE ORIGINAL CONTRACT. THE "REASONABLE TIME" PERIOD SHALL NOT EXCEED TWELVE (12) MONTHS. DURING THIS "REASONABLE TIME" THE VENDOR MAY TERMINATE THIS CONTRACT FOR ANY REASON UPON GIVING THE DIRECTOR OF PURCHASING 30 DAYS WRITTEN NOTICE.</p>						

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE 	TELEPHONE (937) 299-5007	DATE November 16, 2009
TITLE President	FEIN 31-1287821	ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'



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<p>UNLESS SPECIFIC PROVISIONS ARE STIPULATED ELSEWHERE IN THIS CONTRACT DOCUMENT, THE TERMS, CONDITIONS AND PRICING SET HEREIN ARE FIRM FOR THE LIFE OF THE CONTRACT.</p> <p>RENEWAL: THIS CONTRACT MAY BE RENEWED UPON THE MUTUAL WRITTEN CONSENT OF THE SPENDING UNIT AND VENDOR, SUBMITTED TO THE DIRECTOR OF PURCHASING THIRTY (30) DAYS PRIOR TO THE EXPIRATION DATE. SUCH RENEWAL SHALL BE IN ACCORDANCE WITH THE TERMS AND CONDITIONS OF THE ORIGINAL CONTRACT AND SHALL BE LIMITED TO TWO (2) ONE (1) YEAR PERIODS.</p> <p>CANCELLATION: THE DIRECTOR OF PURCHASING RESERVES THE RIGHT TO CANCEL THIS CONTRACT IMMEDIATELY UPON WRITTEN NOTICE TO THE VENDOR IF THE COMMODITIES AND/OR SERVICES SUPPLIED ARE OF AN INFERIOR QUALITY OR DO NOT CONFORM TO THE SPECIFICATIONS OF THE BID AND CONTRACT HEREIN.</p> <p>OPEN MARKET CLAUSE: THE DIRECTOR OF PURCHASING MAY AUTHORIZE A SPENDING UNIT TO PURCHASE ON THE OPEN MARKET, WITHOUT THE FILING OF A REQUISITION OR COST ESTIMATE, ITEMS SPECIFIED ON THIS CONTRACT FOR IMMEDIATE DELIVERY IN EMERGENCIES DUE TO UNFORESEEN CAUSES (INCLUDING BUT NOT LIMITED TO DELAYS IN TRANSPORTATION OR AN UNANTICIPATED INCREASE IN THE VOLUME OF WORK.)</p> <p>QUANTITIES: QUANTITIES LISTED IN THE REQUISITION ARE APPROXIMATIONS ONLY, BASED ON ESTIMATES SUPPLIED BY THE STATE SPENDING UNIT. IT IS UNDERSTOOD AND AGREED THAT THE CONTRACT SHALL COVER THE QUANTITIES ACTUALLY ORDERED FOR DELIVERY DURING THE TERM OF THE CONTRACT, WHETHER MORE OR LESS THAN THE QUANTITIES SHOWN.</p> <p>ORDERING PROCEDURE: SPENDING UNIT(S) SHALL ISSUE A</p>						

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10/23/2009				
BID OPENING DATE: 11/17/2009		BID OPENING TIME 01:30PM		

LINE	QUANTITY	UOP	CAT NO	ITEM NUMBER	UNIT PRICE	AMOUNT
<p>WRITTEN STATE CONTRACT ORDER (FORM NUMBER WV-39) TO THE VENDOR FOR COMMODITIES COVERED BY THIS CONTRACT. THE ORIGINAL COPY OF THE WV-39 SHALL BE MAILED TO THE VENDOR AS AUTHORIZATION FOR SHIPMENT, A SECOND COPY MAILED TO THE PURCHASING DIVISION, AND A THIRD COPY RETAINED BY THE SPENDING UNIT.</p> <p>BANKRUPTCY: IN THE EVENT THE VENDOR/CONTRACTOR FILES FOR BANKRUPTCY PROTECTION, THE STATE MAY DEEM THE CONTRACT NULL AND VOID, AND TERMINATE SUCH CONTRACT WITHOUT FURTHER ORDER.</p> <p>THE TERMS AND CONDITIONS CONTAINED IN THIS CONTRACT SHALL SUPERSEDE ANY AND ALL SUBSEQUENT TERMS AND CONDITIONS WHICH MAY APPEAR ON ANY ATTACHED PRINTED DOCUMENTS SUCH AS PRICE LISTS, ORDER FORMS, SALES AGREEMENTS OR MAINTENANCE AGREEMENTS, INCLUDING ANY ELECTRONIC MEDIUM SUCH AS CD-ROM.</p> <p>REV. 05/26/2009</p> <p style="text-align: center;">NOTICE</p> <p>A SIGNED BID MUST BE SUBMITTED TO:</p> <p style="text-align: center;">DEPARTMENT OF ADMINISTRATION        PURCHASING DIVISION        BUILDING 15        2019 WASHINGTON STREET, EAST        CHARLESTON, WV 25305-0130</p> <p>THE BID SHOULD CONTAIN THIS INFORMATION ON THE FACE OF THE ENVELOPE OR THE BID MAY NOT BE CONSIDERED:</p>						

SEE REVERSE SIDE FOR TERMS AND CONDITIONS			
SIGNATURE 	TELEPHONE (937) 299-5007	DATE November 16, 2009	
TITLE President	FAX 31-1287821	ADDRESS CHANGES TO BE NOTED ABOVE	

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SEALED BID						
BUYER:----- State of West Virginia Department of Transportation						
RFQ. NO.:----- PTR10008						
BID OPENING DATE: 11/17/2009						
BID OPENING TIME: 1:30PM						
PLEASE PROVIDE A FAX NUMBER IN CASE IT IS NECESSARY TO CONTACT YOU REGARDING YOUR BID:						
(937)299-1055						
CONTACT PERSON (PLEASE PRINT CLEARLY):						
Robbie L. Sarles						
***** THIS IS THE END OF RFQ PTR10008 ***** TOTAL:						\$38,010.00

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

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### APPENDIX A – FIRM QUALIFICATIONS





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# **1. GENERAL INFORMATION, PURPOSE, AND QUALIFICATIONS**

## **1.1 GENERAL INFORMATION**

RLS & Associates, Inc. is one of the nation's foremost authorities on Federal Transit Administration (FTA) Drug and Alcohol Regulations. The firm provides training sessions, compliance reviews, and program design within this field for transit systems and State Departments of Transportation (DOTs) across the country.

RLS, a woman-owned business enterprise established in September 1987 in the State of Ohio, specializes in providing consulting assistance to small, medium, and large public transit systems, federal and state departments of transportation, government agencies, and paratransit operators.



RLS has performed drug and alcohol regulatory compliance reviews for hundreds of transit systems throughout the country. Over the past 4 years, RLS has conducted drug and alcohol compliance monitoring for the following states: Oregon, California, Nevada, Georgia, Indiana, Ohio, West Virginia, and New Hampshire. RLS provided technical assistance, compliance assessments, training, and program monitoring and oversight to each of these states.

In addition, RLS has conducted training sessions, developed sample policies and procedures, and assisted in program formulation and implementation throughout the United States since the promulgation of the drug and alcohol testing regulations. In addition to the aforementioned states, RLS has also performed training and management services for the following State DOT's: Wisconsin, Vermont, North Carolina, Illinois, and the Government of The Virgin Islands.

RLS has also had multiple contracts with the FTA and continues to be under contract for a number of tasks. RLS produces the FTA Drug and Alcohol Testing Regulations Updates quarterly newsletter. Additionally, RLS is currently conducting research regarding the impact of Rx/OTC medications on accidents and incidents in the transit industry. This research will result in an update of the 2002 FTA Rx/OTC Medications Toolkit as well as a report containing recommendations to the FTA regarding the use of Rx/OTC medications in the transit industry. Both the toolkit and report will be finalized in late 2009/early 2010.

## **1.2 EXPERIENCE, MANAGEMENT & TECHNICAL QUALIFICATIONS**

### **FTA DRUG AND ALCOHOL WORK EXPERIENCE**

RLS & Associates, Inc. has extensive experience in working with FTA's drug and alcohol testing regulations. Following are examples of specific work performed for the FTA. More examples of experience and qualifications are provided in Appendix A.

#### **FTA Drug and Alcohol Regulation Newsletter**

**Agency:** Federal Transit Administration

**Contact Person:** Jerry Powers

**Phone Number:** (202) 366-1080

**Duration of Work:** Ongoing since 1998

**Completion:** Satisfactory and on time

**Description of work:** RLS creates, produces, and distributes a nationally acclaimed quarterly newsletter to approximately 4,500 organizations affected by FTA Drug & Alcohol Regulations. Articles describe the various requirements of these rules, regulatory changes, FTA interpretations, and how to implement procedures to achieve compliance.

#### **Prescription and Over-the-Counter Medications and their Impact on the Transit Industry and Rx/OTC Toolkit Update**

**Agency:** Federal Transit Administration

**Contact Person:** Jerry Powers

**Phone Number:** (202) 366-1080

**Duration of Work:** 2007 to Present

**Completion:** Late 2009/Early 2010

**Description of work:** RLS has directed a comprehensive assessment of the current status of Rx/OTC policies within the transit industry to determine the extent to which transit systems are collecting and maintaining data regarding the role Rx/OTC medications play in fatal accidents. This assessment included an extensive data gathering and analysis process and the national evaluation of policies, procedures, and post-accident investigations utilized by FTA recipients. Two online questionnaires were conducted. The first questionnaire solicited information regarding a transit system's accident investigation procedures, data collection methodologies, and methods used to determine the role Rx/OTC medications play in accidents. The second questionnaire solicited information regarding each transit system's Rx/OTC policy. Transit systems, including several in West Virginia, were used as "pilot systems" to test the survey instruments before they were released nationwide. The information obtained from the 300 plus systems that completed the surveys formed the basis for this update of the Prescription and Over-the-Counter Medication Toolkit.

## ***STATE DOT DRUG AND ALCOHOL WORK EXPERIENCE***

RLS has worked with numerous state departments of transportation in administering their FTA Section 5311 drug and alcohol testing oversight program. RLS has successfully completed drug and alcohol compliance assessments for the following state DOT's:

- ◆ Oregon Department of Transportation (ODOT)
- ◆ California Department of Transportation (CalTrans)
- ◆ Nevada Department of Transportation (NDOT)
- ◆ West Virginia Department of Transportation (WVDOT)
- ◆ New Hampshire Department of Transportation (NHDOT)
- ◆ Indiana Department of Transportation (INDOT)
- ◆ Ohio Department of Transportation (ODOT)
- ◆ Georgia Department of Transportation (GDOT)
- ◆ New Jersey Department of Transportation (NJDOT)

Following is a specific example of state DOT work experience. Qualifications from the aforementioned states can be found in Appendix A.

### **Oregon Department of Transportation 5311 Sub-Recipient Drug and Alcohol Compliance and Program Management**

**State:** Oregon Department of Transportation

**Contact Person:** Jean Palmateer

**Phone Number:** (503) 986-4414

**Duration of Work:** Ongoing since 2006

**Completion:** Satisfactory and on time

**Description of work:** RLS and Associates, Inc. (RLS) is currently assisting the Oregon Department of Transportation's (ODOT) Section 5311 sub-recipients in achieving compliance with the Federal Transit Administration's Drug and Alcohol Testing Regulations. RLS focused on the history of the sub-recipient drug and alcohol programs, policies, and oversight. On-site reviews were completed for all Section 5311 sub-recipients and applicable service agents. Upon completion of the on-site reviews, RLS provided a detailed report of compliance efforts to ODOT's Contract Manager. RLS provided each sub-recipient with the tools necessary to achieve compliance, along with instructions on how the system should proceed. RLS worked one-on-one with each system until regulatory compliance was achieved. RLS's project manager conducted regulatory compliance and reasonable suspicion trainings outlining the issues found during the on-site reviews. RLS provides regulatory updates and on-going technical assistance to ODOT and all subrecipients through email and toll free telephone access. RLS participated in the Oregon DOT Annual Transit

Conference, October 25-28, providing Drug and Alcohol Training sessions throughout the conference.

### ***DRUG AND ALCOHOL TRAINING EXPERIENCE***

As president of RLS, Robbie Sarles, has provided training on FTA's drug and alcohol testing regulations nationwide for fifteen years. She has covered various drug and alcohol topics for an array of audiences. She has instructed managers, supervisors, auditors, drivers, and departments of transportation on the applicable rules and regulations. Following is one example of the many ongoing trainings that Ms. Sarles has completed. More training examples can be found in Appendix A.

#### **Michigan DOT Substance Abuse Management Training**

**State:** Michigan Department of Transportation

**Contact Person:** Barbara Wickerham

**Phone Number:** (517) 335-2583

**Duration of Work:** Ongoing since 2007

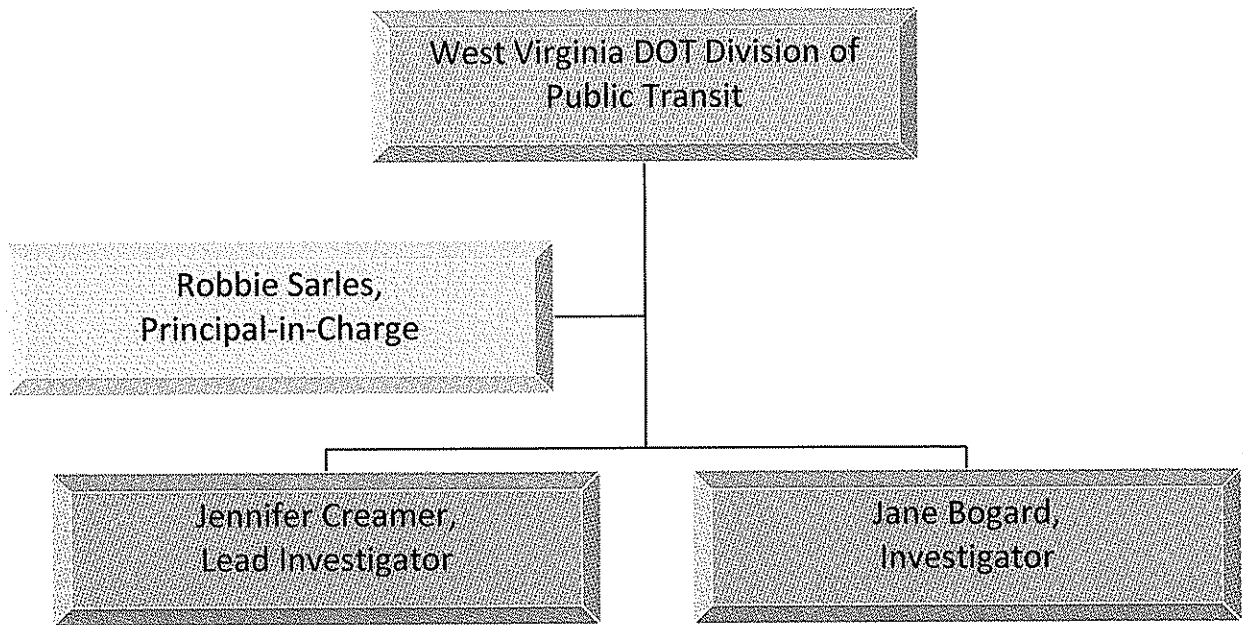
**Completion:** Satisfactory and on time

**Description of work:** RLS is under contract to the Michigan Department of Transportation to provide substance abuse management training to transportation operators throughout the state. RLS has performed two day trainings throughout the state. The trainings focus on regulatory updates, service agent oversight, policy compliance, record keeping best practices, Prescription and Over-the-Counter (Rx/OTC) medications, reasonable suspicion determinations, testing categories, and post accident procedures. RLS also compared the FMCSA and FTA regulations, outlining the similarities and differences in the regulations.

### ***1.3 STAFF QUALIFICATIONS***

RLS is a woman owned business and is a certified DBE in the State of West Virginia. Documentation of the DBE status is provided in as Appendix C. RLS proposes to complete 100% of the work in house; no sub-contractors will be used.

Following is a brief description of the three (3) key project staff and management assigned to this project. The full resumes of the key staff can be found in the Appendix B. As president and owner of RLS & Associates, Inc., Ms. Robbie Sarles will serve as principal-in-charge for the project. She will maintain control over all project staff assigned to the project, conduct training, and provide back-up and support and input into all aspects of this project. Ms. Jennifer Creamer will serve as the lead investigator responsible for project management, site visits, and progress reporting. Ms. Jane Bogard will serve as an investigator and assist with site visits and provide technical support. RLS support staff will assist with report development and distribution.



***ROBBIE SARLES, PRESIDENT***

Ms. Robbie L. Sarles is the President and founder of RLS & Associates, Inc. and has been providing technical assistance and support to the transit industry for over 30 years. During her career, she has worked in both the public and private sectors of the industry, achieving considerable expertise in the areas of anti-drug programs, mobility management, service and performance analysis, route and schedule design, human service and public transit coordination and planning, regulatory compliance on a variety of Federal regulations, including Title VI and Americans with Disabilities Act (ADA) compliance, maintenance recordkeeping, drug and alcohol testing programs, safety and risk management, innovative services, and all aspects of operations.

Ms. Sarles has provided consulting assistance to state departments of transportation, local governments, and rural, small urban, and human services transportation systems, both across the country and internationally. She is also a nationally recognized trainer, having conducted over 900 workshops on topics such as FTA drug and alcohol testing programs, Americans with Disabilities Act, human service coordination, financial management, risk management, service pricing and contract rate establishment, contracting with the private sector, service planning, vehicle selection, accident investigation, management and productivity skills, HIPAA, customer service, safety and security, and emergency response. Her training success is attributed to her ability to communicate complex concepts in a clear and understandable manner.

Ms. Sarles has also developed significant expertise in regulatory compliance issues, specializing in the assessment of complex regulations to ascertain their implications for small urban and rural transit systems. She effectively communicates the requirements in a positive manner – sharing compliance solutions that are realistic and achievable in small urban and rural environments. Since

1992, Ms. Sarles has been involved in some aspect of the FTA's Drug and Alcohol Testing Program leading to her recognition as a national expert in this area. She is a co-author of the FTA's Drug and Alcohol Testing Implementation Guidelines and developed FTA's Prescription and Over-the-Counter (Rx/OTC) Medications Toolkit. She currently oversees, or has overseen, statewide drug and alcohol testing regulatory compliance assessments for Departments of Transportation in California, Oregon, Georgia, Indiana, Nevada, Ohio, and West Virginia. She maintains a close working relationship with officials at the Federal Transit Administration and other industry experts that can provide additional insight and clarification on regulatory compliance issues. Ms. Sarles developed a model Fitness for Duty Policy that addresses prescription and over-the-counter medication use. She is also leading a project for the FTA to survey transit systems across the country concerning Prescription and Over-the-Counter (Rx/OTC) medications and their involvement in transit accidents and incidents. As part of this project Ms. Sarles has reviewed National Transit Database statistics as well as data from other transportation industries, including the FMCSA's Truck Causation Study. Once the survey and research analysis is completed, recommendations will be developed for the FTA addressing any policy changes needed as they relate to Rx/OTC issues. The Rx/OTC Toolkit will also be updated. This project is slated for completion in late 2009/early 2010.

In addition to her drug and alcohol regulation experience, Ms. Sarles has conducted numerous compliance reviews in Indiana, Illinois, Ohio, Wisconsin, Maryland, and North Carolina, and has assisted several states in establishing their compliance audit policies and procedures. Ms. Sarles is under contract to provide technical assistance to a number of clients covering a wide array of projects and topics, including the States of Indiana, Illinois, and Ohio. She is also the principal-in-charge and a lead contributor to Section 5311 regulatory compliance reviews within the State of Illinois, and she has provided technical assistance to the Departments of Transportation in Maryland, Tennessee, Virginia, West Virginia, Georgia, Oregon, California, North Carolina, and New Hampshire. Additionally, Ms. Sarles has conducted several transportation development plans, management performance reviews, needs assessments, and regulatory compliance reviews for a large number of transit systems. She is familiar with all aspects of public transportation services, including operations, management, personnel, budgets, administration, financial management, planning, recordkeeping, and service monitoring.

Ms. Sarles received a Master's of Science in Civil Engineering and a Master's of City and Regional Planning from the Ohio State University in 1981. Her Bachelor of Science was received from Western Kentucky University.

#### ***JENNIFER CREAMER, ASSOCIATE***

In her 5 years of employment with RLS & Associates, Inc. Ms. Creamer has gained extensive experience in regulatory drug and alcohol compliance assessment having conducted FTA drug and alcohol program reviews for well over 100 systems throughout the nation. Ms. Creamer has assisted several systems in gaining regulatory compliance in Indiana, West Virginia, Nevada, California, Oregon, Ohio, and Georgia by performing reviews, developing customized documentation and record keeping procedures, providing the systems with resource material,

assisting in the revisions and development of a compliant policy, and providing ongoing technical support and updates to the systems. In addition, Ms. Creamer has developed drug and alcohol training programs and developed personalized implementation programs.

In addition, Ms. Creamer also has considerable expertise in rural and specialized transit system operations, with a focus on fleet management and regulatory compliance implementation. She has designed and implemented questionnaires and need assessments for Section 5311 sub-recipients and has facilitated workshops focused towards technological changes in transit and motor vehicles. She revised, updated, and developed a uniform set of specifications for the six vehicle types used for the Ohio Department of Transportation's (ODOT's) term contract solicitation for the Section 5311 and 5310 programs. Ms. Creamer developed preventive maintenance programs for Indiana Department of Transportation (INDOT) and ODOT and conducted a preventive maintenance training workshop for the State of Ohio.

Ms. Creamer has managed on site data collection projects for the Stark Area Regional Transit Authority, People Mover, in Anchorage Alaska, and the Cleveland Clinic. She processed information for on-off counts, wait times, and passenger surveys and wrote reports accordingly. She also assisted in the development of several coordination plans in Ohio, New York, and Indiana, including, researching area demographics, interviewing key stakeholders, facilitating focus groups, and development of final plans. Ms. Creamer has also facilitated stakeholder meetings and interviewed current and potential clients of transportation systems for the development of transportation development plans in several areas.

Ms. Creamer has conducted Title VI verification of level and quality of services analysis in Dayton, Ohio and for the State of New Hampshire where she conducted surveys; reviewed demographic statistics; interviewed stakeholders; reviewed programs and policies; analyzed service area and route structures; and wrote and submitted reports to appropriate governing boards.

#### ***JANE BOGARD, ASSOCIATE***

Ms. Bogard brings over 20 years of transit experience, including 10 years of operational experience, to the RLS & Associates, Inc. team. Ms. Bogard's primary role for RLS has been serving as the rural transit circuit rider for the Ohio Department of Transportation. For over 10 years, Ms. Bogard has provided technical assistance to the state's new rural transit public transit providers as well as existing systems with new transit managers, to ensure a smooth transition and implementation of transportation services and compliance with State and Federal requirements. Ms. Bogard's close working relationship with the rural transit systems and with the ODOT Office of Transit allows many "would be" problems to be resolved before they become issues. She is able to quickly assess issues, fairly represent, and then clearly communicate those issues to the appropriate ODOT staff for a positive outcome.

Ms. Bogard has developed an extensive knowledge of the FTA Drug and Alcohol Testing Regulations and its requirements. She has assisted nine new start systems with establishing drug and alcohol testing programs to meet FTA requirements, an ODOT requirement to be approved and



in place prior to service implementation. Ms. Bogard has also conducted drug and alcohol audits as part of ODOT's Management Performance Reviews as well as pre-audits for systems undergoing Federal drug and alcohol audits. In addition, Ms. Bogard has attended numerous trainings, including Reasonable Suspicion, MIS reporting, Drug and Alcohol regulation updates, and collection site requirements. Further, she recently conducted drug and alcohol training for Indiana's Section 5311 systems as part of the Indiana RTAP training program.

In her other Circuit Rider responsibilities, Ms. Bogard assesses the public transit system, develops an action plan, identifies necessary corrective actions, develops timelines for implementation, works with the system through at least the early stages of implementation, and provides follow-up assistance and guidance, as needed. All of this is performed in close coordination and cooperation with both the transit system staff and the ODOT staff. Her regular monthly status reports allow ODOT to remain informed while allowing them to direct their limited staff resources to the appropriate areas. The Circuit Rider has also provided ODOT with an invaluable source of information on areas and topics on which to focus training and staff development.

Ms. Bogard uses her expertise with successful budgeting, policy making, employee training, and non-profit organizational structures to assist new start rural transit systems as they become strong, self-sustaining organizations. Her "hands-on" approach to educating and developing the new start systems has proven effective with a multitude of unique organizations because of her thorough familiarity with policies and procedures applicable to Ohio's rural transit programs.

With several established systems losing experienced management at the highest level, Ms. Bogard is able to provide on-site technical assistance to the new administrator. This includes review of compliance, scheduling techniques, reports, and communicating ODOT's philosophy on key issues. The on-site visits allow first hand observation of operations, which has revealed problems not found during other reviews.

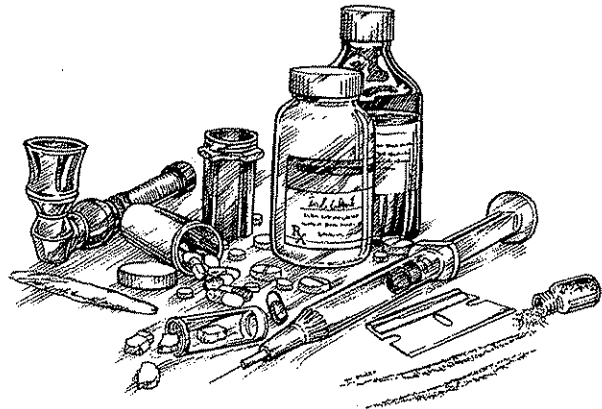
Ms. Bogard has also conducted several quality assurance reviews of Ohio's Coordination Projects. One review revealed that a project was in a serious financial situation. Ms. Bogard's review of contract rates, expenditures and additional funding sources provided the project with recommendations to improve its financial stability.

Ms. Bogard has assisted with the conduct of Management Performance Reviews and the development of SAFETEA-LU coordination plans for numerous systems and communities in Indiana and reviews and evaluations of public transit systems in North Carolina. Ms. Bogard has assisted with service evaluations in New York which included development of drivers' manifests. She recently assessed the safety program and developed a driver's safety manual for the Cleveland Clinic shuttle in Cleveland, Ohio. Finally, Ms. Bogard's development of a generic "policies and procedures" manual has been used extensively in Ohio, Indiana, and Illinois for existing and new Section 5311 systems.

## 2. PROJECT SCOPE AND OBJECTIVES

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RLS & Associates, Inc. will conduct a series of tasks as specified below. Efforts will be directed toward assisting the State of West Virginia Department of Transportation (WVDOT) transit system operators in achieving compliance with the Federal Transit Administration's (FTA's) Drug and Alcohol Regulations.



The RLS investigator(s) will perform drug and alcohol compliance reviews for each of the transit system operators. On-site reviews will be scheduled and implemented with oversight by the WVDOT Division of Public Transit (DPT) representatives. The investigator(s) will travel to each transit system location and perform a drug and alcohol program manager review, as well as a records management review. RLS will focus on the current status of the transit system drug and alcohol program, policies, and program oversight. In conjunction with the transit system operator reviews, RLS will review the service agents used to administer the program. RLS will provide a detailed report of the compliance issues to the DPT for review. In addition, RLS will provide each transit system with the tools necessary to achieve compliance, along with instructions on how each system should proceed. At the request of the transit system and/or DPT, RLS will provide electronic copies of model policies, forms, tools, guidelines, and any other materials needed for compliance.

### ***2.1 PREPARE INTRODUCTION LETTER***

RLS will create an informational letter for each of the transit system operators. The DPT will provide the names, addresses, and phone numbers of the transit system operators that are to be reviewed. RLS will submit the letter to the DPT for approval. This letter will include the following information:

1. RLS background, experience, and qualifications;
2. Description of the work that will be provided;
3. Time frame for the conduct and completion of the review;
4. Request the name, address, and phone number of applicable vendors and consortiums/third party administrators used by the transit system and inquire as to the extent of services provided by each; and

5. Request a description of each transit system's oversight process and, for the contact person responsible for oversight, his or her name, address, and phone number.  
RLS will survey all transit systems as part of the introduction letter to determine if they are receiving the quarterly *FTA Drug and Alcohol Regulations Updates*. If any systems are not receiving the updates, RLS will see that those systems are added to the mailing list as well as receive the missing issues. RLS will also survey all transit systems to ensure they are updated on all recent changes to the regulations. If those reports have not been received, RLS will ensure that each of the systems receive copies.

## ***2.2 TRANSIT SYSTEM DRUG AND ALCOHOL POLICY***

RLS is thoroughly familiar with policy reviews, the regulatory requirements, and FTA/auditor expectations. RLS has reviewed hundreds of policies and has instructed many transit system managers on how to formulate a compliant policy. RLS will regularly review the State's existing "generic" policy to ensure that it remains current with any changes to the regulations. RLS will also conduct reviews of each system's policy to ensure that the document is compliant. RLS will prepare a draft report for the DPT and each transit system that details the findings, overall status of each policy, and describes a solution to obtain compliance.

RLS will assist any new transit system/grantee with policy development, review, and implementation. RLS will utilize the "Policy Review and Communication Questionnaire" to ensure compliance with the regulations. RLS will work with each system until the policy is compliant with the FTA drug and alcohol testing regulations.

## ***2.3 NEW TRANSIT SYSTEM/GRANTEE DRUG AND ALCOHOL VENDOR SERVICES***

In the event of a new start transit system, RLS will precisely and efficiently assist in the development, review, implementation, and training of the system on the drug and alcohol program. RLS will provide the system with the tools, materials, and knowledge necessary to create and maintain a successful, compliant drug and alcohol program. RLS will assist each new start system in identifying and evaluating vendor services in the transit system's local area. RLS will not act as a TPA, nor have any financial relationship with any vendor identified and evaluated. RLS will provide each new system with personalized training and information about employee awareness.

RLS will provide the DPT with the necessary documentation required to ensure drug and alcohol regulatory compliance. RLS will be available to provide additional technical assistance to the new system throughout the contract period.

## ***2.4 TRANSIT SYSTEM OPERATOR SITE VISITS***

RLS will conduct site visits at all assigned transit system locations to ensure drug and alcohol testing regulations, policies, and procedures are being followed. RLS will work with DPT staff to schedule the transit system site reviews. Giving consideration to the geographic locations of the transit systems to ensure that the reviews are conducted as efficiently as possible, RLS will

schedule a number of transit systems for review during the same week, anticipating one transit system per day.

The FTA approved program management questionnaires will be used when interviewing transit systems, subcontractors, vendors, and consortiums/third party administrators. All questionnaires are set up in a standard format, intended to maintain uniform and well constructed information. The investigator will conduct the site visits in the least intrusive manner possible, keeping in mind that they have limited resources and limited time.



RLS will conduct the reviews as a conversation, using the questionnaires as a point of reference to ensure that all topic areas are covered. At the end of each site visit RLS will review the findings and discuss methods for correcting the areas of non-compliance.

RLS will prepare a written report of any findings and deficiencies for each of the transit systems and submit the report to the DPT. This report shall include the transit system name, the subcontractor or vendor reviewed, the name of the staff persons contacted, phone number, and date and time of the contact. Communications shall take place between the investigator and the transit system to ensure there is a complete understanding of the issues at hand. In addition, to a report, transit systems will be provided with tools and materials to be used as a guideline for continued compliance. RLS will verify appropriateness of all comments and recommendations with DPT before proceeding.

RLS will also review the transit systems' oversight of all vendors, including MRO's, SAP's, BAT's, STT's, collection sites, and laboratories. In addition, RLS will conduct reviews of the vendors on behalf of the transit system. The investigator will visit at least one collection facility and BAT for each transit system or contractor. Visits will include a "mock collection" and interview with the corresponding technician to determine compliance with 49 CFR Part 40. RLS will also review the MRO's and SAP's drug and alcohol compliance. These reviews will be conducted via telephone or in person depending on the vendor's location and the DPT approval. All interviews will be in similar formats and approved by the DPT.

RLS will provide each transit system and the DPT with a report outlining any findings and deficiencies discovered with any of the vendors. The report will include the transit system name, the subcontractor or vendor reviewed the name of the staff persons contacted, phone numbers,

and the date and time of the review. RLS will submit the report the DPT for approval. RLS will ensure transit systems work with their vendors to correct deficiencies and notify the DPT when such corrections are complete.

In a case where the transit system uses a consortium/third party administrator (C/TPA) to provide drug and alcohol testing services of any kind, RLS shall use the information obtained from the introductory letter required under Task 2.1 to determine the extent of service provided to the transit system by the C/TPA. Once the extent of services has been determined, RLS will complete an interview and questionnaire for each of them, using the C/TPA questionnaire during the interviews. RLS will prepare a written report for each interview outlining any regulatory findings with the management of the drug and alcohol testing services. Each report will outline the strengths and deficiencies of the C/TPA. The report will include all required information. RLS will follow up to ensure that the transit systems work with vendors to correct any deficiencies found and notify the DPT when such corrections are complete.

### ***2.5 MUNICIPAL SPONSOR OVERSIGHT OF THIRD PARTY OPERATORS (IF APPLICABLE)***

RLS will review the policies and procedures of all third party operators and the Municipal oversight of those operators. RLS will take the same approach for both the transit system and for the third party operators. RLS will also ensure that the municipality is overseeing the drug and alcohol testing procedures and policies of the third party operator. While on-site with the different agencies, RLS will conduct interviews with the responsible personnel, assess records management and storage, and evaluate the security of the records. RLS will provide each transit system and the DPT with a report that details strengths and deficiencies, if any, that need to be corrected. The report will include all required information and will be sent to the DPT for approval. RLS will ensure any deficiencies found are corrected and notify the DPT when such corrections are complete.

### ***2.6 DRUG & ALCOHOL CERTIFICATION CHECKLIST***

RLS will develop a detailed drug and alcohol program certification checklist that meets the requirements of 49 CFR Part 655 and Part 40, as amended. This checklist will provide the DPT with an enhanced oversight tool to indicate that each transit system's drug and alcohol testing policies are being kept up to date and implemented according to the regulations. The DPT staff will use this checklist when performing routine transit system site visits. The format of the checklist will be submitted to the DPT for approval.

### ***2.7 "800" TELEPHONE NUMBER & EMAIL ACCESS***

RLS currently provides and will continue to provide a toll free 800 number and email access for WVDOT transit systems. These services provide a quick and easy alternative for transit systems to receive answers to any questions they might have during day-to-day administration of their drug and alcohol program. This has proven to be an effective method of resolving issues before they become problems. RLS will provide a response to the caller within 24 hours. A log will be

maintained and a briefing sent to the DPT on a semi-annual basis detailing the questions and resolutions.

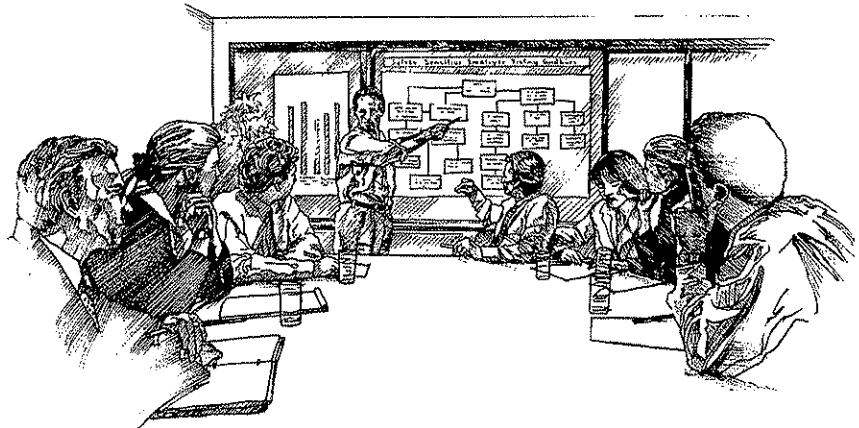
## ***2.8 DRUG & ALCOHOL COMPLIANCE AUDIT***

RLS will assist the DPT in the event of an FTA Section 5311 Drug and Alcohol Testing Program Compliance Audit or in other administrative or legal matters concerning state oversight of FTA's drug and alcohol testing regulations. RLS will perform an on-site pre-audit review of the transit systems' drug and alcohol policies and procedures. The investigator will then assist the DPT and the transit systems with resolving any noted areas of non-compliance. RLS will also assist in obtaining and providing the necessary documentation required by the FTA. RLS will assist the DPT and the transit systems with resolving any audit findings and responding to the FTA. RLS will also provide ongoing miscellaneous drug and alcohol compliance technical assistance to the DPT and to the transit systems, as needed.

## ***2.9 DRUG AND ALCOHOL TRAINING SESSIONS***

RLS will conduct up to four, half-day supervisory awareness training sessions for those employees authorized to make reasonable suspicion determinations, as requested by the DPT. The DPT and transit systems will have access to the most current and up-to-date training materials available. Trainings will be scheduled and delivered at the request of the DPT.

RLS will also conduct up to four, full-day trainings on the drug and alcohol testing regulations. Prior to the trainings, a report will be presented to the DPT which will act as an overview of the State's drug and alcohol program needs. Emphasis shall be placed on the specific areas and subjects that are unique to West



Virginia's needs. After approval, the trainer will develop the training program. RLS has the ability to quickly and comprehensively develop training for any drug and alcohol subject area and, at the request of the DPT, can deliver such trainings in a timely manner. In addition to the specific findings and regulations, training sessions will focus on the following:

1. Summarization of the significant interpretations of 49 CFR Part 655 and Part 40, as amended.
2. Identification of best practices in implementing drug and alcohol regulations used by operators, consultants, and C/TPA's.

3. Suggestions of additional actions to be taken by transit systems to reduce the cost of regulatory compliance, while maintaining a safe environment.
4. Updates and new regulation interpretations or regulation changes.
5. New system and grantee education on the drug and alcohol regulations.
6. Risks associated with Prescription and Over-the-Counter (Rx/OTC) medications.
7. Additional subjects as requested by the DPT.

RLS will be responsible for providing any and all handouts, copies of the presentations, and other training materials to the attendees unless otherwise confirmed with the DPT.

### ***2.10 UPDATE THE DRUG AND ALCOHOL TESTING RESPONSE HANDBOOK***

RLS will update the DPT the Drug and Alcohol Testing Response Handbook, as necessary and/or directed by the DPT. The Drug and Alcohol Testing Response Handbook was designed to give Drug and Alcohol Program Managers and Designated Employer Representatives a quick reference guide to assist in the day-to-day administration of a compliant drug and alcohol testing program. The information contained in this handbook is a summary of the information contained in 49 CFR Part 40 and Part 655 and is intended to be used as a supplement to, not a replacement for, FTA publications and the technical assistance tools provided on the FTA website. From a glossary of Acronyms and General Testing Procedures to Testing Categories and Medical Review Officer information, this quick reference guide which RLS assisted in the development of for the DPT, has proven to be an extremely effective tool for DAPMS, DERs, well as transit system managers and DPT staff. RLS is very familiar with all of the information contained in the Handbook, having used it successfully with West Virginia Transit Systems for the past three years. RLS has access to all current information pertaining to 49 CFR Part 40 and Part 655 to quickly and efficiently make updates and revisions. Further, in the event that the current Rx/OTC project for FTA results in legislative changes to address Rx/OTC medications, RLS will be able to quickly incorporate this information into the Handbook. RLS will be responsible for updating and reproducing up to 150 copies of the revised Handbook.

## **APPENDIX A: FIRM QUALIFICATIONS**

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### ***IMPLEMENTATION GUIDELINES FOR DRUG AND ALCOHOL REGULATIONS IN MASS TRANSIT FEDERAL TRANSIT ADMINISTRATION***

**FTA recipient:** Federal Transit Administration

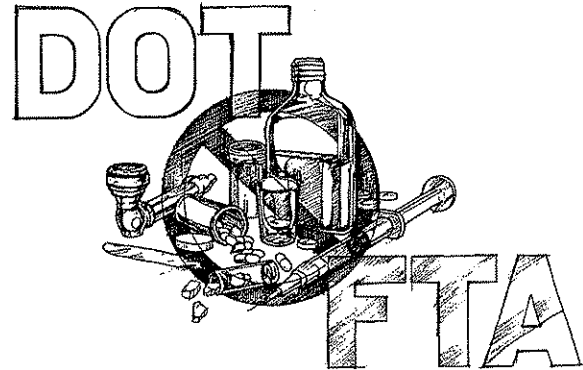
**Contact Person:** Jerry Powers

**Phone Number:** (202) 366-1080

**Duration of Work:** 12 Months

**Completion:** Satisfactory and on time

**Description of work:** Co-authored the FTA *Implementation Guidelines*. This manual was developed to provide a user-friendly summary of the FTA drug and alcohol testing regulations. The widely used manual has proven to be an effective management tool and resource for those establishing testing programs. RLS is currently under contract to update and revise the *Implementation Guidelines* to reflect regulatory changes in 49CFR Part 40 and the replacements of 49CFR Parts 653 and 654 with the new Part 655.



### ***BEST PRACTICES MANUAL FOR DRUG AND ALCOHOL REGULATIONS IN MASS TRANSIT FEDERAL TRANSIT ADMINISTRATION***

**FTA recipient:** Federal Transit Administration

**Contact Person:** Jerry Powers

**Phone Number:** (202) 366-1080

**Duration of Work:** 4 Years

**Completion:** Satisfactory and on time

**Description of work:**

Technical reviewer and editor for the FTA *Best Practices Manuals*. This manual was developed to provide a user-friendly summary of the FTA drug and alcohol testing programs and procedures which have been identified as best practices in the transit industry.

### ***FTA PRESCRIPTION AND OVER-THE COUNTER MEDICATION TOOLKIT***

**FTA recipient:** Federal Transit Administration

**Contact Person:** Jerry Powers

**Phone Number:** (202) 366-1080

**Duration of Work:** 3 Months

**Completion:** Satisfactory and on time

**Description of work:** RLS and Associates Inc. surveyed 250 transit systems throughout the nation to determine the state of the art policies and procedures in effect for ensuring safety-sensitive employee fitness for duty in relation to the use of prescription and over-the-counter medication.



RLS then compiled the information and developed model programs and training material for inclusion into the toolkit. This toolkit was distributed nationwide to over 3000 transit systems and contractors.

### ***DRUG AND ALCOHOL CONSORTIUM MANUAL***

**State:** Ohio Department of Transportation

**Contact Person:** Kim White

**Phone Number:** (614) 644-0301

**Duration of Work:** 6 Months

**Completion:** Satisfactory and on time

**Description of work:** RLS & Associates, Inc. developed a Drug and Alcohol Consortia Manual for ODOT that was printed by FTA and distributed nationally. The manual details the methodology of forming a consortium and participating in a consortium in order to meet FTA drug and alcohol regulations.

### ***WEST VIRGINIA DIVISION OF PUBLIC TRANSPORTATION DRUG AND ALCOHOL COMPLIANCE AUDITS AND TECHNICAL ASSISTANCE***

**State:** West Virginia Division of Public Transit

**Contact Person:** Cindy Fish

**Phone Number:** (304) 558-0428

**Duration of Work:** 3 Years

**Completion:** Satisfactory and on time

**Description of work:** RLS & Associates conducted one-on-one drug and alcohol compliance reviews for every 5311 transit system in the state for a total of 14 transit systems. RLS spent one to two days on site at each system to evaluate the systems testing program, and policy. After each review, RLS provided WVDPT and the system with recommendations to meet compliance standards as necessary. RLS continued to work with the system until compliance standards are achieved. Summary reports are provided to WVDPT staff throughout the compliance review. In addition to compliance reviews, RLS provides technical assistance to WVDPT and their transit systems. RLS has established a toll free telephone number for WVDPT and their transit systems.

### ***OREGON DEPARTMENT OF TRANSPORTATION 5311 SUB-RECIPIENT DRUG AND ALCOHOL COMPLIANCE AND PROGRAM MANAGEMENT***

**State:** Oregon Department of Transportation

**Contact Person:** Jean Palmateer

**Phone Number:** (503) 986-4414

**Duration of Work:** Ongoing since 2006

**Completion:** Satisfactory and on time

**Description of work:** RLS and Associates, Inc. (RLS) is currently assisting the Oregon Department of Transportation's (ODOT) Section 5311 sub-recipients in achieving compliance with the Federal Transit Administration's Drug and Alcohol Testing Regulations. RLS focused on the history of the



sub-recipient drug and alcohol programs, policies, and oversight. On-site reviews were completed for all Section 5311 sub-recipients and applicable service agents. Upon completion of the on-site reviews, RLS provided a detailed report of compliance efforts to ODOT's Contract Manager. RLS provided each sub-recipient with the tools necessary to achieve compliance, along with instructions on how the system should proceed. RLS worked one-on-one with each system until regulatory compliance was achieved. RLS's project manager conducted regulatory compliance and reasonable suspicion trainings outlining the issues found during the on-site reviews. RLS provides regulatory updates and on-going technical assistance to ODOT and all subrecipients through email and toll free telephone access.

### ***NEVADA DEPARTMENT OF TRANSPORTATION SUBSTANCE ABUSE MONITORING***

**State:** Nevada Department of Transportation

**Contact Person:** Barbara Eiche

**Phone Number:** (775) 888-7466

**Duration of Work:** Ongoing since 2008

**Completion:** Satisfactory and on time

**Description of work:** The Nevada Department of Transportation is currently under contract with RLS to review and assess the level of drug and alcohol compliance of their Section 5311 Sub-recipients. RLS conducted 9 on-site visits to determine the level of compliance with the drug and alcohol testing regulations. Investigator followed up with each system to ensure proper understanding and implementation of the program. RLS provided regulatory overview and reasonable suspicion training to all recipients.

### ***NEW HAMPSHIRE DEPARTMENT OF TRANSPORTATION DRUG AND ALCOHOL COMPLIANCE REVIEWS***

**State:** New Hampshire Department of Transportation

**Contact Person:** Shelly Winters

**Phone Number:** (603) 271-2468

**Duration of Work:** 4 years

**Completion:** Satisfactory and on time

**Description of work:** RLS conducted one-on-one drug and alcohol compliance reviews for every rural transit system in New Hampshire. RLS spends one day on site with each system to evaluate their testing program and policy. Subsequent service agent reviews were completed depending on the level of compliance and oversight the transit system demonstrated. After each review, RLS provided the New Hampshire DOT with the recommendations to meet compliance



standards as necessary. RLS continued to work with the systems providing guidance and technical support until all areas of non-compliance were addressed. RLS provided resource materials, sample forms, and a model policy to assist the systems with program development.

***CALIFORNIA DEPARTMENT OF TRANSPORTATION DRUG AND ALCOHOL COMPLIANCE AUDITS AND TECHNICAL ASSISTANCE***

**State:** California Department of Transportation

**Contact Person:** Paul Ravera

**Phone Number:** (916) 657-4657

**Duration of Work:** 2 years

**Completion:** Satisfactory and on time

**Description of work:** RLS & Associates, Inc. completed on-site drug and alcohol compliance reviews for all California Department of Transportation Section 5311 subrecipients. Investigators traveled to transit system and completed one or two day on site reviews. RLS wrote and submitted compliance reports to the State of California and then to each subrecipient. The transit systems were given 60 days to reply to the report and address all areas of non-compliance. RLS provided technical support and training to subrecipients. Over the course of two years RLS ensured that nearly 90 section 5311 subrecipients met the requirements of the on-site review.

***GEORGIA DRUG AND ALCOHOL TESTING PROGRAM TRAINING AND ON-GOING TECHNICAL ASSISTING***

**State:** Georgia Department of Transportation

**Contact Person:** Viktor Amaechi

**Phone Number:** (404) 651-9202

**Duration of Work:** Ongoing since 1996

**Completion:** Satisfactory and on time

**Description of work:** RLS assisted the GADOT in the development of their state oversight program which included a full complement of technical assistance, training, and monitoring. The state offers annual refresher training for existing system managers and provides extensive introductory training for new system managers. Additionally, reasonable suspicion training is provided annually. RLS also assisted in the development of a Request for Proposal for a Third Party Administrator to provide the testing services for systems throughout the state. RLS provides a 1-800 number for the Georgia systems to call anytime they have questions or need guidance on a compliance topic. RLS also developed a detailed checklist that was used to ascertain the compliance of each system, which then served as a baseline. Annual updates are required along with the systems' MIS reports. RLS assessed these checklists and revised the policies for over 70 transit systems.

***INDIANA DEPARTMENT OF TRANSPORTATION RURAL TECHNICAL ASSISTANCE PROGRAM***

**State:** Indiana Department of Transportation

**Contact Person:** James English

**Phone Number:** (317) 232-1483



**Duration of Work:** Ongoing since 2005

**Completion:** Satisfactory and on time

**Description of work:** The purpose of the Indiana Department of Transportation's RTAP project is to aid Indiana's non urbanized public transit systems in providing safe and effective service, making more efficient use of public and private resources, addressing drug and alcohol compliance issues, and in complying with the federal regulations and requirements. Technical assistance and training provided through the Indiana Rural Technical Assistance Program (RTAP) is also provided to aid with the drug and alcohol program to address additional concerns as they become apparent. The technical assistance is provided with the intent to establish, maintain, and improve levels of efficiency, effectiveness, and overall performance. RLS maintains the RTAP website and provides a 1-800 number for technical assistance.

## **APPENDIX B: RESUMES**

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### ***ROBBIE L. SARLES***

#### ***EDUCATION***

M.S., Transportation Engineering, The Ohio State University  
M.S., City and Regional Planning, The Ohio State University  
B.S., Geography and Psychology, Western Kentucky University

#### ***PROFESSIONAL EXPERIENCE***

For over thirty years, Ms. Sarles has worked in the public transportation field in both the public and private sectors. For much of that time, she has provided transportation management consulting service to public transit systems, paratransit systems, government agencies, and the private sector. Ms. Sarles founded RLS & Associates in 1987 and has grown the company into a widely respected consultant company which provides transportation management and operations consulting services to transportation providers and communities throughout the United States, Canada, and the Virgin Islands. This woman-owned business enterprise specializes in providing consulting assistance to small, medium, and large public transit systems, federal and state departments of transportation, government agencies, and paratransit operators.

As RLS President and Principal-in-Charge, Ms. Sarles is a nationally recognized expert and trainer in the Federal Transit Administration's (FTA's) Drug and Alcohol Regulations. Ms. Sarles also has a well respected reputation in a number of areas including regulatory compliance, management performance analysis, innovative service design and development, the Americans with Disabilities Act requirements and compliance, mobility management, training, human service coordination, safety, and all areas of operations. Ms. Sarles is also routinely called on to investigate serious compliance issues, many related to ADA, D/A, and safety, to conduct audits, and make recommendations for achieving and maintaining compliance in these areas. Ms. Sarles is the Principal-In-Charge for several State DOT technical assistance projects including those for Indiana, Illinois, and Ohio. In this capacity she oversees all of the technical and support activities for these projects and most recently assisted the Indiana and Alabama DOTs with the criteria development and funding distribution for the American Recovery and Reinvestment Act (ARRA). ARRA facility assessment procedures developed for the Indiana DOT have recently been recognized as a "best practice" by the FTA. Her specific accomplishments are detailed below.

**Drug and Alcohol Testing Programs**

Ms. Sarles is a premier expert in the country on the Federal Transit Administration's (FTA) drug and alcohol regulations. In this regard, Ms. Sarles:

- ◆ Was one of the co-authors of the *Implementation Guidelines* for the FTA regulations.
- ◆ Was responsible for the development, and is currently the editor, of the *FTA Drug and Alcohol Regulation Updates* that are published quarterly. She has reviewed and provided input to various other FTA publications on the drug and alcohol testing programs.
- ◆ Is currently leading a project for the FTA to collect and evaluate data from transit systems across the country to assess the impact prescription and over-the-counter (Rx/OTC) medications have on transit system accidents and incidents. Ms. Sarles presented the preliminary findings of this project at the FTA's 4<sup>th</sup> Annual Drug and Alcohol Conference in Nashville, TN in April 2009 and is completing this project which will result in a report containing recommendations for the monitoring of Rx/OTC medications use in the transit industry as well as an update of the FTA Rx/OTC Toolkit.
- ◆ Created a drug and alcohol testing program recordkeeping template with associated forms for the Tennessee Department of Transportation. The template was designed to capture all the necessary information and documentation necessary to effectively demonstrate compliance and withstand challenge.
- ◆ In association with National Safety Alliance (NSA), provided expert services in the development and implementation of a compliant drug and alcohol testing program that met the needs of Vitrans, the public transit system for the Virgin Islands. Ms. Sarles assessed the current state of the testing program, developed a comprehensive policy that reflected the Vitrans operating environment, developed administrative policies and procedures (including record keeping and reporting procedures), conducted employee and supervisor training, and evaluated current service vendors including EAP and SAP services. RLS also established an ongoing monitoring program designed to maintain program compliance, evaluate vendors, and keep the program up-to-date.
- ◆ Was the project manager for an FTA Substance Management and Program Compliance project for the Wisconsin Department of Transportation, including the reviewing of WISDOT's sub-recipient oversight policies for Section 5311 systems and providing technical assistance in setting compliant policies and procedures. Ms. Sarles also provided on-site drug and alcohol management and Reasonable Suspicion training for the affected Section 5311 systems, as well as helping WISDOT set up a compliance monitoring program.

- ◆ Was the project manager for a thorough review of the MTA's drug and alcohol testing program. Following a series of high profile accidents where illegal and prescription drugs were found to be factors. The review included all aspects of the program including, policy, FTA Drug & Alcohol Audit Report, labor contract, disciplinary code, testing protocols—procedures, accident investigation reports, and other materials as appropriate. Ms. Sarles also conducted interviews with the Drug and Alcohol Program Manager, MTA staff, MRO/SAP and service agents.
- ◆ Was the project lead to assist the Federal Transit Administration and the Volpe National Transportation System Center in the development and editing of the Drug and Alcohol Testing Program Best Practices Manual. This manual contains the best drug and alcohol program practices at transit systems throughout the country including contractors and service agents (collection sites, MRO's, SAP's, TPA's). Ms. Sarles identified problem areas and practices that were in violation of FTA regulations and were inconsistent with standard industry practice. Also identified were drug and alcohol policies and procedures that resulted in unnecessary risk. Subsequently, she recommended modifications to the existing policy, developed new policies and procedures for prescription and over-the-counter medications, enhanced the fitness for duty program and recommended major changes to the SAP referral treatment, return-to-duty and follow-up programs. The major emphasis of the work effort was to change the focus from a detox program to a rehabilitation program.
- ◆ Developed a policy compliance checklist and provided policy reviews for over 280 transit systems. In addition, Ms. Sarles assisted Departments of Transportation in Indiana, Illinois, Georgia, Ohio, West Virginia, and North Carolina with establishing a compliance review process and corresponding checklists for their small urban and rural transit systems. Technical assistance was also provided to the States of Tennessee and Wyoming in the formation of their respective statewide testing consortiums.
- ◆ Is the project manager and lead consultant for the implementation of drug and alcohol testing programs in Georgia. In this role, substance abuse management and reasonable suspicion training courses were provided for over 70 transit systems. In addition, a consortium was developed for procurement of testing services, individual system policies were reviewed, and a detailed compliance checklist was developed for each system. An on-going monitoring program was developed.
- ◆ Conducted substance abuse management and reasonable suspicion training courses for over 40 states reaching several hundred transit systems and thousands of transit employees. The substance abuse management course was included as part of the core curriculum of the Transportation Safety Institute.
- ◆ Co-authored the *Drug and Alcohol Testing Consortium Manual* that was printed and distributed nationwide by FTA. This manual was designed to aid transit managers with their

efforts to form or join an existing testing consortium. Practical examples are provided and the advantages and disadvantages of various models are distributed.

- ◆ Developed substance abuse awareness educational materials designed specifically for the use of small urban and rural transit managers that became an award-winning program created by the Florida Department of Transportation. The program included detailed lesson plans, instructor manuals, employee handbooks, audiovisual aids, and a full complement of collateral materials.
- ◆ Under subcontract to Battelle, Columbus Division, assisted in the development of a Statewide Drug-Free Transit Demonstration Programs for Ohio, Pennsylvania, and Virginia. She was a primary contributor to the development of a practical "How to" manuals that define step-by-step approaches for formulating and administering the anti-drug programs statewide. Ms. Sarles also took an active role in the training of system managers and front-line supervisors. She was also responsible for providing on-going technical assistance to the small urban and rural transit properties throughout the State on an as-needed basis.

### **Technical Assistance**

Ms. Sarles is the principal-in-charge and/or project director for several state technical assistance contracts, such as:

- ◆ Ms. Sarles is currently the project director for the Indiana Rural Transit Assistance Program. RLS provides staff support and technical assistance in training, FTA D/A compliance and implementation, and compliance reviews. In this capacity, RLS has designed a system oversight and compliance review process that provides the state with an assessment of the areas and extent of non-compliance of each of the Section 5311 systems. The effort was also designed to identify corrective actions at the local levels and to identify activities, training, or additional technical assistance efforts that could be made by the state. The effort included the development of a compliance checklist, field guide, and a two-volume manual that summarizes the Federal and State regulatory requirements for the Section 5311 systems. The two volumes are available on disk and are hyperlinked to allow easy reference between the regulatory summary and the source regulations. Compliance reviews have been conducted on each of the Section 5311 public transit systems in the state. In addition, Ms. Sarles was the Principal-in-Charge of the Indiana Statewide Coordination Plan project, where coordination plans to meet FTA requirements were conducted for every county and/or region in Indiana to comprise the Statewide Plan.
- ◆ Ms. Sarles was the project director for the Section 5311 compliance review project for the Illinois Department of Transportation (IDOT). This project included a management performance review of IDOT's Office of Public Transportation that resulted in recommendations for improved project management, oversight, and administration. The project also included compliance reviews on all Section 5311 transit systems within the



state. Ms. Sarles is currently the Principal-in-Charge of the project to provide staff support for the Illinois Department of Transportation of Transit for the continued conduct of regulatory compliance reviews of Illinois Section 5311 grantees and operators.

- ◆ Ms. Sarles has served as a primary contributor for the Ohio Department of Transportation's (ODOT's) Ohio Technical Assistance Project (OTAP) since the inception of this program in 1987. She has supported the ODOT Office of Transit staff in a number of areas, including:
  - Providing technical and staff support for the distribution of the American Recovery and Reinvestment Act of 2009 (ARRA) funding;
  - Assisting the ODOT Office of Transit staff with the development of the Public Transit Index (PTI) System. This system utilizes a variety of indicators to rate the level of service and performance of Ohio rural and urban transit systems. This project involved researching existing performance and service quantity/quality measurement systems used in the field of public transportation; selecting the appropriate indicators/measures for the Ohio PTI system which took advantage of existing data provided by transit systems to ODOT; collecting a significant amount of operating data from systems; and determining appropriate value ranges for each PTI indicator.
  - Providing oversight, direction, and support to the Ohio Circuit Rider in the provision of technical assistance to new start rural transit systems to ensure a smooth start-up and/or transition and implementation of transportation service and compliance with State and Federal requirements and regulations, including the development of the ODOT White Paper on Contracting Services and methods for developing fully allocated rate structures.
  - Providing oversight for Coordinated Human Service-Public Transportation Plans for Seneca County, Fayette County, Holmes-Wayne-Tuscarawas Transportation System, Morrow County, Pike County, City of Lancaster, City of Sidney/Shelby County, and outreach efforts conducted for Belmont County.
  - Providing on-going technical assistance and training to ODOT staff and transit systems across the state in the implementation and compliance of the Federal Transit Administration's (FTA's) Drug and Alcohol Testing Regulations. In this capacity Ms. Sarles provides annual Reasonable Suspicion Training and Substance Abuse Training.
  - Evaluating and providing input and recommendations to ODOT's transit assistance program criteria, evaluation methodologies, and funding distribution mechanisms, including the Ohio Elderly and Disabled Transit Fare Assistance Program, the Ohio Public Transportation Grant Program, the Specialized Transportation Program

(Section 5310), the Section 5311 Program, the Section 5311(f) Needs Assessment, the Ohio Rideshare Program, and the Ohio Coordination Program.

- Providing ongoing technical assistance regarding regulatory compliance issues and ODOT's roles, responsibilities, and procedures for performing State management oversight. Areas of oversight include Section 5311 grants management, FTA drug and alcohol regulations, charter and private sector issues, ADA complimentary paratransit and equivalent service oversight, and Section 5309 funding program subrecipient oversight.
- Conducting dozens of management performance reviews including reviews of seven local rideshare agencies and reviews of dozens of Section 5311 systems and coordination projects.
- Conducting service evaluations and developing transportation development plans for numerous systems including Seneca County, Huron County, Pike County, Sandusky County, Tuscarawas County, Wilmington, Lancaster, Marion, Laketrans, Lima, Zanesville, Monroe County, Clermont County, and Chillicothe.
- Conducting operation planning and start-up assistance for the Mid-Ohio Transit Authority, Steubenville Regional Transit Authority, Scioto County, and Medina County.
- Authoring the "White Paper on Coordinating Transportation Services" which led to the nationally distributed and recognized "Handbook for Coordinating Transportation Services."
- Co-authoring the original and revised versions of the "Handbook for Coordinating Transportation Service" and "Guide for the Implementation of Coordinated Transportation Systems."
- Establishing National Transit Database recordkeeping procedures for the Cities of Newark and Norwood.
- Co-authoring the "Drug and Alcohol Testing Consortium Manual."
- Serving as project director for the re-design and update of the "Rural Transit Manual."
- Providing on-going technical assistance and feasibility studies for several coordination projects in Scioto, Licking, Erie, Clermont, Ashtabula, and Muskingum counties and the city of Ashtabula, and other coordinated systems throughout the state.

- Assisting in the development of various marketing and public relations materials including the development of a series of brochures: Public Transportation Guide, Accessing Ohio, and Rideshare Guide. Also provided oversight and input into the development of the Public Transportation Video and the Status of Transit annual reports; and oversaw the development of the Office of Transit's quarterly newsletter, *Ohio Transfer*.
- Conducting training and workshops on a wide variety of topics including the Americans with Disabilities Act, MAPS/PASS training, FTA drug and alcohol testing regulations and reasonable suspicion, rideshare, contract rate establishment, cost allocation, financial management guidelines, contracting with the private sector productivity and management skills, vehicle selection, establishment of 'fair' fares, coordination, service planning, contracts, governing board members, and user-side subsidy.
- Assisting ODOT staff in developing system oversight techniques for drug and alcohol testing program compliance.
- Directly supervising transit development plans and service analyses for the City of Springfield Transit System, Stark Area Regional Transit Authority, Pike County, Carroll County, City of Lancaster, and Fayette County.
- Directing a fiscal responsibility analysis for the Allen County Regional Transit Authority, risk management assessments for EORTA/OVRTA and the City of Parma.
- Directed the review and enhancement of the Office of Transit's TGIS grants management system.
- Coordinating the development of a compliance assessment methodology to be used to ensure that ODOT and grantees in urbanized areas that have been awarded Section 5309 funding are fully in compliance with all applicable Federal laws, statutes, and regulations concerning the expenditure of Federal funds.
- Conducting and/or providing oversight for Ohio Works First Plans in Lake, Licking, and Union Counties.
- Project manager on a project to develop an action plan for improved community transportation coordination in Columbus, Ohio. The work effort was guided by the Columbus Area Transportation Coordination Program and included an inventory of service providers and the preparation of a detailed implementation plan.
- Primary contributor to the coordination feasibility study for the human service transportation providers in Butler County, Ohio.

- Developing a system design and implementation strategy for a coordinated public transportation system in Sandusky, Ohio.

### **Other State DOT Experience**

Ms. Sarles has worked with several other DOTs in many different areas, and has provided training or other types of assistance in all 50 states, including:

- ◆ Ms. Sarles served as the project director and primary contributor for several Transportation Development Plans (TDPs), Management Performance Reviews (MPRs), and special projects for the North Carolina Department of Transportation. TDPs have been performed for Apple Country Transportation System and Lincoln, Hoke, Anson, and Polk counties. Special projects included an assessment of barriers to Head Start participation in coordinated community transportation programs. This project received national attention and was used as input into national and state policy-making. Ms. Sarles also served in a supervisory capacity on twelve other community transportation-planning efforts for the North Carolina DOT.
- ◆ Ms. Sarles was the project director for the technical assistance provided to the Tennessee Department of Transportation under subcontract to CGA Consulting Services, Inc. As part of this project, Ms. Sarles has prepared innovative service plans, conducted training, and assisted in the development of a drug and alcohol testing consortium, including the procurement of vendors. She also developed a recordkeeping template with associated forms to assist the transit systems with their establishment of a comprehensive, self-sustaining recordkeeping system that meets the regulatory requirements.
- ◆ Ms. Sarles has provided technical assistance to the Wisconsin Department of Transportation for many years. Work efforts have included the performance of management performance reviews, service evaluations, and program development of review procedures. These efforts have been conducted for rural, small urban, and medium-sized fixed-route services, route deviation, demand responsive, and shared-ride taxis. Most recently, Ms. Sarles has provided input and oversight to the development of the Wisconsin Statewide Coordination Plan under contract to Nelson/Nygaard.
- ◆ Ms. Sarles has developed a proven methodology for the conduct of successful, grantee-friendly performance reviews that has been used in many locations and environments. The process involves a low-key, non-threatening approach that includes initial data collection for desktop review followed by an on-site visit. Field guides and checklists have been developed that when used as guides ensure the comprehensiveness of the review.

### **Coordination**

Ms. Sarles has been a national leader in the field of transportation coordination, including:



- ◆ The development of the "White Paper for Coordinating Transportation Services" which was the forerunner to the nationally recognized ODOT Coordination Handbooks.
- ◆ Project director for the development of the initial and revised versions of "A Handbook for Coordinating Transportation Services" for the Ohio Department of Transportation. This two-volume publication has received national acclaim for its user-friendly format, pragmatic approach, and comprehensiveness, has been used extensively by coordinated systems throughout the country, and has served as a model for other state coordination technical assistance projects.
- ◆ The primary contributor to numerous coordination feasibility projects for Ohio human service agencies. She facilitated the implementation of coordinated programs by providing on-going oversight, technical guidance, detailed implementation plans, cost allocation, pricing, and system funding strategies. Ms. Sarles has also developed various manuals, white papers, and procedural outlines to aid systems throughout their coordination efforts.
- ◆ Ms. Sarles was the project director and a primary contributor to the Head Start Coordination feasibility study conducted for the North Carolina Department of Transportation. This project, which was jointly funded by the U.S. Department of Health and Human Services, identified and assessed the nature of institutional, organization, and operational barriers to the Head Start program participation in coordinated community transportation programs. The project included operational analysis and a detailed cost allocation analysis that resulted in recommendations for institutional changes and a decision tree with associated cost model for use by local Head Start agencies.

### Training

Ms. Sarles is a renowned trainer and facilitator, having conducted training in all 50 states and the Virgin Islands. Her specific training experience includes:

- ◆ One of two primary instructors for the presentation of the AASHTO Financial Management Guidelines course covering strategic planning, performance evaluation, budgeting, revenues, costs, reporting, and recordkeeping.
- ◆ Conducting over 200 training workshops for over 4,000 on drug and alcohol testing program compliance and reasonable suspicion for a number of clients including the Transportation Safety Institute, transit associations, transit systems, local governments, and state Departments of Transportation. Her 2 and 3 day training courses on Substance Abuse Management have been included in the core curriculum offered by the Transportation Safety Institute. Ms. Sarles also developed an award-winning substance abuse awareness training program for the Florida Department of Transportation.

- ◆ Co-instructor for a workshop on the Fundamentals of Contracting.
- ◆ Conduct of a two-day Risk Management training program, emphasizing the "Risk Management Process;" how to use the process to control risks and therefore costs; necessary safety procedures; how to determine insurance needs and purchase coverage; resolving perceived conflicts between ADA and risk management; and developing their own "Risk Management Plan."
- ◆ Instructor for the PennTRAIN sponsored PASS, or Productivity and Supervisory Skills, course to improve the effectiveness and efficiency of transit supervisors so that supervisors, employees, passengers, and the system as a whole benefit from increased productivity. The Management and Productivity Skills (MAPS) training was also offered. This course is designed to work on the human element of management and how it reacts to the organizational environment. The MAPS and PASS classes were also presented to transit systems in Maryland and Ohio.
- ◆ Conducting a series of one-day training courses on the Americans with Disabilities Act regulatory requirements on social service agency transportation programs, coordinated transportation programs, and demand responsive public transit systems.
- ◆ Developing and/or conducting training on a number of additional topics including, but not limited to, Human Service Coordination; Americans with Disabilities Act - Complementary Paratransit Service Requirements; Rural/Specialized Transit Manager Skills for Survival; Service Planning; Pricing Paratransit Service; Role of the Governing Board; Innovative Services and Market-Based Planning; Planning Service Routes; Risk Management; Supervisory Skills for Transit Supervisors; Management Skills for Transit Managers; Employee Substance Abuse Awareness; Supervisor Reasonable Suspicion; Drug and Alcohol Testing Program Management; Many Faces of Rideshare; Cost Allocation and Contract Rate Structures; and Financial Management Guidelines;

### **Americans with Disabilities Act (ADA)**

Under contract with Battelle, Ms. Sarles reviewed Complementary Paratransit Plans for FTA's Region V. She was responsible for the compliance reviews of 63 transit systems. The purpose of the reviews was to ascertain compliance with the Americans with Disabilities Act requirements. Ms. Sarles has also provided assistance to several transit systems to assist them in reaching compliance on plans including the Utah Transit Authority and Milwaukee County Paratransit Services. Additionally, Ms. Sarles:

- ◆ Authored a "white paper" on the impact of the ADA on public/private vanpool services and conducted a series of workshops on the impact of these regulations on social service agency transportation, coordinated transportation services, and demand responsive public transit service;

- ◆ Provided technical assistance to the Lehigh and Northampton Transportation Authority (LANTA) in Allentown, Pennsylvania and to the METRO Plus paratransit division on methods for reaching compliance with the Response Time requirements of the Americans with Disabilities Act (ADA) of 1990;
- ◆ Was the primary contributor to the service design and implementation strategy for the User-Choice complementary paratransit operation of the Indianapolis Public Transit Corporation; and
- ◆ Assisted in the design modifications and establishment of an eligibility determination process for the Muncie Public Transportation Corporation Silver Streak paratransit service.

### **Long-Range Planning**

Although a talented and experienced trainer, Ms. Sarles is an accomplished transit planner. Her experience in this regard includes:

- ◆ Serving as project director and the primary contributor to the La Crosse, Wisconsin Long-Range Plan. This project included an inventory of existing services, needs assessment;
- ◆ Assisting in the development of the transit element of the Erie County Long-Range Plan, including the development of a transportation network with associated capital and operating needs projections.
- ◆ Serving with the CGA Consulting project team that conducted the transit components of AccessOhio Phase II. Ms. Sarles explored the need for developing public transportation services in the forty Ohio counties currently without a public transit network by conducting surveys and using ridership estimates.
- ◆ Assisted in determining the economic and social impacts of public transportation in Tennessee, developing a database of information on the current level of transportation services provided as well as to provide an assessment of the benefits of transportation.

### **Transit Operations**

Ms. Sarles has a well respected reputation for providing operational assistance, especially in the field of new start-ups. Ms. Sarles:

- ◆ Has provided technical assistance to several new start-up transit systems in Ohio and currently manages the Ohio Circuit Rider which works directly with new systems and new directors of existing systems.

- ◆ Developed a system design and implementation strategy for a new coordinated public transportation system in Sandusky, Ohio.
- ◆ Provided technical assistance to a private operator that was initiating a 30-vehicle line haul public transit service in San Juan, Puerto Rico. Assisted with the development of standard operating procedures, runcuts, vehicle blocks, and relief schedules. In addition, assistance was provided with the system start-up and resolution of several administrative and operational difficulties during the initial stages of the operation.
- ◆ Under subcontract to Multisystems, Inc., assisted in the planning, design, and implementation of the Lakeview Terrace Transportation System. This project, funded under an UMTA Entrepreneurial Grant, was designed to link an under-utilized labor pool located in an inner-city subsidized housing complex with the suburban job market. The transportation component of the project included a detailed management by objective strategy and all collateral materials necessary to begin operation of the service.

### **Facility Planning**

Ms. Sarles experience in facility planning includes:

- ◆ Under subcontract to Coke Harpham, Inc. assisted in the performance of a transit maintenance facility needs assessment for the Warren County Transportation System in Ohio and a similar facility feasibility study for the Bloomington Public Transit Corporation in Indiana.

### **Manager, Support Services**

**June 1986 to September 1987**

### **Transportation Management Services, Inc., a Division of Multisystems**

Ms. Sarles was responsible for supervising and assisting TMSI managers in the performance of specific systems analysis, including maintenance, scheduling, marketing, customer relations, service development, operations analysis, training, accounting, and Section 15 reporting. She also served as project director on operations related consulting projects.

Completed projects included:

- ◆ Assisted in the initiation of the Specialized Transportation Assistance for Richmond (STAR) service for the Greater Richmond Transit Company.
- ◆ Initiation, operations, and supervision of all aspects of the Tysons Shuttle (Fairfax County, Virginia) commuter service, Reston Internal Bus Service, Arlington Community Services Board specialized transportation program, Rocky Mount Transit System, and special needs transportation for the Northern Virginia Training Center.





- ◆ Assisted in the completion of an evaluation of the Indianapolis Public Transportation Corporation's OPEN DOOR service for handicapped residents of Marion County including the preparation of an alternatives analysis and development of recommendations.
- ◆ Developed an operations plan for the expansion of the Fairfax County (VA) specialized transportation service from 53 vehicles to 120 vehicles.
- ◆ Assisted in the completion of the Wisconsin statewide transit maintenance study where the maintenance programs of all 19-transit systems in the state were evaluated.
- ◆ Assisted in an operational analysis of the O-Bahn Busway in Adelaide, South Australia.
- ◆ Assisted in the design of a wage and work conditions plan for a new consolidated transportation system in Waterloo, Iowa.
- ◆ Assisted in the design of a system map and customer information aids for the Montgomery County (MD) Ride-On System.
- ◆ Conducted a system management study of the City Bus Service of Springfield, Ohio; Transit Development Plans for the Janesville Transit System, Beloit Transit System, La Crosse Municipal Transit Utility and the Nash and Edgecombe Counties coordinated transportation system, and management performance review for the Polk County Transportation Authority in Tryon, NC and the Anson County Transportation Authority in Wadesboro, NC.
- ◆ Participated in a project to design, develop, and implement a coordinated transportation system for Lehigh and Northampton Counties in Pennsylvania.

**Director, East Coast Consulting Services  
National Transit Services, Inc.**

**June 1983 - May 1986**

During her tenure at National Transit Services, Inc., Ms. Sarles served as the Project Director of all East Coast consulting efforts. Projects included:

- ◆ Preparation of Transit Development Programs, service designs, and/or alternatives analyses for Beloit, WI; Chippewa Falls, WI; York, PA; Nashua, NH; St. Joseph, MO; Hammond, IN; Eau Claire, WI; Bedford, IN; and Keene, NH.
- ◆ Development of Section 15 financial and non-financial reporting procedures for Bloomington, IN; Nashua, NH; St. Joseph, MO; and Las Cruces, NM.
- ◆ Preparation of needs assessments and the development of specifications for microcomputer based management information systems for the Harrisonburg, VA Public Transportation Department and the Fairfax County, VA Human Services Transportation



Branch.

- ◆ Assistance in the preparation of grants for the maintenance facility, shelters, and support vehicles for York, PA.
- ◆ Preparation of marketing plans including the design and implementation of complete marketing programs for York, PA; Bloomington, IN; Jacksonville, FL; Rome, GA; Petersburg, VA; St. Joseph, MO; Keene, NH; and Las Cruces, NM.
- ◆ Performance of fare analyses for York, PA and Nashua, NH .
- ◆ Preparation of schedules and detailed runcuts for York, PA; Beloit, WI; Nashua, NH; and Fairfax County, VA.
- ◆ Direction of start-up of new public transit services in Nashua, NH; Tri-County Industries, NC; Fairfax County, VA; and Las Cruces, NM.
- ◆ Provision of on-going management supervision to Bloomington, IN; York, PA; Tri-County Industries, NC; Nashua, NH; and Fairfax, VA.
- ◆ Developed specifications for heavy-duty public transit vehicles, supervised on-line rehabilitation, and new start bus inspections.

**Senior Service Analyst  
Central Ohio Transit Authority (COTA); Columbus, OH**

**December 1980 - May 1983**

At COTA, Ms. Sarles initiated and supervised a series of comprehensive transit corridor studies to determine transit demand, route productivity and service developments. Specific activities included:

- ◆ Involvement in all aspects of service changes from conceptualization to implementation
- ◆ New service planning
- ◆ Service modification and streamlining
- ◆ Productivity analysis
- ◆ Travel market segmentation
- ◆ Transit demand modeling
- ◆ Citizen input and task force administration

- ◆ Coordination with local jurisdictions, commercial centers, agencies, etc.
- ◆ Park-and-ride, shelter and bus stop site location
- ◆ Promotion, media, and public relations
- ◆ Management of research personnel and projects

#### ***SELECTED PUBLICATIONS AND TECHNICAL REPORTS***

"Implementation Guidelines for Drug and Alcohol Regulations in Mass Transit," Federal Transit Administration, April 1994.

"A Handbook for Coordinating Transportation Services," Ohio Department of Transportation, October 1991, revised October 1997.

"Drug and Alcohol Consortium Manual," Federal Transit Administration, December 1996.  
 Bus Safety Manual for Wisconsin Urban Transit System, Wisconsin Department of Transportation, February 1999.

"Public Transportation Substance Abuse Awareness Program: Employee Manual," Florida Department of Transportation, May 1991.

"Public Transportation Substance Abuse Awareness Program: Instructor's Manual," Florida Department of Transportation, May 1991

#### ***EDUCATIONAL AFFILIATIONS***

Instructor, Transportation Safety Institute  
 Adjunct Professor, Wright State University  
 Instructor, AASHTO Financial Management Curriculum

## **JENNIFER CREAMER**

### **EDUCATION**

Associate of Mechanical Engineering, Sinclair Community College, Dayton, OH  
Bachelors of Education and Human Resources, Wright State University, Dayton, OH

### **PROFESSIONAL EXPERIENCE**

**Associate**  
**RLS and Associates, Inc.**  
**Dayton, OH**

**August 2005 - Present**

Ms. Creamer's expertise is in rural and specialized transit system operations, with a primary focus in fleet management and regulatory compliance implementation. Her responsibilities and achievements include:

- ◆ Conducting over 100 drug and alcohol program compliance assessments throughout the nation.
- ◆ Serving as Project Manager for the 2008 Nevada Department of Transportation drug and alcohol compliance monitoring and technical assistance contract. Ms. Creamer completed onsite drug and alcohol compliance reviews of all Section 5311 sub-recipients and applicable service agents. Ms. Creamer also assisted sub-recipients with gaining FTA compliance, supplied supplemental resource materials and model policies as needed, planned and facilitated drug and alcohol and passenger assistance training for all Nevada transit grant sub-recipients.
- ◆ Serving as lead investigator for Section 5311 drug and alcohol compliance reviews in the state of California and working closely with CalTrans Staff to perform on-site drug and alcohol compliance reviews for all Section 5311 sub-recipients throughout the state. Specific emphasis was placed on Drug and Alcohol Policy compliance; implementation of 49 CFR Part 655; implementation of 49 CFR Part 40; post accident, reasonable suspicion, pre-employment, return-to-duty, and follow-up testing; record keeping; contractor oversight; and service agent oversight.
- ◆ Performing mock collections of urine collectors and breath alcohol technicians for each of the transit systems, writing reports according to the areas of incompliance. She also and assisted each transit system in reaching compliance by providing technical support, policy guidance, and continuous communication.
- ◆ Providing telephone drug and alcohol technical assistance for sub-recipients throughout the country. After completing an initial review of the drug and alcohol program, Ms. Creamer:

- Created an outline of the areas of non-compliance;
- Developed a needs assessment of the entire program including policy revisions;
- Provided each system with customized documentation and record keeping procedures, including resource material and model policies; and
- Communicated with the transit systems via email and phone conversation to assist in the implementation of the program.

Conducting FTA Section 5311 drug and alcohol compliance reviews in Oregon, Ohio, Indiana, West Virginia, and Georgia. Separate reports outlining the deficiencies were written and submitted to each of the State DOTs.

- ◆ Interviewing medical facilities' and collection sites' management personnel and technicians to assess their compliance with Federal drug and alcohol testing regulations (49 CFR Part 40 and 49 CFR Part 655).
- ◆ Developing Safety, Security, and Emergency Preparedness Plans for Section 5311 Sub-recipients in New Hampshire and created the training workshop and informational materials. Ms. Creamer then collected data from all of the sub-recipients and input the appropriate information into the plan, as to create a compliant, up-to-date, effective plan for each system.
- ◆ Contributing to the 2008 Anchorage Public Transportation People Mover route restructure analysis, conducting a ridership satisfaction survey and gathering transfer and origin/destination information.
- ◆ For the State of New Hampshire, developing Title VI Verification of Level and Quality of Service Plans for all New Hampshire Department of Transportation Section 5311 Systems.
- ◆ Conducting Title VI Baseline and Trip Characteristic Studies in 2007 and 2008 for the Greater Dayton Regional Transit Authority. Ms. Creamer documented trip characteristics and rider demographics data by collecting racial and ethnic data within the service area through a ridership survey. Data was analyzed to determine whether transit services were equally available to minority, low income, and Limited English Proficiency (LEP) populations.
- ◆ As Project Manager, leading the creation, design, and publication of the Indiana Public Transportation Annual Reports for 2005, 2006, and 2007.
- ◆ Contributing to the JAUNT Transportation Development Plan in Charlottesville, Virginia. Ms. Creamer scheduled and conducted interviews with existing transportation providers and

human service agencies, and she conducted an operational assessment of existing services to identify and enhance business opportunities.

- ◆ Serving as a major contributor to the New York Metropolitan Transportation Council Coordinated Public Transit Human Services Plan, conducting key stakeholder interviews, facilitated focus group meetings, and researching existing services for the Lower Hudson Valley region. She also notified current and potential grant recipients of JARC and New Freedom funding opportunities.
- ◆ Assessing Illinois transportation districts for potential operating systems and operating assistance needs and issuing reports based on the collected data.
- ◆ Interviewing and researching New Jersey, Broward County, and SMART transit to obtain information on their community based transit services.
- ◆ Assisting with the 2005 and 2008 Stark Area Regional Transit Authority (SARTA) passenger surveys and ridership counts. Ms. Creamer managed the data collection and survey through the use of 25 temporary employees.
- ◆ Managing the data collection and passenger survey efforts for the Cleveland Clinic. Ms. Creamer trained and supervised six temporary employees and wrote follow-up reports.
- ◆ Developing and updating the Pike County Community Action Council's service maintenance guide and schedule of costs to determine the agency's most cost effective maintenance option. As part of this project, she interviewed local maintenance providers assessing technician qualifications, affordability, location, and readiness to perform various types of maintenance.
- ◆ Researching and developing demographic and transit propensity reports for several Ohio Counties.
- ◆ For the Ohio Department of Transportation (ODOT):
  - Conducting Section 5310 maintenance compliance reviews throughout the state of Ohio. During the process, the fleet maintenance manager was reviewed for understanding of the program. All vehicles in the fleet were visually inspected for signs of maintenance neglect and safety components (i.e. fire extinguisher, bio hazard kit, first aid kit, etc.) In addition, the records and vehicle history reports were reviewed for content and completeness. The reports were submitted to ODOT for follow up.
  - Facilitating workshops focused towards technological changes in transit and motor vehicles. Ms. Creamer completed need assessments outlining the major mechanical problems with vehicles through out the state.

- Inspecting vehicles purchased through the state procurement to ensure they met all Buy-America requirements. Ms. Creamer completed a 150-point vehicle inspection of each vehicle prior to delivery, processed the information, and submitted it to ODOT for their information and action.
- Conducting plant inspections of each vehicle vendor awarded contracts as part of ODOT's term contract procurement for the Section 5310 program. Examined the vehicle at three (3) different steps of the building process and ensured that the vehicles were built according to ODOT's defined specifications.
- Creating the 2006-2007 Ohio Department of Transportation Vehicle Catalog and Selection Guide.
- Performing training at the 2007 Ohio Department of Transportation Preventative Maintenance Annual Conference. Spoke specifically on the requirements of a preventive maintenance program, warranties, cost reduction strategies, and the expected life of vehicles.
- Developing an updated brochure advertising ODOT's Public and Human Service Transit Certificate Program. The tri-fold brochure was provided to current and potential students at Wright State University and Kent State University.

**Intern**  
**Ohio Department of Transportation**  
**Columbus, OH**

**June 2005 – August 2005**

As part of ODOT's Public and Human Service Transit Certificate Program and Internship, Ms. Creamer:

- ◆ Revised, updated, and developed a uniform set of specifications for six (6) vehicle types used under the section 5311 and 5310 procurement for the State of Ohio, including the Modified Minivan; Converted Van; Light Transit Narrow Body Vehicle; Light Transit Wide Body (Steel Cage); Light Transit Wide Body (Fiberglass Body); and Light Transit Wide Body (Fiberglass Steel Cage).
- ◆ Reviewed California and Florida's vehicle procurement specifications.
- ◆ Conducted on site maintenance compliance reviews for section 5311 and 5310 throughout Ohio.
- ◆ Created and administered questionnaires to the rural transit agencies in Ohio to pin point the specific issues facing the transit vehicles. Made changes to the specifications based on this

information to make the vehicles safer, more comfortable for the passenger, easier to operate, and a more comprehensive preventative maintenance system.

- ◆ Conducted a complete review of the current practices for maintenance facilities that affect transit agencies that are funded through Sections 5311 and 5310.
- ◆ Facilitated focus groups to determine specific mechanical problems facing transit vehicles.
- ◆ Completed on site interviews with maintenance facilities and reviewed record keeping methodology in Ohio.
- ◆ Prepared reports on findings from the research and examination of the current vehicle maintenance standards. Including mechanical problems and resolutions, a schedule of mileage intervals and expected mechanical repairs, and a complete maintenance guide with a tracking system and recall notification process.
- ◆ Documented in a final report what is considered excessive maintenance costs for the life of the vehicle.

**Office Manager**  
**JPAC**  
**Fairborn, OH**

**March 2004 – June 2005**

Ms. Creamer was the Office Manager for JPAC, a service company specializing in the re-fabrication of parts. In addition to managing four office staff and six technicians, she was responsible for increasing customer service, balancing accounts payable and receivable, and increasing overall employee satisfaction and productivity. Ms. Creamer was also responsible for resolving escalated customer service issues, day-to-day operations, and creating strategic plans to enhance customer service satisfaction. During her employment at JPAC, she focused specifically on:

- ◆ Increasing employee knowledge by developing and implementing a training and education program. Enhanced employee performance, attendance, and productivity through one-on-one discussions, motivational strategies, and an incentive program. Initiated a tracking program to monitor the number of 'come-backs' and the overall performance of each employee.
- ◆ Gained customer trust and provided follow-up, leading to increased repeat and referral business.
- ◆ Developed fleet maintenance programs by initiating community outreach programs. Worked with major employers in Greene County, Fairborn, and Wright Patterson Air Force Base to enhance fleet service. Developed record keeping and fleet management programs for over 30 fleet customers, which led to reduced labor costs and increased vehicle reliability.



- ◆ Balanced the budget and developed an accounts receivable/payable program. Collected \$100k of debt dating back over five years. Wrote credit policy and procedure manual for department. Established new credit criteria for new accounts, significantly reducing bad debt. Managed all petty cash and office supply expense accounts. Established customer credit lines and set up credit accounts with vendors.
- ◆ Processed financial reports and provided information and guidance directly to the president of the company, which assisted in maintaining an accurate account of inventory and supply.
- ◆ Wrote policies and procedures for employee adherence to Environmental Protection Agency (EPA) and Occupational Safety and Health Administration (OSHA) regulations. Reorganized service area and technician bays to meet the criteria of the aforementioned agencies. Developed procedures to ensure future compliance with EPA and OSHA standards.
- ◆ Reorganized office and work shop areas to meet higher standards of safety and cleanliness. Developed policies and procedures to ensure that it remained clean and safe. Assisted with the development and assurance of a safe workplace, by reducing risk and injury.
- ◆ Investigated and resolved customer concerns in collaboration with respective agency and other departments. Prepared written responses and developed measurement on volume and trends to determine staff educational needs and improve customer retention.
- ◆ Managed inventory and ordered office and store supplies.

**Assistant Service Manager**  
**Pep Boys Auto**  
**Dayton, OH**

**January 2003 – March 2004**

As Assistant Service Manager, Ms. Creamer worked to assure customer satisfaction, and to increase staff productivity and inventory management. She was also responsible for the day-to-day operations of the service department and its 14 employees. In addition, Ms. Creamer developed and implemented a process to prepare and streamline quarterly financial and safety audits.

*L. JANE BOGARD*

*EDUCATION*

Communications, Ohio University – Chillicothe Branch

*EXPERIENCE*

Associate

January 1999 to Present

*RLS & Associates, Inc.*

Ms. Bogard provides "circuit rider" services to the Ohio Department of Transportation (ODOT) and Ohio's rural and small urban transit systems. As part of these services, Ms. Bogard develops and administers Action Plans, and assesses the operations of various transportation systems, and provides technical assistance as needed to rural transit directors throughout the state of Ohio. She also assists in the implementation of transit development plans by conducting on-site visits and effective communication measures. Ms. Bogard has developed extensive experience with FTA's Drug and Alcohol Testing Regulations as part of her ODOT activities. Ms. Bogard's responsibilities for ODOT while working for RLS include:

- ◆ Serving as a liaison between new start systems and the ODOT Office of Transit staff;
- ◆ Assessing new-start systems in service design, operating policies, compliance with 5311 and ADA requirements, and Drug and Alcohol Program implementation;
- ◆ Developing Drug and Alcohol policies for all new start systems using ODOT's template;
- ◆ Identifying Drug and Alcohol compliance issues with Ohio's Section 5311 systems; preparing systems for Drug and Alcohol Audits, assisting existing systems with Drug and Alcohol policy revision; and completing Drug and Alcohol reviews, as assigned;
- ◆ Preparing MIS reports for new start systems and systems with new administrators;
- ◆ Establishing record keeping for Drug and Alcohol files using RLS recommended format;
- ◆ Participating as a team member for Ohio Drug and Alcohol audits;
- ◆ Attending numerous training including Reasonable Suspicion, MIS reporting, changes in the Drug and Alcohol regulations and collection site requirements;
- ◆ Conducting reviews of ODOT's 2009 rural transit proposals for all rural transit systems;
- ◆ Completing vehicle inspections to ensure that all vehicles purchased through ODOT's term

contract procurement meet ODOT's vehicle specifications;

- ◆ Consulting with County Boards of Commissioners, County Transit Boards, and private non-profit boards during the start-up of rural transit programs;
- ◆ Developing Action Plans for each of the assigned new start counties, including a timeframe for each task;
- ◆ Assisting systems with necessary corrective actions to ensure State and Federal compliance;
- ◆ Providing follow-up technical assistance to the new start rural transit systems to ensure State and Federal compliance;
- ◆ Working with rural transit systems to develop transit policies, brochures, and fare structures;
- ◆ Presenting contracting workshops, which included methods of contracting with social service agencies, negotiating fully allocated costs, and a review of existing contracts;
- ◆ Gathering and organizing for use as examples and "best practices" established transit practices and materials which included tickets, transit related policies, fareboxes, safety equipment, and training resources from existing systems;
- ◆ Reviewing and commenting on policies and procedures and driver's job descriptions from other states for application to Ohio's systems;
- ◆ Conducting transit service and vehicle inventories for Jackson and Vinton Counties. Interviewed human service agency directors responsible for transit services and transportation providers in each county;
- ◆ Developing spreadsheets for public transit and coordinated systems to determine fully allocated cost of service;
- ◆ Conducting training on fully allocated cost, goal writing, fitness for duty, and budgeting; and
- ◆ Performing Quality Assurance Reviews for ODOT's Coordination Projects.

Ms. Bogard also provides support and assistance to other RLS projects, including:

- ◆ Conducting Drug and Alcohol Training for Indiana's Section 5311 systems as part of the Indiana RTAP Training Program;
- ◆ Conducting four regulatory compliance reviews for rural transit systems within the State of

Indiana;

- ◆ Assisting with the development of coordination plans in Indiana and Ohio;
- ◆ Interviewing key stakeholders for the Hampton Roads, Virginia transit vision project;
- ◆ Assisting with the update of the INDOT Section 5311 Transit Manual; and
- ◆ Assisting with the development of a coordinated brokerage service (one stop shop for transportation) for the Municipality of Anchorage.

These additional activities ensure that Ms. Bogard stays current and apprised of innovative practices and programs occurring throughout the country for their application not only to Ohio but also to other RLS clients.

*Administrative Assistant  
Pickaway County Community Action  
Circleville, Ohio*

*1985 to 1999*

Ms. Bogard assisted the Executive Director with the daily operational duties of the agency and assumed the Director's responsibilities in his absence in addition to the following duties:

- ◆ Responsible for creating (3) direct and (25) indirect reports for the Housing Management and Fiscal Departments;
- ◆ Planned and implemented annual budgets totaling \$2 million for several agency programs;
- ◆ Performed personnel duties that included (but was not restricted to): recruiting, hiring, and training;
- ◆ Responsible for writing proposals and grants; bookkeeping; developed policies and procedures; and coordinated annual staff meetings;
- ◆ Performed various administrative duties; maintained visibility in the community through participation in various projects; and public speaking; and
- ◆ Administered the Rural Transit Program including procurement, development and implementation of policies and procedures, establishing the drug and alcohol testing program and providing contracting.

*Litter Control & Recycling Coordinator/  
Summer Youth Director*

1985 - 1990

- ◆ Administered the Litter Control/Recycling Grant by incorporating education, public awareness, law enforcement and Adopt-A-Highway involvement; and
- ◆ Implemented the Summer Youth Employment Program that included grant writing; selection of youth; job site development; education/training programs; and reporting.

*Employment & Training Director  
Ross County Community Action*

1972 - 1985

- ◆ Administered the Employment & Training Programs, which included grant writing and management of the budget;
- ◆ Supervised twelve (12) employees; and
- ◆ Developed new and effective programs that provided training for youth ages 14 – 21.

## **APPENDIX C: REQUIRED FORMS**

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All required forms and DBE certifications to be found on the following pages.

**BID FORM #1**  
**Cost Proposal**

**ENTER BID PRICES BELOW (use ink or type)**  
**BE SURE YOU HAVE INSERTED YOUR COMPANY'S NAME ON THE LINE BELOW:**

RLS & Associates, Inc.

TASK#	DESCRIPTION	ESTIMATED QUANTITY	Unit	Cost Per Unit	TOTAL
2.1	INTRO LETTER	11	Each	\$5.00	\$55.00
2.2 - A	UPDATE "GENERIC" SYSTEM POLICY AND CONDUCT FOLLOW-UP REVIEWS OF SYSTEM POLICIES	11	Task	\$50.00	\$550.00
2.2 - B	NEW SYSTEM POLICY DEVELOPMENT	4	Each	\$100.00	\$400.00
2.3	NEW SYSTEM VENDOR SELECTION SERVICES/TRAINING/IMPLEMENTATION	4	Each	\$100.00	\$400.00
2.4 - A	TRANSIT SYSTEM SITE VISITS	11	Each	\$900.00	\$9,900.00
2.4 - B-1	VENDOR REVIEW	11	Each	\$0.00	\$0.00
2.4 - B-2	MRO PHONE REVIEW	11	Each	\$50.00	\$550.00
2.4 - B-3	MRO SITE REVIEW	11	Each	\$0.00	\$0.00
2.4 - B-4	SAP PHONE REVIEW	11	Each	\$50.00	\$550.00
2.4 - B-5	SAP SITE REVIEW	11	Each	\$0.00	\$0.00
2.4 - B-6	BAT PHONE REVIEW	11	Each	\$0.00	\$0.00
2.4 - B-7	BAT SITE REVIEW	11	Each	\$200.00	\$2,200.00
2.4 - B-8	STT PHONE REVIEW	11	Each	\$0.00	\$0.00
2.4 - B-9	STT SITE REVIEW	11	Each	\$0.00	\$0.00
2.4 - B-10	COLLECTION FACILITY PHONE REVIEW	11	Each	\$0.00	\$0.00
2.4 - B-11	COLLECTION FACILITY SITE REVIEW	11	Each	\$200.00	\$2,200.00

Task #	Description	ESTIMATED QUANTITY	Unit	Cost Per Unit	TOTAL
2.4 - B-12	LABORATORY OVERSIGHT PHONE REVIEW	11	Each	\$5.00	\$55.00
2.4 - B-13	LABORATORY OVERSIGHT SITE VISIT	11	Each	\$0.00	\$0.00
2.4 - C-1	TPA/CONSORTIUM REVIEW SITE VISIT	11	Each	\$25.00	\$275.00
2.4 - C-2	TPA/CONSORTIUM OVERSIGHT PHONE REVIEW	11	Each	\$50.00	\$550.00
2.5	MUNICIPAL OVERSIGHT	1	Each	\$75.00	\$75.00
2.6	CERT CHECKLIST	1	Task	\$50.00	\$50.00
2.7	800# & E-MAIL ACCESS	1	Task	\$500.00	\$500.00
2.8 - A	AUDIT ASSISTANCE	40 Hours	Hour	\$75.00	\$3,000.00
2.8 - B	Misc. Administrative Assistance	40 Hours	Hour	\$75.00	\$3,000.00
2.8 - C	UNPLANNED TRANSIT-SYSTEM SITE VISITS	1	Task	\$900.00	\$900.00
2.9 - A	Half-day Supervisory Awareness Training	4	Each	\$1,000.00	\$4,000.00
2.9 - B	Full-day D&A Regulation Training	4	Each	\$1,750.00	\$7,000.00
3.0 - A	Update Testing Response Handbook	1	Task	\$300.00	\$300.00
3.0 - B	Reproduction Costs for Updates to Testing Response Handbook	150	Each	\$10.00	\$1,500.00

GRAND TOTAL BID (Add Lines 2.1 thru 3.0-B) \$38,010.00

*The quantities listed above are estimates for bidding purposes only. Actual quantities purchased may vary.*

*Please provide unit cost and extended cost for each line item.*



**BID FORM #2**

**CERTIFICATION OF RESTRICTIONS ON LOBBYING**

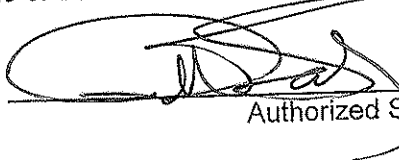
The undersigned [Vendor, Contractor] certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form--LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions [as amended by "Government Wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, *et seq.*)]
3. The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. [Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The Vendor, RLS & Associates, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31 U.S.C. A 3801, *et seq.* apply to this certification and disclosure, if any.

11/12/09  
Date

  
Authorized Signature

President  
Title

**BID FORM #3**

**CERTIFICATION OF PRIMARY PARTICIPANT REGARDING  
DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

The Primary Participant (applicant for an FTA grant or cooperative agreement, or potential contractor for a major third party contract),

RLS & Associates, Inc. (COMPANY NAME) certifies to the best of its knowledge and belief, that it and its principals:

1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
2. Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statement, or receiving stolen property;
3. Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (2) of this certification; and
4. Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(If the primary participation (applicant for an FTA grant, or cooperative agreement, or potential third party contractor) is unable to certify to any statements in this certification, the participant shall attach an explanation tot his certification.)

THE PRIMARY PARTICIPANT (APPLICANT FOR AN FTA GRANT OR COOPERATIVE AGREEMENT, OR POTENTIAL CONTRACTOR FOR A MAJOR THIRD PARTY CONTRACT),

Robbie L. Sarles, President, CERTIFIES OR AFFIRMS THE TRUTHFULNESS AND ACCURACY OF THE CONTENTS OF THE STATEMENTS SUBMITTED ON OR WITH THIS CERTIFICATION AND UNDERSTANDS THAT THE PROVISIONS OF 31 U.S.C. SECTIONS 3801 ET SEQ. ARE APPLICABLE THERETO.

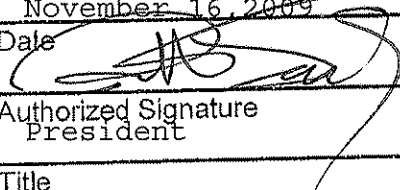


Signature and Title of Authorized Official

Robbie L. Sarles, President

**BID FORM #4**

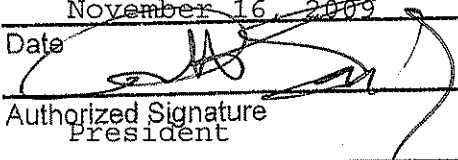
RLS & Associates, Inc. \_\_\_\_\_ hereby certifies that it  IS or  IS NOT (check the appropriate box) included on the U.S. Comptroller General's Consolidated List of Persons or Firms Currently Debarred for violations of Various Public Contracts Incorporating Labor Standards Provisions.

November 16, 2009  
Date \_\_\_\_\_  
  
Authorized Signature \_\_\_\_\_  
President  
Title \_\_\_\_\_  
RLS & Associates, Inc.  
Company Name \_\_\_\_\_

**BID FORM #5**

**VENDOR'S CERTIFICATION OF UNDERSTANDING AND ACCEPTANCE**

The Contractor hereby certifies that all Technical Specifications and Contract Terms and Conditions have been carefully reviewed, are fully understood and shall be adhered to in the performance and completion of any contract resulting from this bid.

November 16, 2009  
Date \_\_\_\_\_  
  
Authorized Signature \_\_\_\_\_  
President  
Title \_\_\_\_\_  
RLS & Associates, Inc.  
Company Name \_\_\_\_\_

**BID FORM #6**

**ADDENDUM ACKNOWLEDGMENT**

I hereby acknowledge receipt of the following checked addendum(s) and have made the necessary revisions to my proposal, plans and/or specification, etc.

Addendum No.'s

No. 1 \_\_\_\_\_

No. 2 \_\_\_\_\_

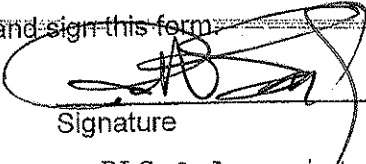
No. 3 \_\_\_\_\_

No. 4 \_\_\_\_\_

No. 5 \_\_\_\_\_

I understand that failure to confirm the receipt of the addendum(s) is cause for rejection of bids.

~~If no addendums are issued, please check this box and sign this form.~~

  
\_\_\_\_\_  
Signature

RLS & Associates, Inc.

\_\_\_\_\_  
Company

November 16, 2009

\_\_\_\_\_  
Date



3131 South Dixie Hwy. | Suite 545 | Dayton, OH 45439

(937)299-5007 voice | (937)299-1055 facsimile | [www.rlsandassoc.com](http://www.rlsandassoc.com)

## **RLS & ASSOCIATES, INC. AFFIRMATIVE ACTION PLAN**

### **Equal Employment Opportunity (EEO) Policy**

Potential employees of RLS & Associates, Inc. shall be recruited without regard to disability or handicap, age, race, color, creed, religion, sex or national origin. This organization maintains a complete open door employment policy. Any person who can present evidence of being qualified and able to pursue successfully the goals and objectives of the firm shall be considered for employment. It is the firm's policy that all areas of employment shall be open to individuals who can show appropriate credentials and experience without regard to disability or handicap, age, race, color, creed, sex or national origin. Further, all activities of the firm, within and outside the organization, shall be on a nondiscriminatory basis.

### **Advertisement**

It is the policy of the firm's officers that this equal opportunity policy statement be made known to all present employees and all potential employees. A signed equal opportunity policy is displayed in a conspicuous location in the firm's office. All employment advertisements shall be placed in newspapers of general circulation and shall state that the firm is an "Equal Opportunity Employer."

### **Equal Employment Opportunity Coordinator**

The President of the firm coordinates and directs all of the firm's equal opportunity efforts and is designated as the firm's Equal Employment Opportunity Coordinator. Further, to assure nondiscriminatory hiring, the Coordinator shall periodically review the performance of the firm's officers in hiring employees. The Coordinator is familiar with the equal employment policy of the firm and shall not discriminate because of disability or handicap, age, race, color, creed, religion, sex or national origin in hiring.

### **Coordinator Duties**

The duties of the Equal Opportunity Coordinator shall include, but not be limited to, the following:

1. To be responsible for the development, implementation, and maintenance of the procedures in accordance with the EEO policy;

Today's Solutions to Tomorrow's Transportation Needs

Dayton, OH   Columbus, IN   Raleigh, NC   Wilmington, NC   Chicago, IL

2. To conduct periodic reviews of personnel action to insure that the firm's policy on Equal Opportunity is being adhered to;
3. To determine if there are any observable discriminatory practices in any of the firm's activities;
4. To report to the officers of the firm any violations of the policy described in this Affirmative Action Plan; and
5. To receive any grievance having to do with a civil rights complaint and forward it through the proper channels.

**Recruiting Policies**

Recruiting practices of RLS & Associates, Inc. are non-discriminatory and offer equal opportunities to all eligible qualified applicants. Thus, recruiting policies of the firm include maintaining contact with the area technical education centers and state colleges and universities in the firm's efforts to keep all recruitment sources informed of any vacancies.

**Minority Training Programs**

Although the firm does not generally participate in educational programs, minority as well as non-minority employees shall be encouraged to increase their skills to improve their opportunity for advancement. Self-improvement shall be a factor to be considered for reward by promotion, as positions become available. Further, the firm shall participate in training programs to assist minority employees to become qualified for advancement, or prospective minority employees to secure positions with the firm, if the employee or prospective employee demonstrates adequate potential.

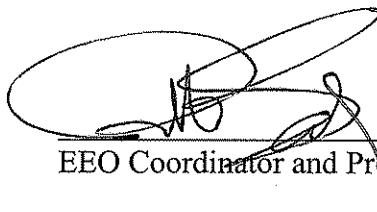
**Assuring Non-Discriminatory Pay, Compensation and Working Conditions**

Rates of pay and fringe benefits shall be examined periodically on the basis of duties, responsibilities and performance without discrimination.

By virtue of the Equal Employment Opportunity Policy and the above evidence and statement of practices of RLS & Associates, Inc. with regard to non-discriminatory principles, it may be further stated that the firm operates under an Affirmative Action Plan.

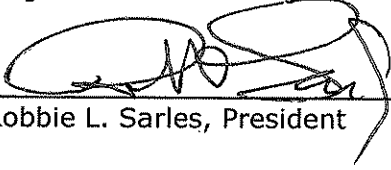
11/12/09

\_\_\_\_\_  
Date



\_\_\_\_\_  
EEO Coordinator and President

RLS & Associates, Inc. has been a Disadvantage Business Enterprise consulting firm for the past nine years with the West Virginia Department of Transportation. RLS & Associates, Inc. is a small business firm that is independently owned and controlled in both substance and form by one socially and economically disadvantaged person who is certified and is currently listed on the West Virginia DBE consulting firm list.

  
\_\_\_\_\_  
Robbie L. Sarles, President

\_\_\_\_\_  
11/16/09  
Date



## DBE Listing - Consultants

October 5, 2009

October 2009

Company and Address	Contact Information/Date Certified	Type of Work
<b>RLS &amp; Associates</b> 3131 S. Dixie Highway Suite 545 Dayton OH 45439 <u>PHONE:</u> 937-299-5007 <u>FAX:</u> 937-299-1055	Ms. Robbie Sarles NAICS: _Codes 541614 9/1/2000	Transportation consulting
<b>S &amp; S Engineers, Inc.</b> 501 Eagle Mountain Road Charleston WV 25311 <u>PHONE:</u> 304-342-7168 <u>FAX:</u> 304-342-7169	Mr. Ashok M. Sanghavi NAICS: _Codes 541620, 541610 6/1/2006	Environmental & Civil Consulting Engineers, Surveying
<b>S.C. Myers &amp; Associates, Inc.</b> 3408 Wisconsin Avenue, NW Suite #2 Washington DC 20016 <u>PHONE:</u> 202-362-7229 <u>FAX:</u> 202-362-3736	Mr. Sylvester Myers NAICS: _Codes 234110 8/1/2001	Construction Cost/Project Management, Consulting
<b>Sabra, Wang &amp; Associates, Inc.</b> 1504 Joh Ave Baltimore MD 21227 <u>PHONE:</u> 410 737 6564 <u>FAX:</u> 410-737-1774	Mr. David Wang NAICS: _Codes 541330,234120 6/1/2004	Engineering consulting services including civil, structural, transportation and traffic analysis, Management services specifically construction management services.
<b>Saeed Associates, Chartered</b> 8136 Old Keene Mill Rd Suite B203 Springfield VA 22152 <u>PHONE:</u> 703-866-2044 <u>FAX:</u> 703-866-2043	Mr. Anwar Saeed, P. E. NAICS: _Codes 541330, 234990 5/1/2000	Consulting Engineering, Design of bridges, roads, bridge scour and Hydraulics, Interchange, Drainage, Stormwater Management
<b>Safety Controls Technology, Inc.</b> 5075 Taylor Drive Bedford Heigh OH 44128-5497 <u>PHONE:</u> 216 587 3000 <u>FAX:</u> 216 587 1586	Ms. Gail Grueser NAICS: _Codes 541330, 541620, 541690, 562910, 621340, 621999 2/25/2009	Multi-service consulting company that provides engineering and occupational safety and health services.
<b>Saunders Staffing, Inc.</b> 400 North Street P. O. Box Bluefield WV 24701 <u>PHONE:</u> 304-325-3369 <u>FAX:</u> 304-325-6817	Ms. Connie Saunders NAICS: _Codes 561320 2/1/2004	Temporary agency for clerical, medical, light industrial and information technology
<b>Semaphore Hill Associates, LLC</b> P O BOX 815 Charleston WV 25323 <u>PHONE:</u> 304-389-1164 <u>FAX:</u>	Ms. Andrea Griffith NAICS: _Codes 541620, 541720, 541370 11/1/2005	Provides professional environmental consulting services, including GIS, cultural, and natural resource management.
<b>Sepi Engineering Group, Inc</b> 1025 Wade Ave Raleigh NC 27605-1158 <u>PHONE:</u> 919-789-9977 <u>FAX:</u> 919-789-9591	Ms. Sepideh Asefnia NAICS: _Codes 541330 8/1/2003	Engineering Consultant Services
<b>TG Consulting, Inc.</b> 122 Broad Boulevard Cuyahoga Fall OH 44221 <u>PHONE:</u> 330 923 7136 <u>FAX:</u> 330 923 1397	Ms. Patricia Grdina NAICS: _Codes 541690, 541618 8/1/2007	Provide critical path scheduling services to contractors owners, Municipalities and construction managers, services include development, maintenance and training.
<b>Third Rock Consultants, LLC</b> 2526 Regency Road, Suite 180 Lexington KY 40503 <u>PHONE:</u> 859-977-2000 <u>FAX:</u> 859-977-2001	Ms. Molly Foree NAICS: _Codes 541620, 561410 6/1/2002	Environmental consulting sevices, analysis, restoration and Document preparation services